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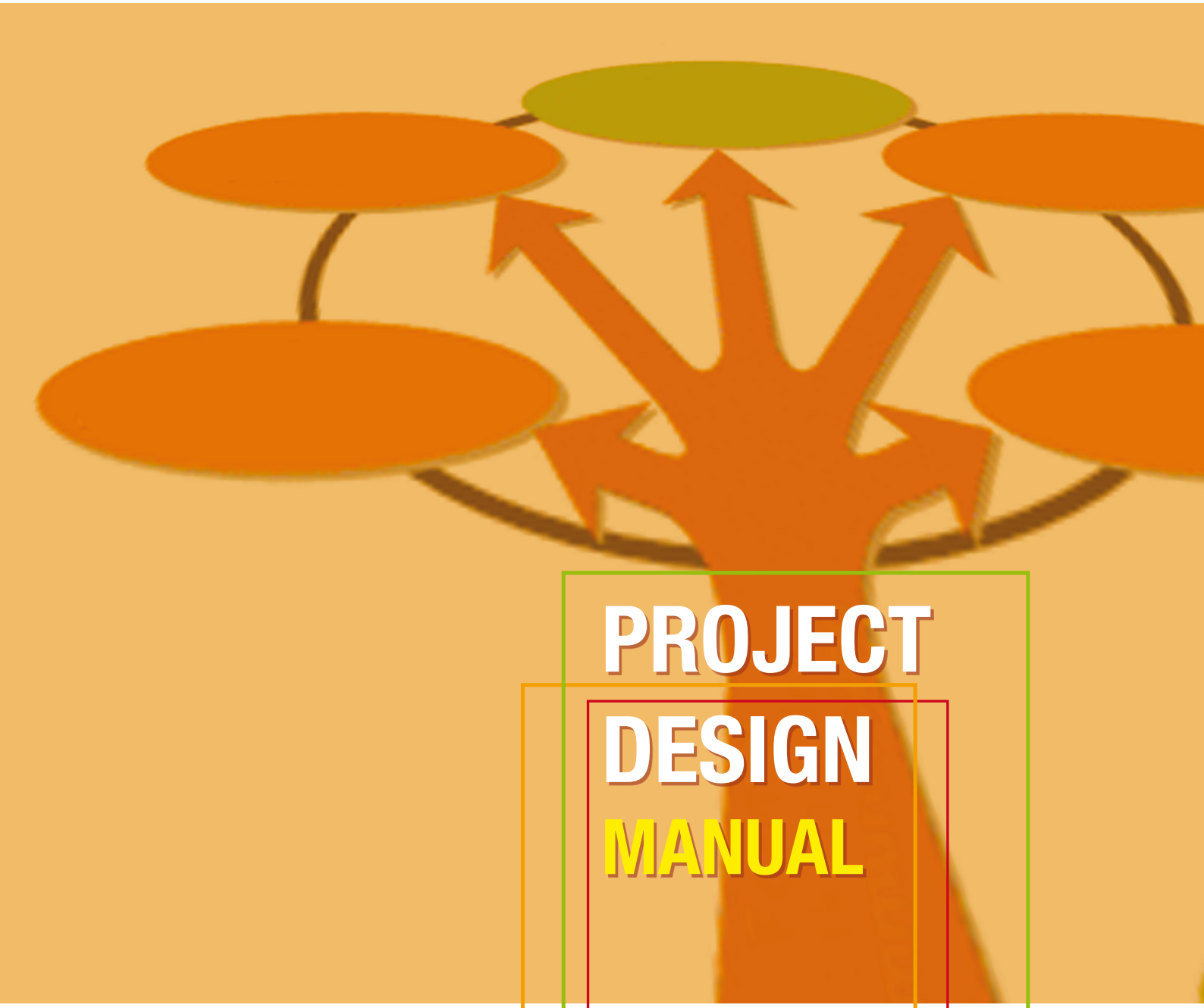

PROJECT DESIGN MANUAL

A **STEP-BY-STEP TOOL** to Support the Development of **COOPERATIVES** and Other Forms of **SELF-HELP ORGANIZATIONS**

COOP AFRICA

The Cooperative Facility for Africa (COOP[AFRICA]) is a regional technical cooperation programme of the ILO that contributes to the achievement of the Millennium Development Goals and the Decent Work Agenda in Africa by promoting self-help initiatives, mutual assistance in communities and cross-border exchanges through the cooperative approach.

COOP[AFRICA] contributes to improving the governance, efficiency and performance of primary cooperatives, other social economy organizations and their higher-level structures in order to strengthen their capacity to access markets, create jobs, generate income, reduce poverty, provide social protection and give their members a voice and representation in society.

COOP[AFRICA] 's approach consists of: assisting stakeholders to establish a legal and policy environment conducive to the development of cooperatives; providing support services through "Centres of Competence"; promoting effective co-ordinating structures (e.g. unions and federations); and establishing and maintaining challenge funds for 'services', 'innovation' and 'training'. These funds are accessible through a competitive demand-driven mechanism and a transparent selection of the best proposals.

COOP[AFRICA] and its network of "Centres of Competence" provide different types of services: policy and legal advice; studies and publications; training and education; support for field projects; development or adaptation of teaching and methodological material; networking; advocacy; promotion of innovative cooperative ventures; and others.

COOP[AFRICA] is located in the ILO Country Office for the United Republic of Tanzania, Kenya, Rwanda and Uganda and is part of the Cooperative Programme (EMP/COOP) of the Job Creation and Enterprise Development Department of the ILO. The programme works in partnership with the International Cooperative Alliance (ICA), the UK Cooperative College, the Committee for the Promotion and Advancement of Cooperatives (COPAC), the International Trade Union Confederation (ITUC-Africa), the International Organization of Employers (IOE) and the African Union Secretariat. COOP [AFRICA] is a multi-donor programme, primarily supported by the UK Department for International Development (DfID). It also receives support from the Swedish International Development Cooperation Agency (SIDA), the Government of Finland, the Arab Gulf Programme for United Nations Development Organizations (AGFUND) and the German Cooperative and Raiffeisen Confederation (DGRV).

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Project Design Manual

A Step-by-Step Tool to Support the Development of Cooperatives and Other Forms of Self-Help Organization

2010

COOP AFRICA
Cooperative Facility for Africa

ILO Country Office for the United Republic of Tanzania, Kenya, Rwanda and Uganda
Cooperative Programme (EMP/COOP)
Job Creation and Enterprise Development Department (EMP/ENT)
Employment Sector

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[1] http://www.ciaris.org

[2] http://www.ilo.org/public/english/bureau/pardev/index.htm

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LIST OF ABBREVIATIONS

AECF	Africa Enterprise Challenge Fund
AGRA	Alliance for a Green Revolution in Africa
AusAID	Australian Agency for International Development
BiD	Business in Development
CEDAW	Convention on the Elimination of all Forms of Discrimination against Women
CIARIS	Learning and resources centre on social inclusion (ILO)
COOP^{AFRICA}	Cooperative Facility for Africa (ILO)
DAC	Development Assistance Committee (OECD)
DFID	Department For International Development, UK
DWCP	Decent Work Country Programme
EC	European Commission
EU	European Union
EMP/COOP	Cooperative and Rural Programme of the ILO
EMP/ENT	Job Creation and Enterprise Development Department of the ILO
GTZ	German Technical Cooperation
ICA	International Cooperative Alliance
IFAD	International Fund for Agricultural Development
IFRC	International Federation of Red Cross and Red Crescent Societies
ILO	International Labour Office / Organization
ITC/ILO	International Training Centre of the ILO
ITUC	International Trade Union Confederation
Logframe	Logical framework
MDGs	Millennium Development Goals
MUCCoBS	Moshi University College of Co-operative and Business Studies
NAGs	National Advisory Groups
NGOs	Non-Governmental Organizations
PARDEV	Department of Partnerships and Development Cooperation of the ILO
OECD	Organisation of Economic Cooperation and Development
PCM	Project Cycle Management
PRSP	Poverty Reduction Strategy Paper
RBM	Results-Based Management
SACCO	Saving and Credit Cooperative
SIDA	Swedish International Development Cooperation Agency
SMART	Specific, Measurable, Achievable and Agreed-upon, Realistic and Time-bound
STEP	Strategies and Tools against social Exclusion and Poverty (ILO)
SWOT	Strength, Weakness, Opportunities and Threats
ToR	Terms of Reference
UK	United Kingdom
UN	United Nations
USAID	United States Agency for International Development
YEN	Youth Employment Network (ILO, UN, World Bank)
YES JUMP	Youth Employment Support Jobs for the Unemployed and Marginalized Young People (ILO)

Introduction

In 2009 ILO/COOP^{AFRICA} and the International Training Centre of the ILO (ITC/ILO) started a new collaboration to enhance the project cycle management (PCM) capacity of cooperatives and other self-help organizations.

In order to help improve the quality of project proposals and provide assistance in their implementation, a series of activities were launched within the framework of the second call for the ILO/COOP^{AFRICA} Challenge Fund. Among these were:

- A face-to-face training workshop, held at Moshi University College of Cooperative and Business Studies (MUCCoBS) in Tanzania in March 2009. Working with representatives of the COOP^{AFRICA} National Advisory Groups, the workshop covered generic PCM concepts based on the draft project design tool developed by COOP^{AFRICA} and the Cooperative College of the United Kingdom combined with ITC/ILO PCM materials and expertise.
- Revising Challenge Fund guidelines and application form together with the development of a checklist to assess the technical soundness of project proposals. This was done in order to assist the National Advisory Groups in their own filtering process and enable them to provide constructive feedback to applicants.
- Piloting a virtual helpdesk to provide technical assistance at a distance to National Advisory Groups as well as to a selected number of applicants.

The publication of this project design manual is the result of the feedback received on the joint work implementing the second and preparing for the third call for the COOP^{AFRICA} Challenge Fund. The first draft of this manual was revised by a reading committee which included experts in the field of cooperative development and PCM. The manual was also tested by potential users.

What is this manual about?

The manual provides cooperatives and other types of self-help organizations with practical guidance to formulate project proposals that are economically, socially, politically and environmentally viable. It covers all the steps of project design: from the identification of the main problem to be addressed, to the planning of the project implementation, monitoring and evaluation.

The project design approach is based on the widely accepted planning methods known as project cycle management (PCM). These tools have been developed by co-operation agencies such as the United States Agency for International Development, the European Commission External Cooperation Programmes, and German Technical Cooperation (GTZ), among others. The methods comply with the internationally harmonized procedures developed by the Development Assistance Committee (DAC) of the Organization for Economic Co-operation and Development (OECD) for effective aid delivery. The PCM tools are now widely used by all United Nations agencies, including the ILO[3].

This is not a manual on how to manage concrete cooperative development activities, but rather on how to effectively conceive and plan their implementation. Our focus here is on preparing successful demand-driven proposals. The design guidelines will help users to respond to concrete development needs, while also meeting the eligibility criteria of donors and co-operation agencies. Increasingly, donors are supporting initiatives that strengthen recipient ownership, improve the overall effectiveness of aid, and reduce the cost of managing development assistance.

[3] Using the Project Cycle Management approach as outlined in ILO, 2010, ILO Technical Cooperation Manual –Version 1, PARDEV, Geneva.

Why a project design manual for cooperatives?

Like many other forms of enterprise, cooperatives face the challenge of finding the most efficient way to allocate scarce resources. But unlike most other enterprises, cooperatives also need to seek a sustainable balance between members' needs and economic challenges.

A successful balance of this kind can only be achieved when entrepreneurial activities respond to a real demand, and when they maintain a consistent and transparent approach to governance. While cooperatives often have the consolidated mechanisms necessary to meet their members' expectations, their performance can be disappointing. This can be due to barriers within the existing environment, which limit the potential of cooperatives to create and expand their business. Poor performance can also be due to weaknesses in cooperative governance, management and entrepreneurship such as for instance a lack of boldness in exploring opportunities and developing new ideas and approaches.

Many cooperatives need to apply a more entrepreneurial approach to their strategic planning processes. This implies the acquisition of specific skills among leaders, staff and members. The ability to detect opportunities and strategically plan how to benefit from them is key in this respect. While this capability is clearly valuable when it comes to attaining financial viability and increasing productivity and competitiveness, it has often not been thoroughly enough explored within cooperatives.

PCM tools help cooperatives to take advantage of business and development opportunities while using a coherent and participatory approach to management. This in turn involves using resources wisely, integrating common values, and thinking ahead about results. Each opportunity can give birth to a new project, and sound projects have a better chance of finding the required financial resources, either through the competitive advantage that they bring to the market, or from banks and other financing institutions or donors.

However, not every cooperative or cooperative support organization has the capability to develop solid project proposals. This manual aims to bridge this gap. It introduces cooperatives and their support organizations to the language of development and international cooperation, and to the necessary project proposal and management language and tools such as the logical framework. It also assists support organizations to apply these tools to the cooperative context through a concrete case study analysing project formulation step by step.

The connection between project design and business planning

While a good project proposal may well bring in financial resources, managerial and entrepreneurial skills are required for effective and long-lasting results. Project design does not replace management or business vision. However, results-based management (RBM) and strategic planning approaches are of use in business planning. They can enhance access to different types of funding, including loans, subsidies and grants.

It is therefore important to bear in mind that:

- When it comes to building capital, project financing does not replace cooperative funds and income. The subsidies that may come as a result of such project financing can be a complementary source of funding, which in turn may add on to turnover, productive assets, cooperative surplus and reserves.
- Although RBM and PCM planning methods have been widely applied in the field of business management, they cannot cover all facets of entrepreneurial development. They will provide essential concepts and tools, but only to complement business administration competences and entrepreneurial skills.
- Despite the standardization of tools and glossaries in the field of PCM, funding agencies often have their own requirements, including specific formatting. Any project proposal must respect

such requirements in order to be eligible. This manual follows the ILO technical cooperation format but leaves users with the additional task of adapting real project proposals to specific contexts.

The project design process identifies concrete needs, objectives and priorities in order to help cooperatives in their ongoing process of business planning. This allows cooperatives to design the best possible future for their organisation and members, with possibly a positive impact on the wider community.

Objectives of the manual

The manual aims to enhance the capacity of cooperatives and other self-help organizations to design projects that are appropriate to the needs of target groups, comprehensive in relation to the whole project cycle, and adequate for donors' requirements.

After studying this Project Design Manual, users should be able to:

- Design good, inclusive and sustainable project proposals using the Project Cycle Management and the Logical Framework approach applied to the context of cooperative development.
- Understand and apply the core principles that should underlie any project in order for it to be viable and sustainable.
- Develop a project idea on the basis of real needs and required resources, and transpose the idea into an implementation plan and budget.
- Develop a monitoring and evaluation plan that incorporates a process for checking and correcting project implementation, as well as the assessment of achievements.
- Assess project proposals submitted by cooperative support organisations and cooperatives and provide recommendations for revision.

Who is the manual for?

The manual is designed to suit the needs of cooperatives, cooperative unions, federations, and cooperative support organizations, including cooperative colleges, non-governmental organizations (NGOs), private business service providers and government agencies. Its universal project design principles and tools are relevant for other types of self-help organization – producer organizations, small business associations, trade unions, community-based organizations – and their partners.

Since the target readership is large and heterogeneous and covers a broad range of organisations, sectors and countries, users will have different levels of understanding about "aid and development", and also different degrees of language proficiency. In some cases it would be useful to introduce the manual with a training period on how to elaborate a project proposal, and provide readings from other sources such as those listed in the bibliography.

Using the manual

The manual can be used as a self-help guide when designing any project proposal. It can also be used in training and other capacity building activities.

The manual is composed of the following chapters or steps:

Getting started: introducing the project design tools
STEP 1 – Project identification
STEP 2 – Project formulation

STEP 3 – Implementation planning
STEP 4 – Planning of monitoring and evaluation
Glossary
Annex 1
Annex 2
Bibliography

Since the manual was initially conceived within the framework of the COOP[AFRICA] Challenge Fund, a specific Annex on the Challenge Fund's own project document template has been included. However it should be borne in mind that there are many ways to develop a project document and submit a formal proposal as shown in the Annex on Grant possibilities and guidelines.

The case study

Throughout the manual the case study of the Hanassi Dairy Cooperative, located in a poor rural district of a developing country, will illustrate how a project document can be developed step by step. While the case study is fictitious, it is based on real life experiences.

Illustrations and visual coding

Each chapter will make use of coloured boxes and pictograms to help readers navigate the project design process:

Additional information

Definition of concepts

Key steps and actions to conduct the project design phase

Examples related to the case study

Refer to Glossary for an exact definition of the concept

Highlights gender issues

Getting started: introducing the project design tools

Before presenting the different steps in project design, this chapter will briefly introduce you to the project cycle and its different phases, and provide you with key definitions and references for starting any development project well. Project design is part of project cycle management (PCM). We therefore need to understand PCM better before we tackle project design in more detail.

i. What is a project?

A project can cover a wide range of operations, from small initiatives to complex programmes. For instance, a dairy cooperative union can run a project to introduce a computerized management information system. This would involve purchasing computers and a software programme and training book-keepers. A more complex programme might be setting up a national health insurance scheme through cooperatives, which would involve many stakeholders (the government, health care providers, advisory services, the cooperative movement, future clients, etc.), take time and require substantial investment.

To be viable and sustainable, a development project, whatever its size and outreach, should be anchored to a few essential guiding principles[4]:

- **The starting point of a project is the existence of a problem affecting a certain group (a cooperative, a community).** It can also involve an opportunity to improve that group's living and working conditions.

  The existence of a problem affecting a certain group (or groups) is the starting point for many development projects. The description of the problem justifies the need for intervention and the project document will explain how the intended action will contribute to the solution. Sometimes, project ideas are set out in terms of opportunities which may be of strategic interest to the selected group. In these cases, which are more frequent in the business environment, problems are defined in terms of challenges, and the project document is likely to be part of a business plan.

  Having said that, beginning with a problem or challenge analysis does not mean that the project starts with a negative vision. On the contrary, it will help you to detect conditions that can be improved for the group. In this way, the project will have a positive mission right from the start.

- **A sustainable project is integrated and coherent with broader development or business plans.**

  In a society characterised by multiple challenges and dimensions, a project can increase and improve its impact to the extent that it is an integral part of a larger plan of a cooperative organization or enterprise. It may be one component of a multi-annual business plan, or part of a response to a national action plan for private sector development. If it is intended to contribute to development goals and poverty reduction strategies, the project's core objective must be compatible with and connected to international and national development priorities, such as the Millennium Development Goals (MDGs), Poverty Reduction Strategy Papers (PRSPs), Decent Work Country Programmes (DWCPs), gender equality national plans, international conventions and recommendations such as those that embody the ILO fundamental principles and rights at work, and the Convention on the Elimination of all Forms of Discrimination against Women (CEDAW).

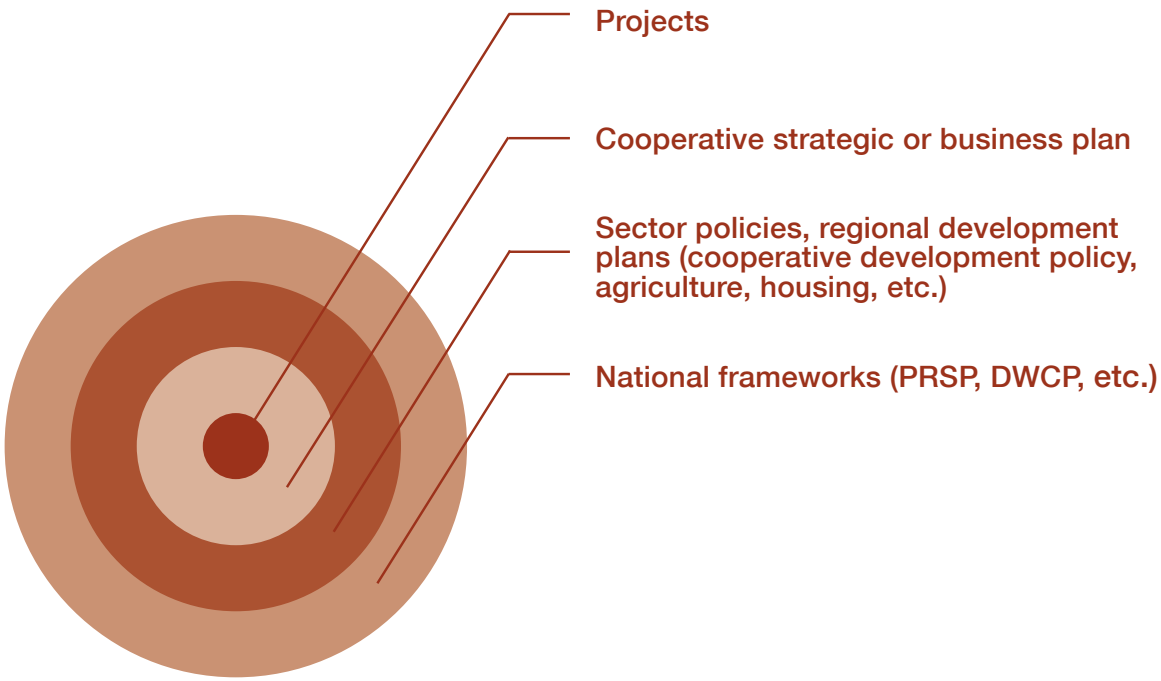
[4] Based on: ILO, 2010, ILO Technical Cooperation Manual –Version 1, PARDEV, Geneva.

Decent Work is captured in the four strategic objectives of the ILO: 1) fundamental principles and rights at work and international labour standards; 2) employment and income opportunities; 3) social protection and social security; and 4) social dialogue and tripartism. These objectives hold for all workers, women and men, in both the formal and the informal economy; in wage employment or working on their own account; in fields, factories or offices; in their homes or in the community.
Decent Work Country Programmes (DWCPs) are the main vehicle for ILO support to countries. They promote decent work as a key component of national development strategies.

Source: http://www.ilo.org/global/About_the_ILO/Mainpillars/WhatisDecentWork/lang--en/index.htm and http://www.ilo.org/public/english/bureau/program/dwcp/index.htm

As the diagram below shows, coherence and integration among development partners and stakeholders are crucial for success and for poverty reduction through cooperative development.

Diagram 1: Projects are part of broader development efforts



- **A project is a participatory exercise from beginning to end**

  Any individual or institution likely to be affected (positively or negatively) by the project must take an active part in its design, decision-making and implementation phases.
  The formulation, implementation and monitoring of a project proposal is meant to involve all stakeholders. Project design is the product of negotiation and consensus. The methodology and tools presented in this manual are specifically designed to be used in a participatory way, and by different types of audiences.

- **Sustainable projects are gender-sensitive**

  In every society, there are differences between the roles and responsibilities of women and men,

their access to and control over resources, and their participation in decision-making. Women and men also very often have inequitable access to services - such as education and health - and to opportunities in economic, social and political life.

Gender inequalities hinder growth and harm development. Failure to address gender issues adequately can damage the effectiveness and sustainability of projects and, in the worst case, can exacerbate inequalities.

It is therefore vital to analyse gender differences and inequalities, and to take them into account in planning your project's objectives, activities and resource allocation. Furthermore, good project planning can help redress the lack of access and control over resources that women may face in a particular context, particularly if they also face other types of discrimination.

Box 1: Women participation in African cooperatives

In cooperatives in the majority of African countries, women remain under-represented as employees, members and in particular leaders. Achieving active and equal participation by women is a great challenge, although the democratic nature of the cooperative does mean women members, like men, can have a stronger voice in a cooperative than in other types of enterprise.

Gender equality

"Enjoyment of equal rights, opportunities and treatment by men and women of all ages in all spheres of life and work. It implies that all human beings are free to develop their personal abilities and make choices without the limitations set by stereotypes and prejudices about gender roles or the characteristics of men and women. It means that the different behaviour, aspirations and needs of women and men are considered, valued and favored equally. It does not mean that women and men are the same of have to become the same, but that their rights, responsibilities, social status and access to resources do not depend on whether they are born male or female."

"A gender-sensitive project implements measures and actions that address the different situations, roles, needs and interests of women, men, girls and boys with a view to close gender gaps and achieve equality."

Source: ILO, 2010, Gender mainstreaming strategies in decent work promotion: programming tools, Bangkok.

- **A well defined project is results-based**

Results-based management (RBM) is about setting objectives and targets and what you do to achieve them. RBM does not look at the project activities (e.g. a training course for members of a cooperative) but at the achievements that the project activities bring about (e.g. thanks to the training, the cooperative members increase their productivity). RBM helps in assessing the performance of a project. In a world in which there is increasing competition for resources, and in which donors want proof that organizations are achieving tangible results with the funds they receive, also cooperative organizations must demonstrate the added value of their work unequivocally and measurably.

Results-based management (RBM)

"It is a management strategy focusing on performance and achievement of outputs, outcomes and impacts."

Source: OECD-DAC, 2002, Glossary of key terms in Evaluation and results-based management, Paris.

- **Being results-based, a project seeks clearly defined objectives or outcomes, and it includes a series of interrelated and coordinated activities.**

Outcomes, or immediate objectives, are actual or intended changes in development conditions that interventions seek to support.

Objectives are a series of specific benefits that a project will leave once it has finished, which will

contribute to solving the problem.

- **Whereas the problem is the project's starting point, the objectives are the end point.**

Activities and outputs are the individual components of every project. They are interrelated to create an organised process oriented toward achieving the objectives and producing an impact on the existing environment.

To achieve the desired situation, every project is implemented by means of activities, which generate a series of outputs that, in turn, lead to attainment of the objectives. The activities, outputs and objectives have no meaning in themselves, but are means for bringing about a change (impact) that benefits the project's target group.

Diagram 2: Project activities are interrelated

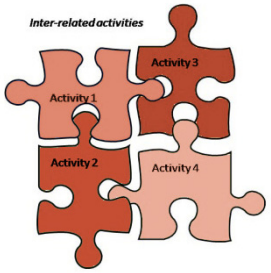


Diagram 3: The cause-effect relationship between the planned action and its desired effects

- **Project implementation is organised with a fixed budget, limited resources and specific deadlines.**

Projects use a certain amount of financial, material and human resources and are implemented within specific times.

Resources and time are limited, and are often scarcer than you would like. The project seeks to make the best use of both to achieve the greatest possible contribution to the solution of the problem and the attainment of positive changes. Ultimately, this concern is the basis for project planning for any organization or enterprise, including cooperatives. It is often needed to mobilise further resources and to look for additional funding in order to tackle the core problem.

- **Each project has a specific management structure.**

A project needs a specific team of people in charge of implementing it and supervising a series of administrative and financial procedures. This team is not permanent, but it exists throughout the project.

- **Any project includes a monitoring and evaluation (M&E) system**

An **M&E system** allows you to assess the project's progress toward its objectives, and it provides the basis for any adjustment necessary. It also makes it possible to evaluate and document the project's performance once the project has finished.

An M&E system is an essential tool for results-based project management. It makes the project accountable to the target group, the stakeholders and the donor. It also contributes to organizational learning and to the improvement of projects. That learning can then be transferred and used in other locations and projects. A good evaluation strategy will ensure learning can be passed on to relevant cooperative organizations. Control and monitoring by cooperative members is an expression of responsibility for mutual learning, and provides feedback to other stakeholders.

- **A project has to be sustainable**

  Thorough consideration should always be given to sustainability, especially the future of services and products for the beneficiaries. It also means planning the origin of the resources necessary to continue activities in the medium and long term, once the project has ended.

  When we say that projects must be sustainable, we refer to content, resource use, size, impact on the environment, and finance. The core elements of sustainability are:

SUSTAINABILITY

"The continuation of benefits from a development intervention after major development assistance has been completed.
The probability of continued long-term benefits. The reliance to risk of the net benefits flow over time."

Source: OECD-DAC, 2002, Glossary

  - **social sustainability** - impact on working conditions, compliance with international labour standards, social protection, etc.;
  - **financial sustainability** - financing of follow-up activities, sources of revenue for all future operating and maintenance costs, etc.;
  - **institutional sustainability** - structures that allow the results of the action to continue. Consider local "ownership" of outcomes;
  - **environmental sustainability** - impact on the environment. Avoid negative effects on natural resources and on the broader environment.

- **Finally, each project is unique.**

  This is due mainly to its temporary nature and to the multiplicity of factors involved. In terms of time-frame, every project has a definite beginning and an established end. Over time, problems change, just as people, dynamics, politics and opportunities do. Therefore, the same type of planned action may differ both in its conception and in its implementation, simply because one of the ingredients has changed. For example, new quality standards for the export of agricultural produce may require fundamental changes in processing and marketing practices of cooperatives, and thus require changes in the project strategy.

II. How is a project designed?

There are different approaches to project design. Many development organizations and donor agencies use project cycle management methodology and the logical framework tool the most. In many cases, they are even mandatory.

Project cycle management

Every project has to follow a series of phases, allowing the process to be guided from the moment the problem is identified until it is solved. This series of phases is known as the **project cycle.** Project cycle management (PCM) is a results-based decision-making tool. **Each phase is crucial and should be fully completed before going on to the next.** Programming new projects will draw on the final evaluation in a structured process of feedback and institutional learning.

Design is the starting point of the project cycle. Project design provides the structure of what has to be achieved, how it is to be implemented and how progress will be verified. Therefore the design is the most crucial phase. Its quality will influence the following stages in the project cycle.

Too often, little time is devoted to this phase due to scarcity of resources. Designing a project requires an upfront investment. Nevertheless, the less people are willing to invest in designing their project, the higher

the risk of compromising its quality when the time for implementation comes. In the case of resources, it is best to allocate a considerable amount to this stage, which can facilitate and improve the quality of analysis and identification of real needs. If financial resources are not available, time is still an important factor, one that can, for instance, contribute to cohesion among stakeholders and familiarity with the context and its main problems and challenges.

The project cycle management approach helps to ensure that:

- projects are relevant to the real problems of the target groups and make the most of existing opportunities;
- projects are feasible: objectives can be realistically achieved within the constraints of the external environment and capacities of the organization;
- the benefits generated by the projects are sustainable;

Although this may differ according to the procedures established by each donor agency, the project cycle generally has the five phases described in *Diagram 4.*

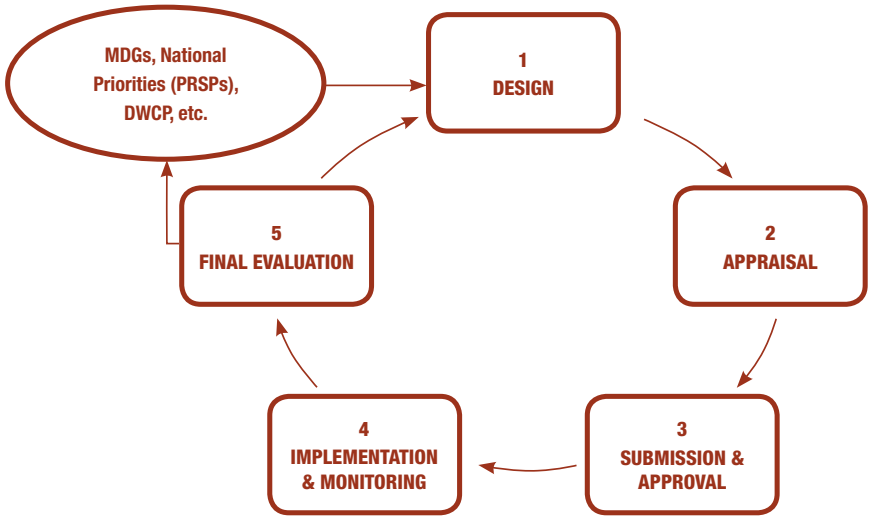


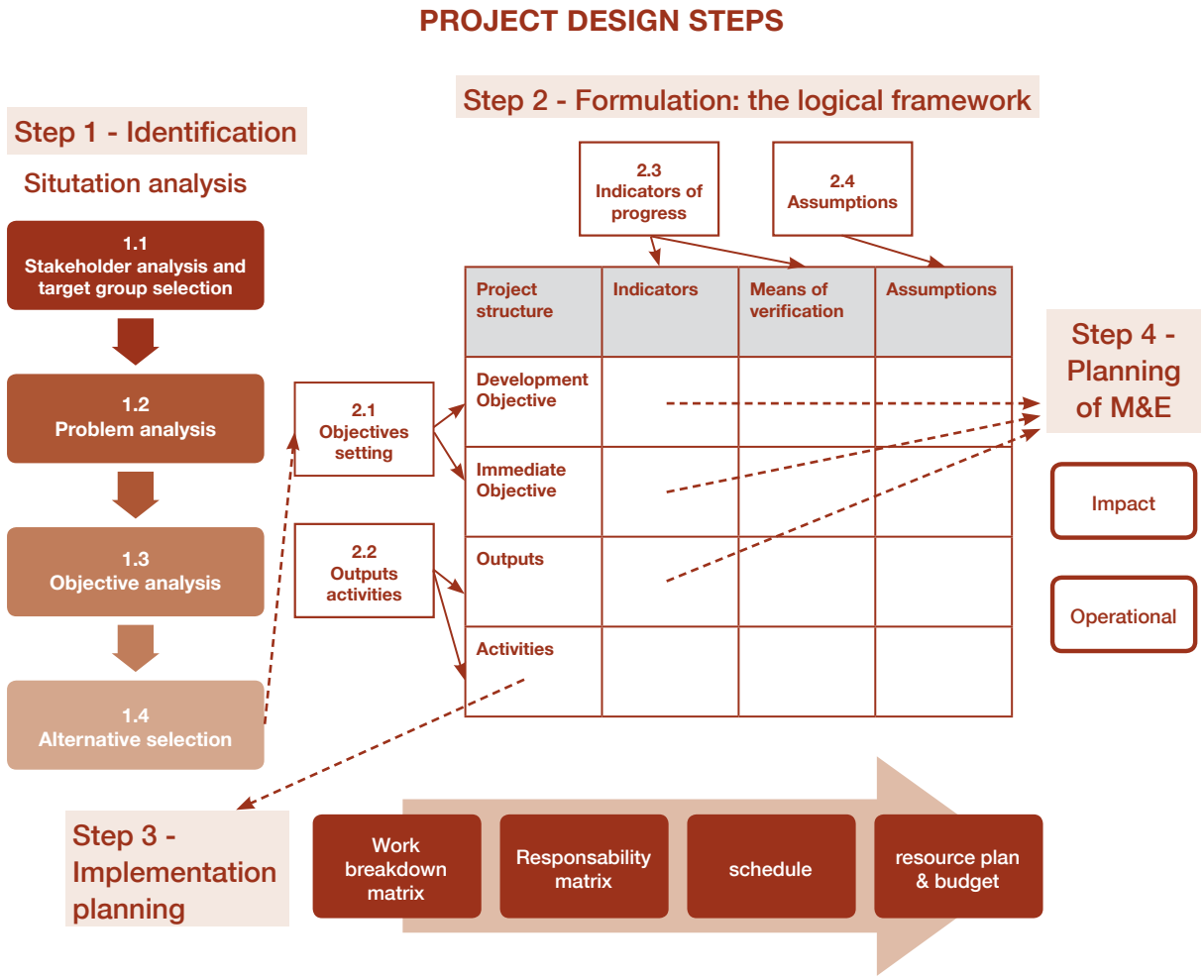
Diagram 4: The Project Cycle

<u>Phase 1</u>- Designing your project: analysing the situation, formulating your strategy and structure, preparing your implementation plan and planning an M&E system.

The design phase is the one presented in this manual. This manual suggests four subsequent steps to follow in order to design a good, simple and feasible project:
Step 1) Project Identification; Step 2) Project Formulation; Step 3) Implementation Planning; **and** ***Step 4) Planning of monitoring and evaluation.***[5] This is illustrated in diagram 5.

[5] If time and resources allow, these steps can be developed further. See the bibliography for more project design approaches.

Diagram 5: Project Design Steps



Step 1 - **Identification** is a participatory consultative process that analyses the situation and the problem.

Step 2 - Once the situation has been analysed and understood, the team in charge of the **formulation of the project** should establish concrete outcomes (objectives and outputs) to achieve, and outline the actions to be taken and the resources needed. It should also establish proper indicators for each objective.

Step 3 - Then, an **implementation plan** will be devised, based on the logical framework, in order to have both a results-based work plan and a budget.

Step 4 - Finally, your **monitoring & evaluation system will be planned** and budgeted for.

Phase 2 - Appraising your project

The **appraisal** is part of project quality control. It is an analytical assessment of the design to ensure that technical and design standards have been met and that the proposal is consistent with the cooperative's strategic or business plan, the priorities of national development frameworks, and the donor criteria before it is presented to a donor to mobilize **extra resources** for specific projects.

Quality control is integrated into the entire project cycle by various means. It should therefore start at the beginning of the design. The project designers must keep quality criteria in mind and must have an appraisal done before submitting the proposal. In the case of a cooperative, the appraisal could be done by a small, representative group of members. In the case of a cooperative's support organization, it could

be done by other staff members and representatives of stakeholders and the target group.

During the implementation phase, the monitoring and evaluation system ensures that the project stays on track.

Projects are periodically evaluated to determine the level of achievement of the project objectives during the project and upon completion. Thus, appraisal is one of the quality control mechanisms within the project cycle.[6]

Phase 3 - Submission of the project proposal to the donor, and approval

Once the project document has been formulated, it is submitted to the donor for appraisal. If approved, a contract will be signed and the project document annexed with the budget and timeline. The objectives should be achieved within the budget and deadlines listed in the document.

Phase 4 - Implementation and monitoring of the project

This phase is the concrete implementation of the activities planned in the approved document. The work plan (or implementation plan) is generally prepared at the formulation stage in order to assess its feasibility and plan the needs in terms of human resources, financial resources and time before submission to the donor. In some cases, the work plan will only be prepared if not done at the formulation phase or adjusted.

Monitoring takes place **throughout the project. It is an internal, participatory process**. It allows the cooperative or cooperative support organization to see whether the outputs are being achieved and the resources efficiently and effectively used and to take corrective action when needed. In some cases, the project's management, cooperative members or stakeholders may decide that the original design was unrealistic, the internal structure or the budget irrelevant or the management incompetent.

Phase 5 - Final evaluation of the project

This is generally conducted at the end of the project to see whether the planned benefits were achieved. Lessons learnt are underlined and could be documented so that they can be replicated or scaled up and integrated into future cooperative development strategies and projects.

Gender Mainstreaming

Mainstreaming a gender perspective is the process of assessing the implications for women and men of any planned action, including legislation, policies or programmes, in any area and at all levels. It is a strategy for making the concerns and experiences of women and of men an integral part of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres, so that women and men benefit equally, and inequality is not perpetuated. The ultimate goal of mainstreaming is to achieve gender equality.

Source: United Nations Economic and Social Council (ECOSOC) 1997, cited

Gender is mainstreamed in all five phases.
In each of these phases, **gender equality concerns** need to be taken into account in order to ensure

[6] PARDEV, 2010, E-learning self-guided workbook, Module 5, ILO, Geneva.

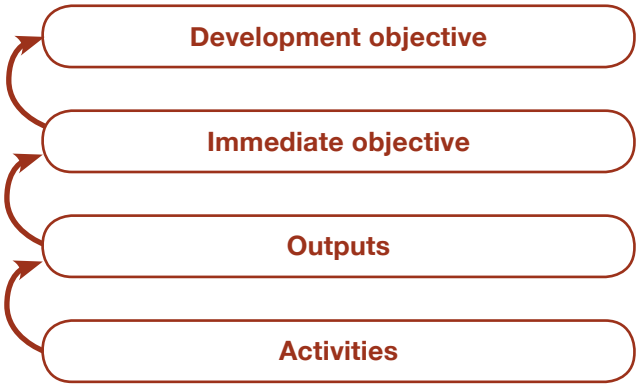
that the project design and implementation respond to the needs and interests of both women and men. For example, in the implementation phase, specific activities (e.g. additional, specific training courses for women, or other measures to allow women to participate in activities, meetings, decisions) may be needed to enable both sexes to benefit from the project. Such activities, like other measures to ensure gender-equitable outcomes, should be integrated into the project's planning and budget. Similarly, in monitoring and evaluation, the effects – and possible longer-term impact - that the project will have on women and men need to be assessed.

The logical framework tool (logframe)

The logical framework is based on a logic of **cause-effect relationships. It states that certain activities will produce certain outputs. These outputs will contribute to producing certain immediate objectives (or outcomes), and these will lead to certain development objectives. This is called the vertical logic of the logical framework**.

The **logical framework** is a **tool** that allows you to analyse the situation that will be used to design the project using a matrix. It gives you the logic and rationale behind how change is brought about.

Diagram 6: The vertical logic of the logical framework



The **logical framework is not an end in itself** but the product of your planning process throughout the project cycle. It ensures that the project you want to develop is results-based.

It is both an **aid to structured thinking** at the design stage and a **tool for ongoing project management and evaluation**. It is therefore highly valuable for ensuring the successful design and running of a project. However, although it is specifically designed to be participatory and as inclusive as possible, it does not automatically ensure engagement and commitment by all the different audiences that might be influenced by, or benefit from, the project. It is the responsibility of the project team to promote cooperative member-driven actions, based on negotiation and consensus.

Box 2: Advantages and limitations of the logical framework

The logical framework is a very useful management tool, and most donors and development players require it; but it is not, in itself, a solution to problems, and it does not replace the management skills that any implementing body needs to have. It presents the results of the situation analysis at the identification stage (stakeholder and problem analysis - see Phase 1 in the next chapter of this manual) in such a way that it is possible to set out the project objective systematically and logically.

Advantages:

It focuses the planning process on objectives, and not on inputs, activities or outputs (which are merely means by which to reach the objectives). It is precisely this feature that makes the logframe coherent with the principles of results-based management.

It presents the different components of the project in a systematic, concise and coherent way, thus clarifying and exposing the logic of how the project is expected to work.

It provides a structure with which to document and assess a project's progress. The logframe makes the identification of concrete and observable evidence of project progress a key part of the design process. Such verifiable evidence, called project indicators, form the basis of project monitoring during implementation.

Limitations:

The logical framework is only one of several tools to use during project identification, formulation, implementation, monitoring and evaluation. It does not replace institutional analysis, risk analysis, time planning, impact analysis, etc.

The risk that organisations will adopt a rigid or unchangeable strategy, making the logical framework act as a straitjacket on creativity and innovation.

III. Presentation of the case study

CASE STUDY – Decent work promotion and income generation through capacity development in the Hanassi Dairy Cooperative

INTRODUCTION

Throughout the manual, the case study of the "Hanassi Dairy Cooperative", located in a poor rural district in a developing country, will illustrate how a project document can be developed step by step. The case is imaginary, but inspired by real life.

THE CONTEXT

The **district of Tabacounda** is located in a developing country which is slowly progressing in human development and has experienced relative economic growth and political stability over the past decade. Despite these positive national trends, the district of Tabacounda still faces a number of development challenges such as unequal distribution of income, limited access to education and health, gender inequality and high youth unemployment. Young people are inclined to migrate to urban areas and generally do not consider agriculture an attractive employment opportunity. The district economy relies mainly on agriculture and suffers from low public and private investment and poor infrastructure; half of the sector's output remains at subsistence level. Farmers frequently form cooperatives that provide mainly supply and marketing services to their members. Processing of primary produce by cooperatives is not well developed in the district.

Hanassi Cooperative is a dairy cooperative. It has 750 members, including women and young people. The members bring their milk to the cooperative's five collection centres twice a day. The collection centres transport the milk in cans to the main cooperative collection site, from which it is sold to the one and only dairy processing plant in the district. The cooperative employs a manager and an accountant. The president, vice-president and management board members are elected and do their work on a voluntary basis. All leadership and management functions are filled by men.

The Hanassi cooperative aims to alleviate poverty among its members through a sustainable increase in income from cow's-milk production. In the next chapters, we will come to understand how the cooperative can develop and implement such a plan and thereby meet members' needs and aspirations.

PROBLEMS FACED BY THE COOPERATIVE

On top of the challenges posed by the broader context, the cooperative faces problems in its interaction with other agents, and suffers from internal problems:

Livestock disease. The high incidence of livestock disease has reduced the income of dairy farmers. The lack of veterinary services and skills, as well as the impossibility of farmers getting insurance against such hardship, means that some have turned to alternative means of livelihood. This has resulted in fewer transactions between the members and the cooperative and thus in falling turnover for the cooperative.

Dormant member base. Members, especially young people, are dropping out or have become inactive, which threatens the democratic governance and economic viability of the cooperative. Will the cooperative be able to survive in the long run without young members?

Insufficient equipment. The cooperative does not have cooled storerooms nor sterilizing facilities

to prevent the milk from getting spoiled. Nor does the cooperative have the equipment to produce butter, cream, yoghurt or cheese. Accordingly, the cooperative misses out on income-generating opportunities.

Inadequate management, entrepreneurial and technical skills. Hanassi is highly dependent on its main buyer and has not ventured into additional business opportunities or diversification of activities. Its management board is not sufficiently versed in business management and entrepreneurship. Members' technical skills in production of milk products are not well developed.

Gender and youth inequality. The declining income for dairy farmers particularly affects women and young members, who have fewer qualifications and generally face more difficulties in accessing business services. Women lack assets due to the inheritance law. Young people also have difficulty obtaining credit. Furthermore, despite their efforts, women and young people are not represented in cooperative leadership and management functions such as the management board and committees.

Limited social investment. The cooperative used to invest in the social well-being of its members and their communities by financing health centres, school fees and the rehabilitation of farm-to-market roads. Due to the lack of surplus generated by the cooperative, members cannot decide to invest in such projects any more.

STAKEHOLDERS INVOLVED

Several players in the district are concerned by the performance of the Hanassi cooperative, among them:

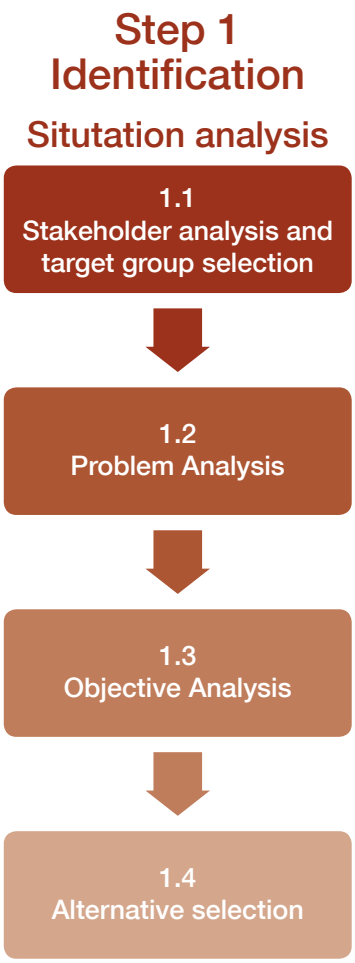
- the members, in particular the women and young cattle farmers and their households as well as the cooperative leaders;
- the employees of the cooperative (the manager and the accountant);
- the dairy processing plant, the local supermarkets, and other enterprises involved in the dairy value chain;
- the communities where economic activity and social well-being is influenced by the cooperative, including youth who are not members of the cooperative and seek for income generating activities;
- the Tabacounda vocational training centre, which is a branch of the Cooperative College in the capital, is responsible for providing training programmes to cooperative members, managers and leaders on cooperative education, technical skills as well as cooperative management and entrepreneurship training;
- the microfinance institutions, including saving and credit cooperatives, which wish to expand and diversify their client/user portfolio;
- the local government, which is responsible for implementing the district regulatory framework and providing basic services and infrastructure to the population;
- the Ministries of Agriculture, Industry and Commerce and of Health, which, through their local departments or through the local government, should guarantee equal access to their services and promote the socio-economic development of the district;
- the national union of dairy cooperatives, which provides business services to its primary society members and is a member of the national confederation of cooperatives;
- the national confederation of cooperatives, which seeks to promote the sustainable development of cooperatives and to voice cooperative interests at the national policy level, as well as internationally through its membership of the International Co-operative Alliance.

In the next chapters, we shall see who the key stakeholders in this project are, and how they can participate in the formulation of a project proposal.

STEP 1 – Project identification

The first step in the design phase (Phase 1 of the PCM cycle) is the **identification** of your project. The methodology used is called **situation analysis**. It consists of a series of tools that allow you to develop your project idea. It is the most important component of the project cycle because it facilitates the anchoring of the project activities to needs and priorities of the target group.

At the same time, it is crucial to conduct it in the wider framework of international and national priorities (such as the MDGs, PRSPs, DWCPs and gender equality national plans), to which the project aims to contribute in the long term.



Analysing the situation **in the framework of international, national and local priorities**:

- helps to identify the nature and magnitude of needs, prioritise them and establish the first criteria for developing the project idea;
- can be used by the project team as an institutional reference and starting point for the specific project's situation analysis;
- helps to map the relationships among all those involved and to create a sense of ownership of the project and its future development;
- improves the whole project proposal in terms of sustainability, and emphasises how the project is part of a wider strategy.

Several tools exist for a situation analysis. To prepare a results-based project, the following will have to be done:

1. *Stakeholder analysis and target group selection*
2. *Problem analysis*
3. *Objective analysis*
4. *Alternative selection.*

A gender analysis should be an integral part of the situation analysis. It will provide baseline information on the status of women in the community and in the cooperative, and critical information on how you can involve them in the project. See Box 2.

Situation Analysis:
"A project is essentially a structured action to solve a certain problem. Therefore, project design must start with an agreed understanding of the existing situation, in terms of what the problem to be addressed is, what are its causes and consequences, whom it is affecting, and which other key stakeholders are involved. Situation analysis focuses on answering these questions."

Source: PARDEV E-Learning training package: Module 2

The order in which to conduct the analysis will vary in line with the situation and the project. Indeed, **stakeholder analysis and problem analysis are closely connected**. People's views on a problem are essential to understanding its nature and possible solutions. In most cases, an organization already has a broad idea of the problem they want to tackle through a specific project. A project can also be a way to implement part of a cooperative development strategy, or be part of a business plan. We therefore suggest that you start your situation analysis once you have set out the core problem. This problem could later be formulated better, during the problem analysis stage. Moreover, certain aspects of the situation analysis (e.g. the stakeholder analysis) need to

be revised once the project has been approved but before getting into the real implementation phase, in case the project's conditions change.

The core problem of the Hanassi cooperative is the **declining income of the cooperative members, particularly its women and young cattle farmers.**

1.1 Conducting a stakeholder analysis and selecting your target group

Starting the project design by analysing the stakeholders and their context helps ensure that the project is adapted to the cooperatives' needs and capacities. But in many cases it is useful to start with the problem in order to identify all the stakeholders concerned.

The focus of a results-based project is the target group. Since the project also aims at achieving sustainability, in addition to the target group, other players have to be considered at this stage, by understanding their potential role in the project and their interests and expectations in terms of benefits. Right at the beginning, it is therefore necessary to identify all the stakeholders likely to be affected (either positively or negatively) by the project and analyse their potential involvement in it. The stakeholders are "not only the people and institutions that carry out the project, but also those structures and cooperative organizations that play a role in the project environment".

1.1.1 Methodology

As the first action in the project design process, people in charge of the project design can get organized into a group. This group is usually chosen when the first project idea emerges and – if implementation is confirmed – it could support the identification of the project team (including members of the design team). The main task of the project team is to coordinate the whole process and the project implementation. This does not mean that they are alone in carrying out the activities, but that they are accountable for them.

In the ideal case, the project should be designed using participatory planning methods which actively involve the cooperative members. For instance, a project design workshop combined

Box 3: Gender dimension of the stakeholder analysis

The stakeholder analysis must systematically identify gender differences, as well as specific interests, problems and potential among the stakeholder groups. Not all women are the same, and inequalities can also exist among different groups of women (rural or urban dwellers, women from different ethnic groups, different age groups, etc). The circumstances, needs and views of different groups of women need to be taken into account in any gender analysis.

The same analysis should be done with youth and people with disabilities, who often experience similar inequalities.

Box 4: Socio-economic and gender analysis: The questions to ask

When identifying and examining impacts of development on male and female members of the cooperative or the community at large, you can ask the following questions. Try to come up with sex-disaggregated data.

- Who does what work?
- Who has access to, and who has control over, resources?
- Who has access to, and who has control over, benefits?
- Who participates in decision making?
- Which needs are being met?

Source: Bishop, 2001, SEAGA project cycle management technical guide , FAO, Rome http://www.fao.org/sd/SEAGA/downloads/En/projecten.pdf

Cooperative stakeholders: individuals, organizations or institutions from the cooperative movement, or linked to it, that may – directly or indirectly, positively or negatively – affect or be affected by a project or programme.

They could include:

- cooperative members;
- cooperative unions, federations or confederations;
- cooperative colleges and other educational institutions with cooperative-related curricula;
- ministries, departments or state agencies at national and local level mandated to support the co-operative movement (e.g. registration and broader policy and legal environment) or involved in areas affecting the co-operative movement (e.g. finance, agriculture, health, housing);
- service providers (e.g. private consultancy companies, micro-finance institutions [MFIs], cooperative and other banks, non-governmental organizations [NGOs], community organizations) providing expertise, financing, lobbying and advocacy, etc.;
- Individuals who bring a particular expertise to the project;
- Donors.

with a series of brainstorming sessions, individual meetings, focus group discussions are very useful. Indeed, one single workshop often facilitates the prevailing of dominant positions, based on power, leadership and influence, whereas small group discussions allow better reflection, better participation by women and more inclusive plans, and generate stronger ownership by the members. In some cases, the capacities of less experienced stakeholders need to be reinforced. In other cases, stakeholders may abuse their power, and cooperative stakeholders might not be allowed to speak freely in front of them. This can also be due to a lack of capacity in participatory and inter-active methods.

Although in practice this variety of participation and ownership rarely happens, due to many different factors, in the case of co-operatives, the team can build on consultation and management processes within the cooperative's governing mechanisms (such as for instance the general assembly, supervisory and working committees) The project team must bear in mind that there is a direct relationship between **participation** and **sustainability**, and should be aware of the risks of exclusive processes.

A series of tools exist for identifying and analysing the different stakeholders. Some of them are presented below[7].

1.1.2 Stakeholder matrix

Different tools can be used to conduct a stakeholder analysis. One such is the stakeholder matrix.

Having identified the core problem, you need to ask **WHO** these problems actually affect most, and what the characteristics and interests of different stakeholders might be in tackling the problems and finding solutions.

The main objectives of the stakeholder matrix are to:
understand the interests of different groups and their capacity to tackle the core problem; and design activities that appropriately address institutional capacity and social issues.

It is highly recommended that a second stakeholder analysis is done once the project design has been finalised (see step 2) in order to agree on the groups who will benefit and contribute to getting the desired results.

The type of information presented can be adapted to the different needs of a situation analysis. Additional columns can be added to deal specifically with the different interests of men and women, such as "motivation to bring change" and "power and influence".

[7] For further tools, please refer to the bibliography.

Key actions in developing a stakeholder matrix at a participatory workshop:

1. Identify the **core problem of the cooperative** being addressed.
2. Identify **all those groups** affected positively or negatively by the problem.
3. Make sure that **gender balance** is respected and that women feel comfortable expressing themselves in large and mixed groups.
4. Investigate their respective **characteristics and capacities.**
5. Identify their different **interests and expectations** in resolving the core problem (positive or negative) by sex. In some cases, you can have conflicts of interest (e.g. in the case of the Hanassi cooperative, the supermarket may not have any interest in seeing the cooperative improve its milk marketing. The supermarket might even take a counter-measure, such as reducing its prices.)Interpret the findings and incorporate relevant information into the project document (**implications for planning**).

In the Hanassi cooperative case study, the key stakeholders directly concerned by the core problem (*the declining income of the cooperative members, particularly its women and young cattle farmers*) are presented in the following matrix, together with their main characteristics, capacities, interests and expectations, and the implications for planning. The list of characteristics is not exhaustive, but it highlights the elements which affect the project design.

Stakeholders	Characteristics / capacities	Interests / expectations	Implications for planning
Cooperative members (750)	• Nearly 60% have an income below the national minimum wage • Almost half the members are women but they are not represented in cooperative governance and management functions • 30% of the members are below the age of 35. • Lack of technical skills (e.g. cattle care, milk storage and processing) • Limited awareness on obligations and rights • Limited access to affordable credit and other financial services • Good quality of milk produced despite the limited conditions	• To improve their livelihoods • To improve the quality and quantity of milk and dairy products • See their requests and priorities taken into consideration by the management board and leaders • Women and youth want to be represented in the management and leadership functions of the cooperative	• Capacity-building needed, especially of women and young members • Need to reduce the incidence of livestock diseases • Need for access to credit and micro-insurance schemes, especially by women and young members.
Youth in the district	• Lack of entrepreneurial skills • High unemployment • Potential migrants to urban areas • Not particularly interested in agriculture	• Positive interest in new opportunities • Want to get more skills • Interest in getting a job	• Capacity-building needed • Level of commitment highly related to employment opportunities
Tabacounda vocational training centre	• Curricula not updated and not in line with local labour market needs • Good understanding of cooperative training needs	• Need more training and management skills • Interest in attracting more students	• Curricula need to be updated • Capacities of teachers need to be reinforced • Improve their research techniques for a better understanding of local labour market

Cooperative leaders (president and elected board members) and staff	• Limited governance skills • Lack of management skills • Lack of entrepreneurial and business skills • Lack of motivation due to low salaries of staff and unpaid jobs for leaders • Male-dominated	• Positive interest in improving the cooperative's performance • Positive interest in retaining young and female members for the future of the cooperative	• Capacity-building needed • Cooperative governance mechanisms and bodies need to be more inclusive
Microfinance institutions (MFIs)	• Female-dominated client base, few young people • Low revolving fund and lack of funds • Little diversification in financial services • Crucial for development of income-generating activities	• Positive interest in having new clients and offering new services • Need support and resources	• Access to credit should be included in the cooperative business plan • Capacity-building of the (MFI) management needed
Local government	• Responsible for the development and maintenance of infrastructure such as feeder roads • Decentralized responsibilities in taxation, land ownership, land registry, education, consumer health and safety • Little interaction with enterprises , including the Hanassi cooperative • Legal framework does not provide for public-private investment projects involving local government, cooperatives and other enterprises • Poor human and financial resources	• Positive interest in improving the quality of life of the district population • Need to mobilise more funds in order to maintain and rehabilitate infrastructure • Want to formulate a district development plan together with key stakeholders	• Need to develop partnership with other development players to support the government in infrastructure rehabilitation • Stronger links among agricultural training and extension, crop production, access to credit, processing, marketing and insurance need to be promoted, institutionalized and regulated • Capacity-building needed for public servants and decision-makers

Ministry of Agriculture – local agricultural extension service	• Monopoly of service provision (veterinary services, etc.) • Incentive for knowledge-transfer to farmers is low • Lack of resources	• Interest in improving agricultural production	• Client responsiveness to be developed • Promote cooperation with other service providers • Move from direct service provision to enabling service provision by the cooperative union and Hanassi
Dairy plant	• Monopoly • Highly dependent on milk supply of the cooperative • Close to supply but far from clients • Obsolete equipment	• Fear collective negotiation power of dairy farmers • Interest in improving milk quality at the cooperative site • Fear losing local market share if cooperative starts production of dairy products (butter, yoghurt, cheese) • Interested in modern equipment and joint ventures	• Need to engage in dialogue on common interests • Need to explore joint ventures
Local supermarkets	• Sell imported milk cheaper • Good but expensive distribution chain • Low-income clients	• They fear competition from the cooperative • Interest in increasing the purchasing power of potential clients	• Need to engage in dialogue on win-win situation, for instance through differentiation of dairy products sold by the supermarket (fresh, local, “bio”, etc.), reliable supply and limited transportation costs
Cooperative dairy union	• Low service provision to Hanassi cooperative • Suffers from political influence	• Interest in developing the cooperative dairy value chain (cooperation among cooperatives) • Interested in setting up cooperative insurance system.	• Capacity-building needed to offer relevant, high quality and affordable services to member cooperatives

National confederation of cooperatives	• Limited influence on national policy making • Little interaction with dairy union	• Interest in improving its members' performance • Interest in taking part in policy dialogue at national level	• Need to improve their services to members • Capacity-building needed for lobbying, advocacy and social dialogue

1.1.3 Selecting the target group (direct recipients and ultimate beneficiaries)

The target group is a group of people who will benefit from the project. Within the stakeholder analysis, the target group analysis is of particular relevance and requires special attention.

In most projects, organizations will not deliver direct services to persons, but run services that build the capacities of organizations so they can provide new or better services to a certain group of people. We therefore need to distinguish between the **direct recipients** of project outputs or services and the **ultimate beneficiaries**.

The **direct recipients** are **those who are directly affected by the core problem, and who will benefit from the project outputs and services**. The **ultimate beneficiaries are those who will benefit from the project in the long term**. During project design, it is particularly important to assess the **capacity of the direct recipients** carefully: are they really committed, do they have the resources (time, staff, etc.) to participate in the project, and do they have the capacity to play their role in the project? Building up the capacity of the target groups is crucial not only to achieving the project's objectives and outputs, but also to ensuring that the benefits are sustained once the project ends.

When considering capacity-building activities, it is important to examine whether women comprise a good part of the recipients, and to see whether they need specific targeted action (such as literacy) to be on a par with men.

Target group:
Those benefiting from the project. You can distinguish between:

- direct recipients (or direct beneficiaries): the group/institutions who will be directly affected by the project at the level of the outputs, e.g. primary cooperative, a cooperative union or federation;

- ultimate beneficiaries: those who benefit from the project's development objective (such as local food security) in the long term, e.g. family of the cooperative members, consumers and clients of products and services provided by the cooperative.

Project partners:
Support and participate in the design and implementation of the project. They can be part of the project's Steering Committee, e.g. Ministries, cooperative apex body, trade unions, employers' organizations, cooperative support agencies.

The case study presentation and the stakeholder matrix above show that the direct recipients (direct beneficiaries) are the Hanassi cooperative members especially women and youth, cooperative management and leaders.
The ultimate beneficiaries are the members' households and communities (which can benefit indirectly from increased production and incomes, identification of new community-based projects, etc.).

1.1.4 Analysing the target group: a SWOT analysis

As a parallel process in the analysis of the situation, a **self-diagnosis of the capacity of the direct recipient** to carry out the proposed project needs to be done through the analysis of the cooperative's or cooperative support organization's strengths and weaknesses, as well as the opportunities and threats in the external environment (a SWOT analysis). The SWOT analysis is a powerful tool for carrying out a diagnosis of the target group. It can be used to complement and enrich the stakeholder analysis.

A SWOT analysis examines both the internal and the external situation of the target group and partners. Therefore it is particularly useful in projects where the target group's capacities might have a big influence on the achievement of the objectives, or when there are external elements in the context of the target group's capacities that can affect the project.

In a nutshell, a SWOT analysis can reveal the capacity of the target group and the implementation partners to perform their roles, as well as their comparative advantages. It can also show hidden obstacles to a potential project.

Strengths and weaknesses

Strengths and weaknesses are internal features of the organization that facilitate or hinder its ability to achieve certain results. Strengths and weaknesses are always relative to a certain goal. Therefore, when used for internal analysis of the applicant and partners, strengths and weaknesses analysis must concentrate on those features that can be positive or negative for participating in the project and providing and sustaining quality services to the target group.

When the SWOT analysis highlights a lack of capacities on the part of the applicant to perform all the activities listed in the project, the organization must find other partners among the stakeholders who can fill the capacity gaps.

Strengths are positive aspects internal to the organization, and refer only to those capacities that make up its specific core competencies.

Weaknesses refer to either the absence of key capacities and resources, or the presence of inappropriate capacities and resources.

Strengths and weaknesses can be modified to some extent by the project. Project designers should include measures to consolidate the key strengths and overcome critical weaknesses of the stakeholders, particularly ones that could compromise the sustainability of the project results. A good project strategy takes as much advantage as possible of stakeholders' strengths. It is also important to take measures to neutralize the impact of weaknesses.

Opportunities and threats

Threats and opportunities are factors in the context outside the cooperative or cooperative support organization that can trigger events which affect the organization's ability to achieve certain results. Unlike strengths and weaknesses, threats and opportunities cannot be manipulated, since they are beyond the control of the organization. What the organization can do is develop strategies to maximize its ability to take advantage of the opportunities and to minimize any impact of the threats.

Threats and opportunities are those factors external to the cooperative (or cooperative support organization) and beyond its control but affecting it positively or negatively at the political, economic, socio-cultural and environmental levels.

Threats and opportunities are identified during project design. In this way, the project strategy can include measures to benefit from the opportunities. In addition, the strategy can include preventive action to lessen the negative effects of threats. Such measures would help to bring the negative effects down to an acceptable level at which the success of the project is not compromised.

Key actions in conducting a SWOT analysis

1) Using the matrix below, ask the target group, such as cooperative members or staff, to brainstorm on the following question: "What are the **internal strengths** within your cooperative (or cooperative support organization) that could affect the problem you want to solve?"

2) Identify your **internal weaknesses** that may prevent you to from solving the core problem.
3) Brainstorm on external **opportunities** beyond your control that could have a positive impact on solving the core problem.

4) Identify **threats** in the external environment that might hinder your efforts to solve the core problem.

5) Develop an **overall strategy**. This information can be used to help develop a strategy that uses the strengths and opportunities to reduce the weaknesses and threats, and to achieve the objectives of the organization. Internal weakness will have to be turned into positive results to be achieved while emphasising the strengths and opportunities.
The following questions can guide the discussion:

- How can the cooperative use and capitalise on each strength?
- How can the cooperative remedy each weakness?
- How can the cooperative exploit and benefit from each opportunity?
- How can the cooperative mitigate each threat?

Source: adapted from *ITC/ILO, 2009, Strategic planning: At the core of sustainable development. DELNET training course on disaster risk management and sustainable local development, ITC/ILO, Turin.*

A SWOT matrix of the Hanassi cooperative

INTERNAL	EXTERNAL
Strengths • *Large member base* • *Important player in the local economy* • *Good quality of milk, despite limited equipment and capacity* • *Youth represented among the members* • *Independent and autonomous leadership*	**Opportunities** • *Cooperative union interested in developing cooperative diary value chain* • *Dairy plant interested in joint ventures* • *District development plan to boost local economy*
Weaknesses • *Lack of business and member management skills* • *Lack of entrepreneurial skills* • *Passive members with little involvement in the decision-making process* • *No representation of women and youth in management functions* • *No milk storage and processing facilities* • *Limited access to credit for youth* • *Limited experience in managing projects of over $US 20,000*	**Threats** • *Dependence on dairy plant as only client* • *Government monopoly of veterinary services* • *Bad road conditions* • *Cooperatives are not on the national development agenda* • *Legal framework does not provide for public-private investment projects involving local government, cooperatives and other enterprises* • *Local supermarket sells imported milk cheaper*

How to interpret this SWOT analysis

The analysis of the SWOT can include, for instance, the following findings:

Since the target group has some weaknesses, a strategy to reinforce its internal capacities through a partnership with a service provider could be part of the project.

Large membership and local political support should be taken advantage of.

A training programme on business plan formulation for the Hanassi management board could be designed together with the MFIs, with the objective of investing in storage facilities and assessing the feasibility of starting milk processing and product diversification.

At the policy level, advocacy activities could seek to initiate legal reform on public-private investment involving local government and cooperatives.

Etc.

This analysis should be taken into consideration at the next step in identification: analysing the problem. Indeed, some conclusions from the SWOT should be added to the problem tree.

1.2 Analysing the problem

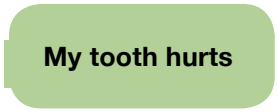
Every project aims to help solve a problem that affects the target group or groups (e.g. the cooperative members and the community).

The problem analysis identifies the negative aspects of an existing situation and establishes the "**cause and effect**" relationships among the problems that exist. The core problem of the target group must be clearly identified. It is essential to understand the root causes of the problem and the effects the problem has on the beneficiaries. This can be represented diagrammatically by constructing a problem tree. The causes are structured by clustering similar ones and by developing a hierarchy of causes.

The problem tree has three different components:

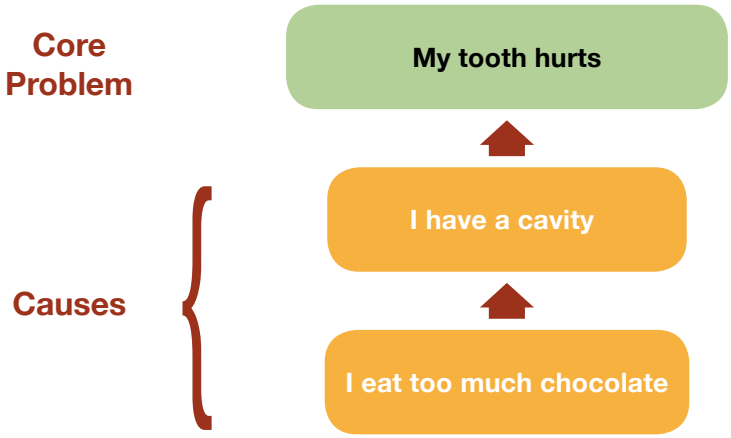
1.2.1 The core problem

The core problem must be the starting point for every project. It provides the rationale and gives it meaning, in that it aims to make a significant contribution to solving a relevant problem for the target group. If the starting point for the project is a detected opportunity, then it is still important to identify the main problem (or challenge) hindering the desired situation from becoming reality. So, regardless of our initial positive or negative considerations when looking at the existing situation, we will always end up identifying the core problem (or challenge) to tackle.



1.2.2 The causes of the core problem

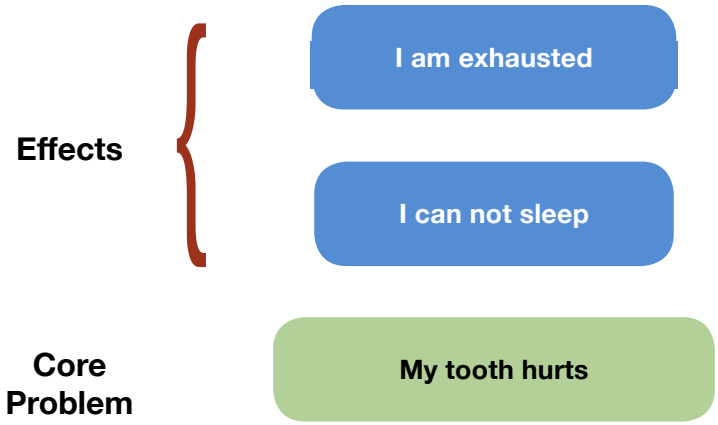
Each problem has its own history, and we have to find out what underlying factors (causes) have led to the current situation. Once identified, the **causes (roots) of the core problem** are located under the core problem:
The core problem is my toothache. Usually we stop at the first level of the cause, just going to the dentist to remove the caries. But it is a short-term solution, since the root of the problem was not tackled. I therefore need to ask all the relevant questions and make the cause-and-effect links, then change my dietary habits and solve the core problem in the long term.



The key purpose of this analysis is therefore to make sure that all the “root causes” are identified and subsequently addressed in the structure of the project, not just the “symptoms” of the problem. The key to a successful project is to tackle the causes of the core problem. Unless we do that, the problem will arise again.

1.2.3 The effects of the core problem

The cause-and-effect chain can also be continued beyond the core problem. In this case, the chain forms the set of events that are the **effects of the core problem.** All problems or needs are embedded in a social, political or environmental context and are often systemically linked to other needs. Therefore, anything affecting one area also interacts with others parts of the system. The core problem generates consequences or other problems. The effects of the core problem are in the form of more general social, environmental, political or economic conditions (usually negative) that result from the problem. They are placed on top of the core problem:



A problem analysis aims to understand the causes of the core problem you want to address with your project.

1.2.4 Building the problem tree

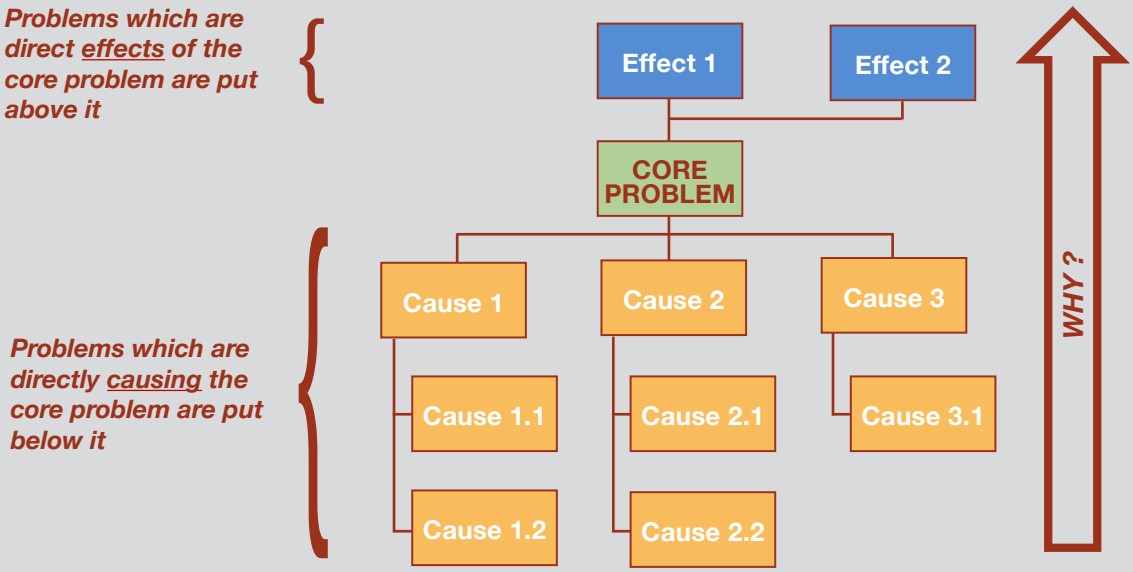
Key actions in building a problem tree:

1) Organise a participatory workshop, discussions and meetings with the target group and all the relevant stakeholders, paying particular attention to the ability of different groups (e.g. women or youth) to participate and voice their issues.

2) Starting with the core problem the project team identified at the beginning of the situation analysis, openly **brainstorm on problems and their causes** which stakeholders consider to be a priority. Each participant could write a problem on a card. All the problems will then be posted on a wall or flipchart.

3) Use the problems identified through the brainstorming exercise to reformulate the core problem and then begin to establish a **hierarchy of causes and effects,** as illustrated in Diagram 7:

Diagram 7: Hierarchy of causes and effects



4) All other identified problems are sorted in the same way. The guiding question is "**WHY?**" More causes can be added

5) Connect the problems with cause-effect arrows

6) Look at the problem tree and verify its cause-effect links

Source: European Commission, 2004, Aid Delivery Methods, Volume 1 : Project cycle management guidelines, EC, Brussels

The exercise of building a problem tree is important as it is an opportunity to discuss openly the problems to address with all the stakeholders, whilst it is also a learning process.

During the process, remember that not everyone will necessarily feel able to express openly the problems they have identified. This may be because they feel it may affect their relationships with others or because they are not used to speaking out in large groups. For example, gender issues might be seen as difficult to discuss in a large group even if they are affecting the business success of the cooperative. In some cases, it may therefore be useful to set up smaller groups to brainstorm problems. The membership of these groups might be limited to one stakeholder group, e.g. women cooperative members or cooperative management board members. It is therefore important to determine whether the different groups of people perceive the problem in the same way.

Interviews and anonymous questionnaires may also be used to collect additional points of view. Although these techniques do not promote open dialogue and active participation, they provide additional data that might otherwise be inaccessible.

The product of the problem analysis workshop will be a simplified version of the reality without trying to explain all the complexity of the problems. It is a summary of the existing negative situation. It is the most important stage of the project design because it will be the basis of the subsequent analysis and decision-making on the project priorities.

Problems need to be stated as a subject, a verb and an object of the verb. They should not be stated as a lack of something because this presupposes the solution.

When formulating the problems, it is important to avoid:

- vague concepts such as “lack of infrastructure”: we should specify the type of infrastructure (feeder road, electricity network, school buildings) and the geographical place;
- interpretation of problems: “too much bureaucracy in local government”: we should specify whether it is a problem of delays, of adequate support, of computerised system, etc.;
- absence of a solution, such as “lack of money so young people cannot get vocational training”: we should analyse why they cannot get access to training: “fees are not affordable”.

Box 5: Main points to consider for gender mainstreaming

- Do gender issues underpin the core problem?
- Are gender issues an important component of the problems identified?
- Participation (“giving a voice”), awareness and access to consultation meetings can often be problematic for women. Is this taken into account during the participatory situation analysis?

As an example of a problem tree, we will use the case study.

In step one (identification), we found that the core problem of the Hanassi cooperative was the

declining income of the cooperative members, particularly its women and young cattle farmers.

Therefore this problem is at the centre of the problem tree.

A workshop was organised with representatives of all the stakeholder groups and representatives of the direct recipients (the cooperative members, management board and leaders , with special attention to women and young people) in order to analyse the problems.

After reading the case study and analysing the stakeholder and SWOT matrices, some of the problems selected as **causes** (roots) of the core problem could be:

From the case study presentation:

- high incidence of livestock diseases
- few transactions with members
- high dependence on dairy plant
- little expertise in business management, entrepreneurship, competitiveness and marketing strategies at the level of cooperative management
- fall in active members
- inadequate storage of milk
- lack of capacity to process milk and diversify products
- weak technical skills of members
- poor road conditions

From the stakeholder analysis:

- supermarket sells cheaper imported milk
- MFIs have a small revolving fund
- local government lacks resources for infrastructure rehabilitation
- no district development plan devised yet
- lack of technical and management skills among youth members
- lack of information and awareness of rights and obligations of cooperative members

From the SWOT analysis:

- lack of modern management information system
- lack of access to micro-credit for young people
- limited experience of designing and managing projects
- legal framework does not provide public-private investment projects involving local government and cooperatives

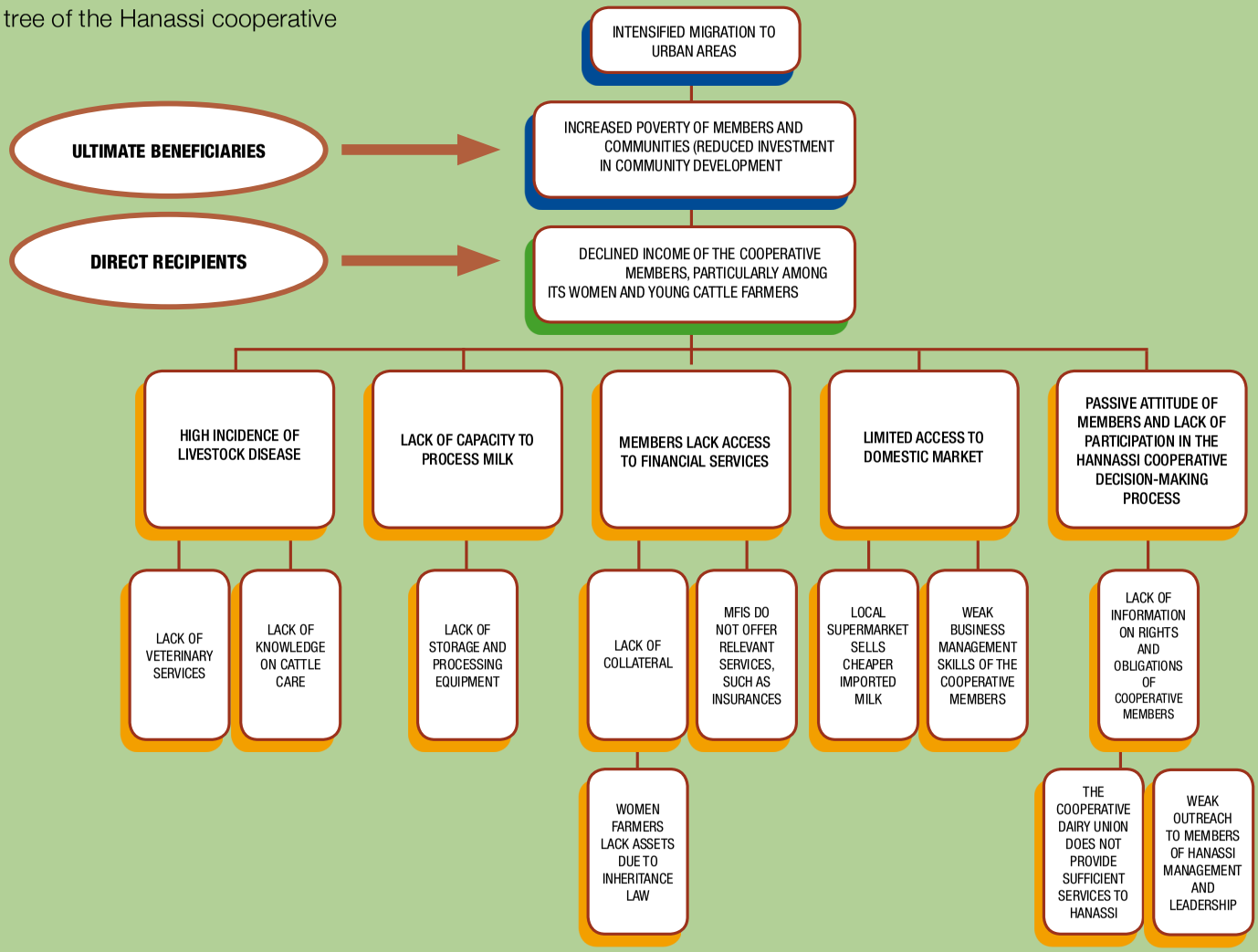
Some of the **consequences/effects** of the core problem (on top of it) could be:

- an increase in poverty in the district due to lack of income-generation and self-employment
- intensified migration to urban areas.

While doing the problem tree, the team used the above list of problems identified and tried to find cause-and-effect relationships among them, which means that some are the root causes of others. The stakeholders added the cause-and-effect links among these different causes in order to build the problem tree. For some problems, causes were missing. For example “limited access to financial services”: the group should start asking **WHY** they have this problem. It can be because of the “lack of collateral”, “little knowledge of how to develop a business plan”, “MFIs do not offer relevant services, such as insurance”, etc.

Please note that this problem tree is just a **simplified example** and more root causes could be identified when designing a "real" project.

Diagram 8: Problem tree of the Hanassi cooperative



1.3 Analysing the objectives

The analysis of objectives is a participatory approach used to describe the situation in the future once problems have been resolved, and to illustrate the **means-end** relationships in the diagram. The negative situations on the **problem tree** are converted into solutions, expressed as positive achievements on the **objective tree**. The core objective or the desired situation will be at the heart of the objective tree, the effect on top of it and the causes, which should be results, underneath.

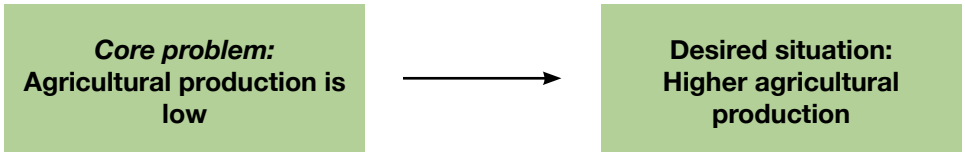
Like the problem tree exercise, the objective tree should be developed through a consultative workshop, ideally with the same stakeholders. The stakeholder and internal analyses should also be taken into account while assessing how realistic the achievement of some objectives is and also identifying other means necessary to achieve the desired end.

Like the problem tree, the objective tree has three main components:

1.3.1 The desired situation

This corresponds to the core problem on the problem tree transformed into a positive statement.

Example:



The desired situation represents the real change that the project will achieve. In accordance with results-based management, the desired situation describes a result and refers to a change in the target group and the impact (above the desired situation) on the ultimate beneficiaries.

1.3.2 The means to achieve the desired situation

The objective tree includes all the necessary and sufficient situations (also called means or objectives) that are necessary to obtain the desired situation. On the objective tree, objectives are graphically connected to each other based on means-end logic. The result is a visual model (see Diagram 9) that shows how the desired situation can be brought about.

1.3.3 The desired situation impacts

In the problem tree, the main problem was also the cause of other problems: these are called “problem impacts”. Correspondingly, the desired situation is the means to achieve positive situations that contribute to tackling the problem’s effects. These positive situations are called “desired situation impacts”. An impact can be “poverty reduced in the region”, “young people have decent employment in district X”, etc. It is important to note that your project (the desired situation it aims to achieve) will only **contribute** to the long-term impacts. Other projects will need to be implemented, by other partners, to actually achieve long-term impacts.

1.3.4 Building the objective tree

Key actions in building an objective tree:

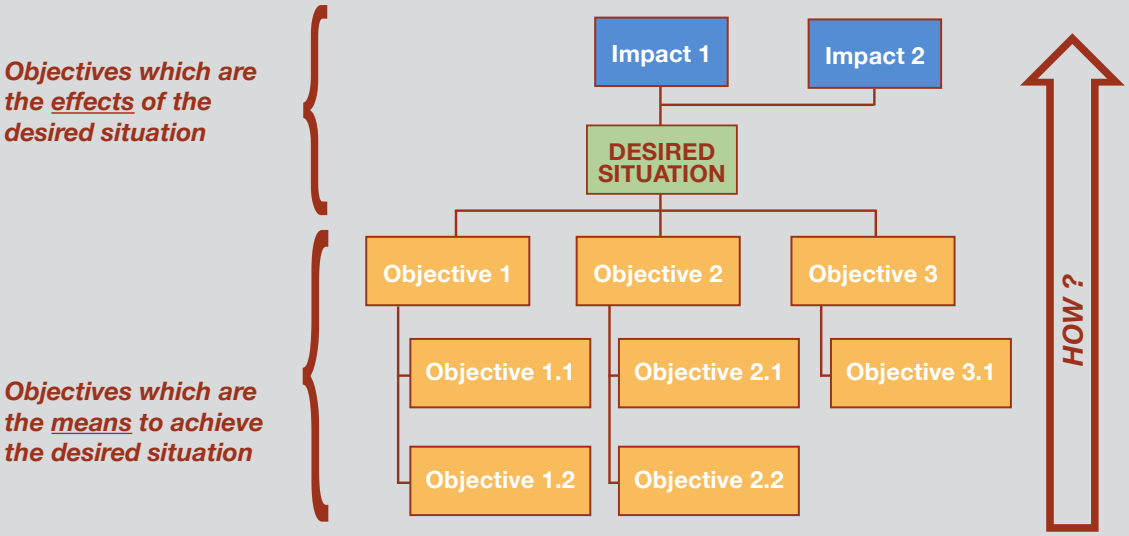
1) **Reformulate all negative situations from the problems analysis into positive situations** that are desirable and realistically achievable.

2) Check the means-ends relationships to ensure the validity and completeness of the hierarchy (cause-effect relationships are turned into means-ends links).

3) Check assumptions of equity. Will everyone involved really benefit or will some groups have more access to benefits than others?

4) The guiding question is **"HOW"**?

Diagram 9: Objective tree



5) If necessary: revise statements, add new objectives and delete the ones which do not seem suitable or necessary.

Some problems cannot be transformed into realistic objectives. "Strong typhoons during the rainy season" cannot become "reduction in typhoons". This problem is beyond the control of the project. But if it has a strong influence on the achievement of the desired situation (destroying the crops in an agricultural project, for example), then the problem will need to be kept. At a later stage, once the project is formulated, this problem could be added to the list of assumptions. The project managers will probably have to think of measures to take to cope with the typhoons, like building protection walls or protecting dikes.

We will use the case study as an example of an objective tree:

In the case study, the core problem was:

"the **declining income of the cooperative members, particularly its women and young cattle farmers".**

The core objective will become:

"Members' income, particularly that of women and young farmers, increased through the improvement of the cooperative's governance and business performance"

When drafting the objectives, it is important to follow the steps listed above. The causes and the effects of the problems will be redrafted into objectives below and above the "desired situation" using the same mean-and-ends logic.

Therefore the objective tree of the case study could be as follows:

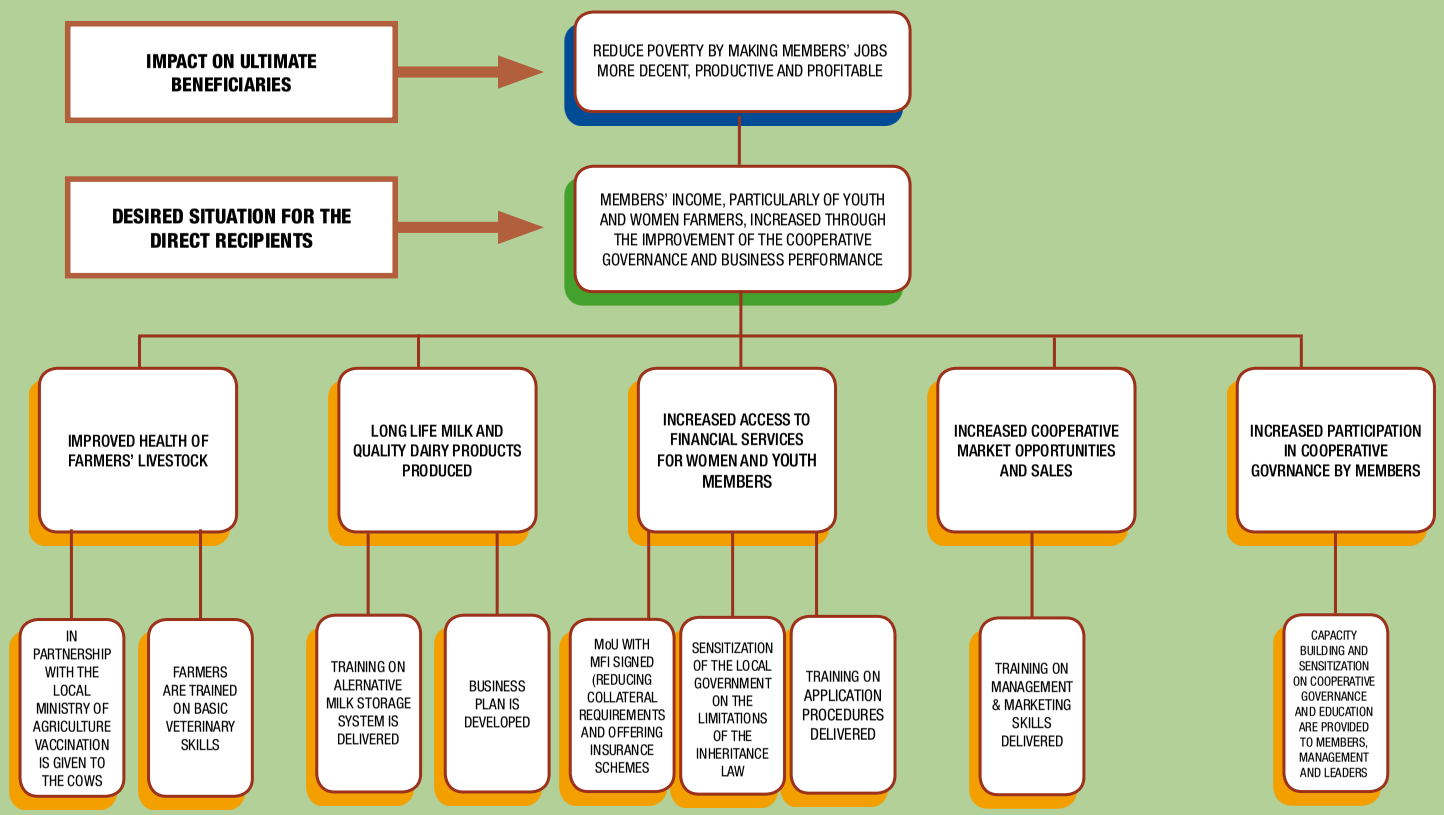


Diagram 10: Objective tree of the Hanassi cooperative

1.4 Selecting your strategy

Once your objective tree has been finalised, you have to select the **project strategy,** which is the final step in the situation analysis. It implies the selection of the strategy that will be used to achieve the desired objectives. It involves deciding what objectives will be included in the project and what objectives will remain outside it. You need to set clear criteria for making the choice.

The criteria have to be chosen and agreed upon by all the stakeholders. Examples of possible criteria are:

Benefits to the target group	• priority / urgency • equity (by sex, age, socio-economic situation) • level of participation
Feasibility (*could use the SWOT analysis already done*)	• financial and economically • technical • human resources • duration of implementation
Link with stakeholders policy	• consistent with cooperative business/strategic plan • fit with mandate • consistent with national strategies (such as PRSP, MDG) • compatibility with potential donor priorities
Sustainability	• of the benefits • ability to repair and maintain assets post-activity • environmental impact

In most cases, a single project cannot address all the objectives necessary to solve the problem fully. The project team must therefore use the objective analysis to choose the strategy that can make the most significant contribution to solving the problem.

In this regard, recalling the core principles stated in the previous chapter, the uniqueness of each project has also to be seen in the light of the multiplicity of actions and strategies that characterise each territory, community and potentially each cooperative. The success or failure of each and every project will also depend on the synergy that its management team creates with other, complementary initiatives. For example, the objective of an agricultural cooperative is to improve its members' production by ensuring compliance with quality standards at all levels of the production process. The cooperative will need to monitor a variety of factors, for instance physical assets (soil, water, seeds, fertilizer, pesticides, etc.), processing techniques, work place practice (hygiene), storage, packaging, time management and transport conditions. One single project is unlikely to cover all these aspects and, in this case, cooperative support organizations should be able to detect and promote parallel initiatives that can converge on a common objective. This type of synergy should already be visible at the early stage of the situation analysis.

In the case study, the target group agrees to delete the “change of inheritance law” from the objective tree. It is a very important issue but does not fall within the cooperative’s mandate. It was agreed with the cooperative union that this issue should be brought to the attention of the confederation of cooperatives and of the government.

The problems were reformulated into solutions in the objective tree above. Some problems were too vaguely formulated, e.g.: “Lack of veterinary services”. Therefore, during the formulation of the objective, discussions were held with the other stakeholders in order better to decide the best way to resolve this important problem. It was the agreed that “In partnership with the local Ministry of Agriculture, the cows will be vaccinated”. The positive statement gives more information than the problem statement.

Some problems, such as “local supermarket sells cheaper imported milk”, were removed when building the objective tree because there were **beyond the direct control** of the project management. But they should be added to the assumptions when formulating the project, and the project team should envisage developing specific activities to reduce those risks.

Finally, some objectives in the tree (e.g. capacity-building and sensitization activities on cooperative governance and education) group together several potential activities that will need to be better defined/spilt in the next steps (when preparing the logframe).

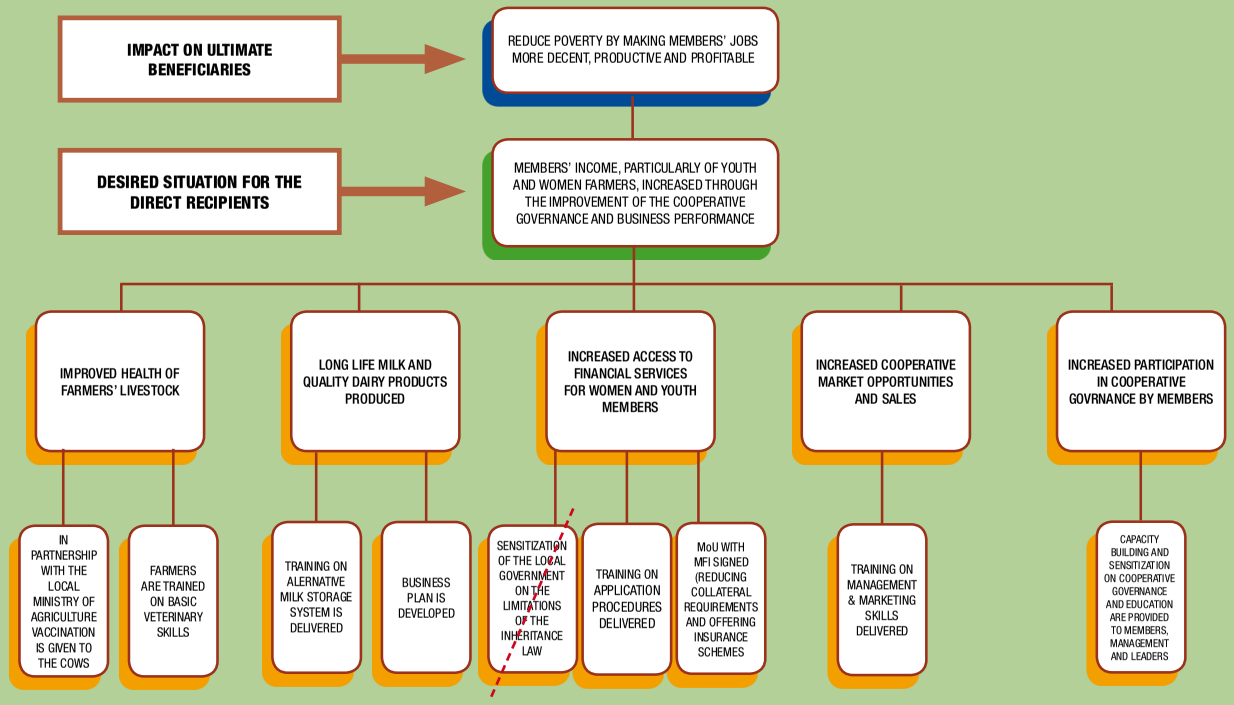
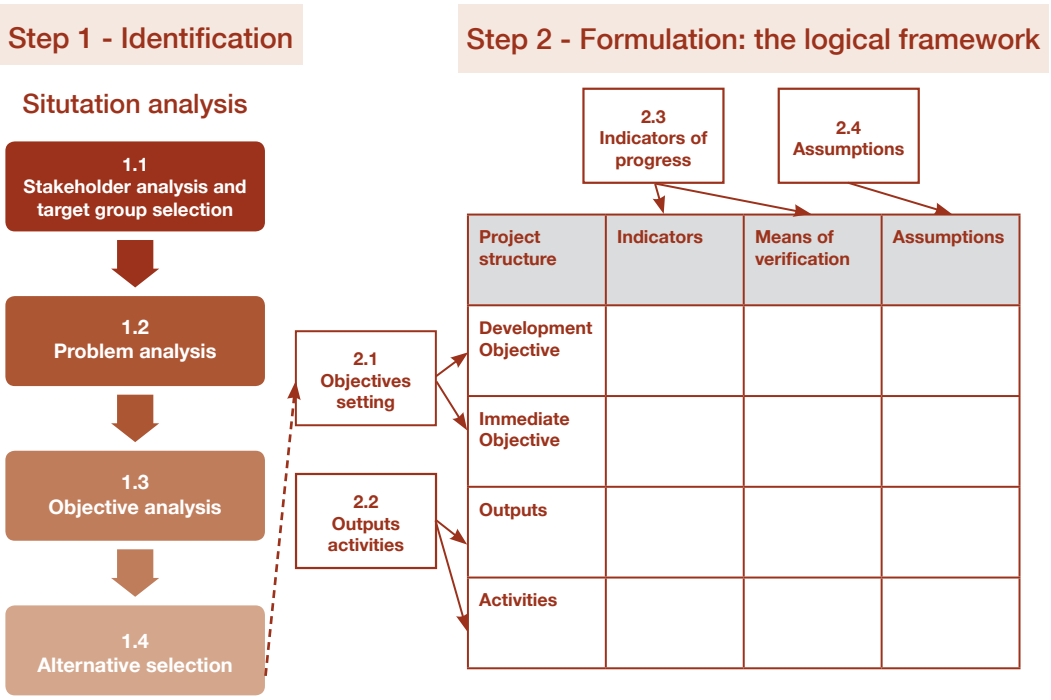


Diagram 11: Objective tree - alternative selection

STEP 2- Project formulation



The formulation step is based on the understanding gained during the situation analysis, which both justifies and drives the project identification. At the same time, it sets out the benefits the intended action will bring to the target group.

As described in the beginning of this manual (Ch. I: Getting started) the logical framework has proved to be the most useful and effective tool with which to formulate the project. The outputs of your stakeholder, problem, objective and alternative analyses are the core ingredients of your project frame, called the logical framework matrix (or logframe). Once completed, it will show, in a clear and organised manner, what must be achieved, how it will be achieved, with what resources, and in which timeframe (implementation planning).

Recalling the example presented in Chapter 1 (i.e. My tooth hurts / I cannot sleep / I am exhausted), the logical framework matrix will organise a step-by-step solution to the main problem, by answering a series of operational questions that target its root causes. If the solution to the fact that my tooth hurts (main problem) is that I go to the dentist, in order to make things happen as I wish, I will have to find a practical response to the following questions: who is the nearest and best affordable dentist? When can I have an appointment? How much does the treatment cost? Do I have the money for it and, if not, how do I get it? Etc. This series of operations, if successfully carried out, will bring me to the desired situation (my tooth will not hurt, therefore I will be able to sleep and I will not be exhausted).

Applied to more complex scenarios, the purpose of a project formulation is to come up with **the best possible operational way** to deal with the core problem affecting the target group. Like in the identification step, the key stakeholders and target groups usually take a leading role in formulating the project. This ensures that the project deals with the real context and promotes ownership and commitment. Again, make sure that all stakeholder groups have the opportunity to voice their views, especially those who are often less vocal, such as women, young people and people living with a disability.

The project design phase should include a clear statement of which gender issues will be addressed. This can be done through specific targeted activities and/or through a women-friendly approach to delivery. This

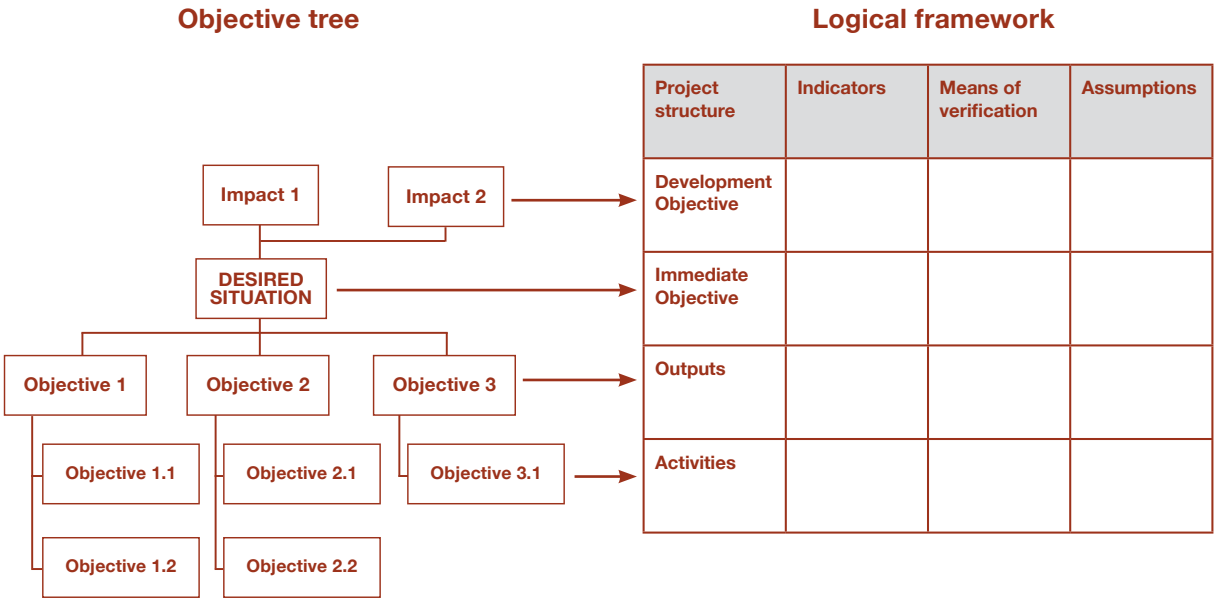
will then be included in the project objectives, strategy and structure.

2.1 Building your logical framework

The logical framework is a way of presenting the substance of the project in a comprehensive and understandable form. **It is the structure of your project proposal.**

It is used to organize all the main elements of your objective tree, including the objectives, outputs, activities, indicators and assumptions, as illustrated in the diagram below:

Diagram 12: From objective tree to logical framework



The logical framework matrix (also called *logframe*) is considered a planning tool, because:

- it shows the output chain (series of expected results) for the project, with a cause-effect relationship among the different project components;
- as described in the introductory chapter (Getting Started, i.i.) it describes the results-based management approach we need to follow if we are to achieve the objectives;
- it shows how assumptions influence each level of the output chain;
- it also contains the indicators that we will use to measure progress and the means of verifying results.

Typical structure of a logframe and definitions:

The logframe usually consists of a matrix with four columns and four rows which summarise the project structure:

- ***The first column*** is the project's hierarchy of **objectives**. It identifies what the project wants to achieve and how, and clarifies the causal relationships. Project objectives are achieved by providing the direct recipients with certain outputs. Outputs are produced by a set of activities. In RBM project design, the outputs and activities are the means by which to obtain the objectives. Therefore they are defined after the project objectives have been set out.
- ***The second and third column*** list **indicators** and the **means of verification** of impact, and the knowledge and sources required to assess the reliability of data. In other words, the indica-

tors provide evidence of the project's progress toward the intended objectives. Hence they are the core components of the project monitoring and evaluation system, which enables the implementing agency (e.g. a cooperative support organization) to make the necessary adjustments throughout the implementation, as well as to demonstrate the project's progress (or lack of it) to the stakeholders, donors and other partners. Once the indicators have been decided, the means of verification provide precise reference to the sources of information to be consulted in order to verify the project's performance and results. As we will see later on, indicators can be quantitative (number of members, percentage of women participating in board meetings, etc.) or qualitative (customer satisfaction, quality of services, etc.) but all of them have to be assessable.[8]

- ***The fourth column*** specifies important **assumptions** and uncertainties beyond the control of the project. The context in which the project operates plays an essential role in its success. Factors beyond the project's control may affect the achievement of the outputs (e.g. a major unexpected flood or drought can provoke substantial crop failures, regardless of the successful implementation of a rural development project). Such events or conditions are identified in the assumption analysis and incorporated into the project design. If assumptions do not prove valid (the rainy season is regular, as expected), the project is unable to proceed. Sometimes this column contains "risks", namely factors that may compromise the success of the project, and therefore need to be taken into account.

[8] Indicators of achievement can be broken down into targets and milestones. This will be explained further down.

Structure of the project	Indicators	Means of verification	Key assumptions
Development objective *What is intended to be the longer-term **impact** of the project on the ultimate beneficiaries?*	*What are the quantitative or qualitative indicators by which the achievement of the development objective can be measured? Please note that indicators for the development objective are often beyond the control of the project.*	*What information sources enable the measurement of the indicators? Please note that means of verification for the development objective are not always accessible within the time-frame and range of action of the project.*	*What external factors are necessary to sustain the overall goals in the long run?*
Immediate objective *What are the intended benefits (the desired situation) and outcomes of the project for the target group?*	*What are the quantitative or qualitative indicators by which the achievement of the immediate objectives can be measured?*	*What information sources enable the measurement of the indicators? Do they exist (e.g. annual report of the cooperative registrar) or do they need to be developed (e.g. project progress report)?*	*What external factors are necessary if the immediate objectives are to be achieved?*
Outputs *What are the tangible products or services delivered by the project to achieve the immediate objectives?*	*What are the quantitative or qualitative indicators by which the achievement of outputs can be measured?*	*As above*	*What external factors are necessary if the outputs are to be achieved?*
Activities *What activities must be carried out to generate each intended output?*	*Inputs (raw materials, equipment, human resources, etc.)*	*Costs (of each input)*	

Terminology

There is a variety of terminology used by each donors and international organizations to name the different "results" of a project logframe. This manual uses the standard ILO terminology for technical cooperation, but you could find different wording if applying to other sources of funds. The following matrix gives synonymous terms to the one used throughout the manual.

OECD/ILO/Guidelines	European Commission	World Bank	Other terms
Development objective/impact	Overall objective	Country Assistance Strategy (CAS) Goal	Goal Long-term objective Overall goal
Immediate objective/ outcome	Specific objective or purpose	Development objectives	Purpose Project objective
Outputs	Results	Outputs	Products Expected results
Inputs	Inputs	Components	Means

The vertical logic:

This matrix is called a "logical framework matrix" because it follows both vertical and horizontal logic. The first column represents the vertical logic of the logframe. Like the problem and objective trees presented in Chapter 1, it clarifies vertically the causal relationships between the different levels of "objectives", as illustrated in the following diagram.

Diagram 13: The vertical logic

Structure of the project	Indicators	Means of verification	Key assumptions
Development objective			
Immediate objective			
Outputs			
Activities	*Inputs and resources*		

THE CAUSAL VERTICAL LOGIC:

If you want to contribute to the development objective, THEN you must achieve the immediate objective

If you want to achieve the immediate objective, THEN you must deliver the listed outputs

If you want to deliver the outputs, THEN the listed activities must be implemented

The horizontal logic:

This states how the activity objectives specified in the first column of the logical framework will be measured (column 2, indicators), how the means will be verified (column 3, means of verification) and the assumptions that are beyond the control of the project manager (column 4).

Diagram 14: the horizontal logic

Structure of the project	Indicators	Means of verification	Key assumptions
Development objective			
Immediate objective			
Outputs			
Activities	*Inputs and resources*		

THE CAUSAL HORIZONTAL LOGIC:

What are the quantitative or qualitative indicators by which the achievement of this development objective can be measured?

What are the quantitative or qualitative indicators by which the achievement of the immediate objectives can be measured?

What are the quantitative or qualitative indicators by which the achievement of outputs can be measured?

What are the inputs and resources needed to implement the activities?

2.2 Setting the objectives, outputs and activities: first column

The first column of your logical framework describes the vertical cause and effect logic. It sets out the basic strategy of the project and reflects the objective tree. As we showed in Chapter 1, your objective tree can be divided into four levels of "objectives":

- The activities
- By carrying out these activities, the outputs are achieved
- By achieving the outputs collectively, the immediate objective is achieved
- The immediate objective contributes to the development objective.

The development objective

This explains what the project does for **the final beneficiaries** in the **longer term** (see the difference between direct recipients and final beneficiaries in Chapter 1). Depending on the action domain of the target group (from a ministry to a local self-help group), it also shows how the project contributes to international development priorities, such as the Millennium Development Goals (MDGs) and national development policies (PRSPs, national gender equality plans, DWCPs, etc.). The development objective can also describe how the project contributes to local development strategies or to the strategic plan or business plan of a cooperative. The development objective will not be achieved by your project alone. The project is just one piece in a complex puzzle. The development objective corresponds to the overall picture, to which various development projects, strategic plans and business plans all contribute.

In short, a development objective has to:

- be consistent with the strategic development policy (at the level of the business plan or other

overarching development strategies);
- avoid being a restatement with other words of the immediate objectives;
- be expressed as a desired end and not as a means;
- be a long-term objective to which the project will contribute;
- be a long-term objective for the ultimate beneficiaries;
- be stated clearly in verifiable terms.

Box 6: Linking cooperative projects to Decent Work Country Programmes (DWCPs)

One of the requirements of the ILO COOP^{AFRICA} Challenge Fund is that applicants need to indicate how their project will contribute to the DWCP in their country. Here are two examples of how grantees have designed their projects in line with decent work priorities.

A fish farming cooperative has obtained a grant to establish a fish feed manufacturing plant and a fish breeding centre. The cooperative will contribute to the decent work priority of mitigating the socio-economic impact of HIV/AIDS at the workplace. How? During farmers' meetings, health workers will be invited to give training on the dangers of HIV/AIDS, preventive measures and caring for the sick.

A private midwives association has obtained a grant to promote a saving and credit cooperative (SACCO) among its 1000 mainly young members. The association will contribute to the decent work priority of reducing poverty through increased opportunities for youth employment and productivity. How? The SACCO will enable the midwifes to grow and expand their business and improve the quality of their services. As such, the midwives will benefit from higher income. Moreover, young pregnant women and mothers will benefit from an increased access to better maternity and infant child care support. In this way, they will be in a better physical condition to work.

Source: http://www.ilo.org/public/english/employment/ent/coop/africa/areas/challenge/uganda.htm

The immediate objective

Your project is responsible for its achievement. It should address the core problem and be set out in terms of sustainable benefits for the target group. We suggest that you only have one immediate objective per project, in order to avoid excessive complexity. Multiple immediate objectives are used by large organizations with a wide domain of action, such as a cooperative confederation, a ministry or an international development agency.

An immediate objective describes the desired project outcome for the target group (direct recipients). In general, these are desirable **changes** for the target group:
- in **behaviour,** such as: "cooperative members follow good safety and health practice on HIV/AIDS prevention and mitigation";
- in a **system or service**: "cooperatives make increased use of renewable energy", "the cooperative union has set up three primary schools";
- in **institutional performance**: "the number of students in cooperative colleges has increased", "the productivity in agricultural cooperatives has improved ".

In short, an immediate objective has to:
- contribute to achieving the development objective
- avoid being a restatement of the outputs with other words
- be expressed as a future completed action, an end state, and not a process.
- be a medium-term objective to be achieved by the end of the project for the target group
- be stated clearly in verifiable terms.

The outputs

These are the products of the activities, the combination of which leads to the achievement of the immediate objective. **The implementing organization is accountable for delivering these services and products**. Some examples of outputs are:
"The policy framework for cooperative development is improved"
"The management capacity of young entrepreneurs in district X is reinforced"
"The irrigation system is upgraded and expanded to the neighbouring district".

In short, an output has to be:

- delivered by the project
- necessary to achieve the immediate objective
- demand-driven and not supply-led
- stated clearly in verifiable terms
- feasible with the available budget.

The activities

These are the actions and means that will produce the outputs. In most cases, they are related to: training, equipment, institutional support, planning, studies, etc.

Activities cannot always be taken directly from the objective tree. In many cases, they will have to be defined during the formulation step, as it is quite rare that a problem and objective tree exercise allows such detail of analysis. In terms of ownership of the project, it is therefore advisable to submit the log-frame again to the key stakeholders and partners. This will make sure that the described activities are based on consensus.

In short, an activity has to:

- define the action strategy of the project;
- be realistic in terms of inputs, resource needs and managerial capacity;
- be stated clearly in verifiable terms.

Key actions in identifying the different objectives:

1) Identify the project **immediate objective(s),** which is generally the action you have to take in order to address the core problem on your problem tree, therefore the desired situation of your objective tree.

2) Identify the **development objective**. It is one of the objectives at the top of the objective tree which describes the long-term benefits, the long-term **impact** on society to which the project will contribute.

3) Identify the **outputs**: select from the objective tree the objectives that – by the "means to end" logic – will achieve the immediate objective. You can add other outputs that contribute to achieving the immediate objectives.

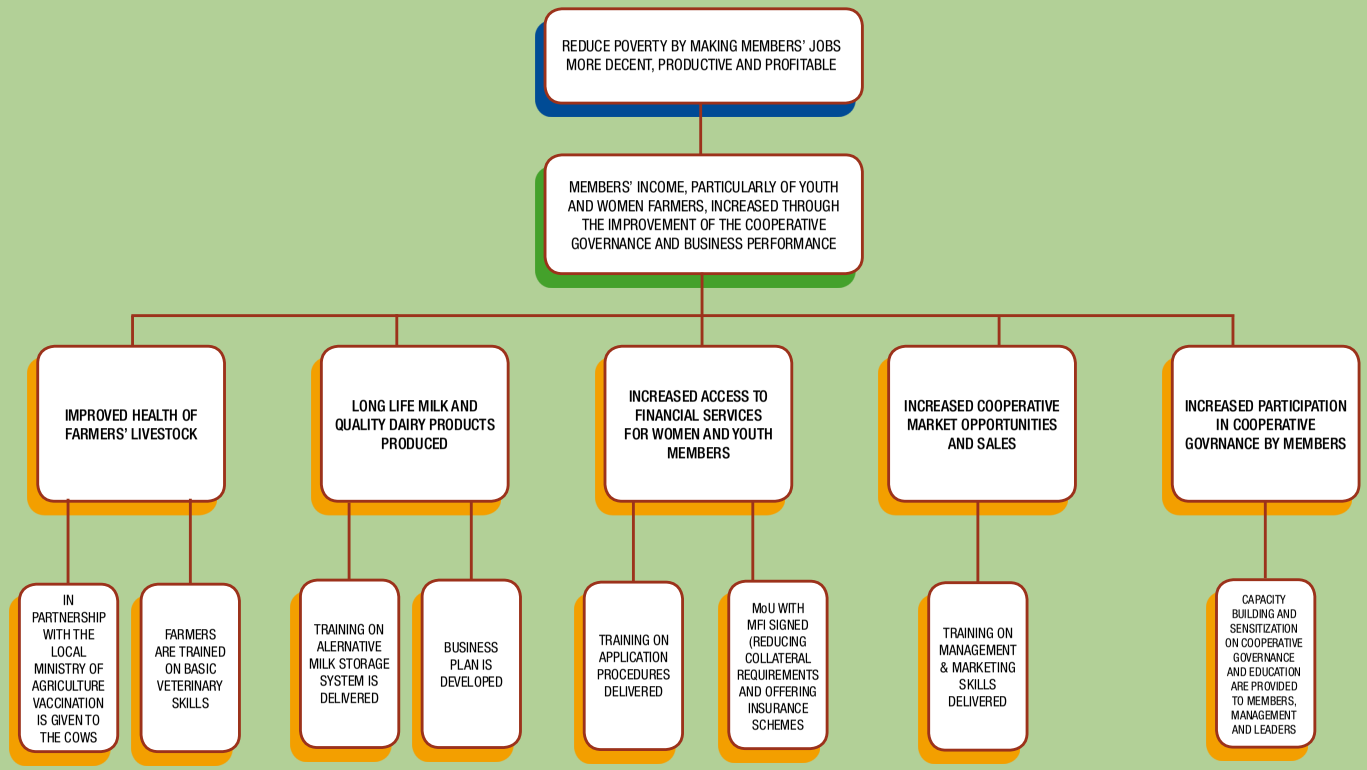
4) Identify the **activities**. Select from the objectives tree the objective that – by the "means to end" logic – will produce the outputs and translate them into activities. Activities are formulated with the verb in front, such as "organise training sessions". **Add other activities needed**, paying attention also to the specific interests of under-represented groups.

Using the case study of the Hanassi cooperative, the following logframe (next page) is based on the objective tree developed in chapter 1. The structure of the project is listed in the green column on the left of the matrix. **The core objective is the immediate objective of the tree.**

"Members' income, particularly that of women and young farmers, increased through the improvement of the cooperative's governance and business performance"

The first level of means, under the core objective, of the objective tree is listed in the matrix as outputs. Activities are the level below the activity and new ones were added, particularly for output 3. The development objective is one of the effects. The final objective tree was the following:

Diagram 15: Final objective tree of the Hanassi cooperative



When formulating the logical framework, some new activities were added, such as: "Carry out a market survey to assess the demand for long-life milk and dairy products on the local market". The management board agreed that it was a necessary action to be taken to increase the cooperative's access to the local market (output 4). Other activities could be added.

The logframe for this objective tree could be as follows:

Structure of the project	Indicators	Means of verification	Key assumptions
Development objective Reduce poverty by making members' jobs more decent, productive and profitable			
Immediate objective Members' income, particularly that of women and young farmers, increased through the improvement of the cooperative's governance and business performance			
Outputs **1)** Improved health of farmers' livestock **2)** Long-life milk and quality dairy products produced **3)** Increased access to financial services for women and youth members **4)** Increased cooperative market opportunities and sales **5)** Increased participation in cooperative governance by members **Activities** **FOR OUTPUT 1:** **1.1)** Provide training for farmers in basic veterinary skills **1.2)** Run a vaccination campaign for the cows, in partnership with the local ministry of agriculture **FOR OUTPUT 2**: **2.1)** Develop training curricula on alternative milk-processing **2.2)** Train members in milk storage and processing **2.3)** Purchase appropriate equipment (fridges, sterilizers, yoghurt makers, cheese-making supplies, etc.)			

FOR OUTPUT 3: **3.1)** Train members in business plan development **3.2)** Negotiate with MFIs to offer credit lines and insurance for members, in particular for women and young people **3.3)** Sign an MoU with an MFI to reduce collateral requirements and offer insurance services for young and women dairy farmers **3.4)** Train members in the new application procedures for credit lines **FOR OUTPUT 4:** **4.1)** Carry out a market survey of demand for milk and derived products **4.2)** Hold consultation workshops with all the cooperative's members to collect views and input for the cooperative's business plan **4.3)** Train cooperative staff and board members in marketing **4.4)** Develop the cooperative's business plan **4.5)** Carry out the business plan **FOR OUTPUT 5:** **5.1)** Run an awareness campaign, with the support of the national confederation of cooperatives and the cooperative dairy union, on cooperative members' rights and obligations **5.2)** Run specific training courses on participation in cooperative decision-making for disadvantaged member groups **5.3)** Train cooperative managers and leaders in leadership, communication and participatory consultation techniques	Inputs	Costs	

2.3 Setting up the indicators and means of verification: second and third column

You will only know if your objectives and outputs have been achieved by setting **indicators** that are measurable. An indicator is an objective measure that indicates if and to what extent progress (in relation to the **project's objective and outputs**) is being achieved. Indicators of achievement are usually required at output level. Indicators for activities are not developed since it is considered that it is a straightforward action that you have or have not implemented.

Targets and milestones

Indicators of achievement measure change brought about by the project. They can be broken down into targets and milestones. Targets define the desired result that the project intends to reach. Milestones give information on whether the project is on track in achieving the targets. Where possible, targets and milestones should enable measuring change for women and men separately.

Donor requirements determine whether and how you need to develop indicators, targets and milestones in your logframe. For instance, some donors accept that targets and milestones are defined together with the target group during the first months of the project implementation. In this manual, the distinction between indicators, targets and milestones is not used at all instances for the sake of simplicity.

Type of indicators:

Indicators can be quantitative or qualitative:

- **Quantitative indicators** use numerical data, (such as numbers of people or percentages) to indicate progress. They can be specified through a target or milestone or both, depending the donor requirements. See the example below:

Indicator (at the level of an objective)	Target (at output level)
Percentage of tomato production increase by cooperative members	**Increase of tomato production by 10% after 6 months**

Milestones (at output level)

Increase of tomato production by 3% after 3 months.

Increase of tomato production by 6% after 5 months

Increase of tomato production by 10% (3% + 6% + 1%) after 6 months (the achievement of the target)

- **Qualitative indicators** use data based on attributes or qualities, (such as perceptions) to indicate progress.

Indicator	Indicator of achievement
Level of cooperative clients' satisfaction	**Two thirds of the cooperative clients are satisfied with the quality of the tomatoes after 12 months**

Indicators can also be classified as direct or indirect:

Direct indicators have a direct relationship to the objective or output. Direct indicators are preferred because they are very specific and relevant, and we recommend that you use them as often as possible. In some cases, they may be costly to measure (for example, data on household income require expensive statistical surveys and a good baseline[9]). An example of this type of (achievement) indicator is:

60% of women and young cooperative members live above the poverty line at the end of the project

Indirect indicators (proxies) measure variables that are associated with a situation that fluctuates in the same direction as the objective. The stakeholders can propose proxies better because they are more familiar with the habits of the ultimate beneficiaries. But indirect indicators are less specific, because external factors other than the objective they try to measure may interfere and give an incorrect reading of the indicator.

Consumption of tomatoes has increased by 5% in district X

In the above proxy example, a family may decide to put their additional income into a savings account instead of increasing their consumption of tomatoes. In this case, using consumption as an indicator of family income would lead to underestimating project success.

Quantity of indicators:

The fewer the indicators per objective and output, the better. But it is often necessary to use more than one indicator for each objective statement. For example one indicator may provide good quantitative information, which needs to be complemented by another indicator that focuses on qualitative matters (such as the opinions of target groups). However, the trap of including too many indicators should be avoided.

Methodology for producing indicators:

A range of methods can be used to produce indicator data. They include:

- document reviews
- surveys
- interviews

[9] Baseline surveys are explained further down in this chapter.

- focus groups
- observations
- workshops.

Indicators should be independent of each other, each one relating to only one objective in the intervention logic, i.e. to the development objective, the immediate objective or one output.

The meaning of an objectively verifiable indicator is that the information collected should be the same if collected by different people (i.e. it is not open to the subjective opinion or bias of one person). This is more easily done for quantitative measures than for qualitative ones.

Box 7: The characteristics of good indicators

The most effective indicators are those which are 'SMART', or, in other words exhibit all of the following characteristics:

S = Specific
M = Measurable
A = Achievable and agreed upon (by the project partners)
R = Realistic
T = Time-bound

Note that in addition to being 'SMART', indicators must also enable the measurement of project progress, achievements and impact in a gender-sensitive way

20% increase in the number of women involved in the cooperative leadership and management after 12 months

Baselines:

When choosing your indicator of progress, it is important to know the actual data describing the current situation. For example, if your project's immediate objective indicator is
"Tomato production of cooperative members is increased by 10% at the project's end", in order to verify that you have reached this indicator, you need to know beforehand what the current (before implementation of the project) tomato production by the same population (cooperative members) is. The baseline should also be disaggregated by sex (e.g. % of women actively involved in the tomato production at beginning of the project; level of income earned by them before the project starts, etc.).

Baseline is the analysis describing the situation prior to a development intervention, against which progress can be assessed or comparisons made. OECD-DAC, 2002, Glossary

"*In the absence of such data, baseline surveys, capturing quantitative and qualitative information, may form one of the early project activities. These surveys may also be used as an opportunity to sensitise the community about the purpose and nature of the project*."[10]

At the output level, the project management could set up a database with the amount of unhealthy livestock, milk spoilage and income before the start of the project. This information will be used for Monitoring and Evaluation planning (Step 4).

[10] Baseline surveys are explained further down in this chapter.

Indicators at the level of development objective:

At the **development objective level,** indicators should be linked to the ultimate beneficiaries as well as to higher-level national frameworks (national strategies, PRSPs, UNDAF, DWCP, etc.).

Since the project only contributes to the achievement of the development objective, it is very difficult to monitor and assess indicators at that level. Furthermore, there are long-term impacts, which appear after the project. This is why, in some cases, a post-project evaluation could be required five years after completion.

Indicators for development objectives are not always required. If they are, we recommend that you use indicators devised by national organizations, such as the employment rate in the region, and lobby to make sure that they are disaggregated by production type (employment in the tomato sector), sex and age.

Indicators at the level of immediate objective:

The immediate objective brings a change in behaviour, services or institutions for the direct recipients (target group). It is a consequence of the outputs. Therefore the immediate objective's indicators are important and have to describe the project benefits and expected value:

Indicators at the level of immediate objective:

Example from the case study

Immediate objective: Members' income, particularly that of women and young farmers, increased through the improvement of the cooperative's governance and business performance

Indicator 1 (quantitative and direct): The percentage of income increase of the beneficiaries, including 30% women.

This indicator expresses the effectiveness of the project in increasing the cooperative members' income. To verify this indicator, baseline information will be needed at the start of the project. The project management will therefore have to make a survey of the beneficiaries and set up a database listing their income before the project.

Notice that the indicator recognises that the situations of women and men may be substantially different, and that sex-disaggregated information is therefore needed.

Indicator 2 (quantitative and indirect): The percentage of cooperative membership increase.
This indicator expresses the effectiveness of the project in assisting the cooperative in attracting new members. In the problem analysis, it was acknowledged that young people were leaving the cooperative and that fewer producers were attracted to the cooperative because they could not see any benefits. If the farmers' income increases with the project, then we can expect more farmers to ask to become members and fewer young people to leave for the city to look for a job.

Indicators at the level of outputs:

At the **output level**, the indicators are mainly for use by the project management, because they refer to what the project delivers. For example, indicators at the level of output should not be a summary of what has been stated at the activity level, but should describe the measurable consequence of activity implementation.

Output 2: Long-life milk and quality dairy products produced

Indicator 1 (qualitative and indirect): Customers are satisfied with the quality of the cooperative dairy products.

This qualitative indicator complements other indicators by examining the satisfaction of customers with the quality of products. . This provides a qualitative indication of the success of the project.

Means of verification:

The means 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 with a reasonable amount of time, money and effort.

Means of verification indicate where and in what form information on the achievement of the development objective, immediate objective and results can be found.

The means of verification should specify:

- **HOW** the information should be collected (e.g. from administrative records, special studies, sample surveys, observation,) and/or the available documented source (e.g. progress reports, project accounts, official statistics, engineering completion certificates).
- **WHO** should collect/provide the information (e.g. local government workers, contracted survey teams, the district agricultural office, the project management team).
- **WHEN/HOW** information should be collected (e.g. monthly, quarterly, annually).

It is important to make sure that the required information can be collected through existing systems or at least with improvements to existing systems, and with the available resources. **In some cases, additional resources might be needed to develop a survey or database.** This should then be added to the project budget.

Structure of the project	Indicators	Means of verification	Key assumptions
Development objective Reduce poverty by making members' jobs more decent, productive and profitable	*Usually not required (if required use existing DWCP and MDGs indicators)*	DWCP and MDGs indicators reviews	
Immediate objective Members' income, particularly that of women and young farmers, increased through the improvement of the cooperative's governance and business performance	***Outcome indicators*** Percentage of income increase of the members	Cooperative accounting files Cooperative audit reports	
Outputs	**Output indicators (achievement)**		
1) Improved health of farmers' livestock	Increase of healthy livestock by 60% at the end of the project	Sample survey	
2) Long-life milk and quality dairy products produced	Decreased incidence of milk spoilage with 80% at the end of the project Level of customer satisfaction with the quality of products at the end of the project	Cooperative records at collection and processing sites Survey	
3) Increased access to financial services for women and young members	MFI counts 10% more women and youth cooperative members amongst its clients at the end of the project	MFI client base	
4) Increased cooperative market opportunities and sales	At the end of the project, 35% of milk sold in the local supermarkets comes from the cooperative	Survey	
5) Increased participation in cooperative governance by members	At the end of the project, participation by women and youth members in the general assembly has increased by 30%	General assembly minutes	

2.4 Setting up the key assumptions: fourth column

While doing your objective tree, it became apparent that the project alone could not achieve all the objectives. Once you have selected a strategy, objectives not included in the intervention logic and other external factors remain. These factors can affect the project's implementation but are outside its control (a natural catastrophe, an economic crisis, etc.).

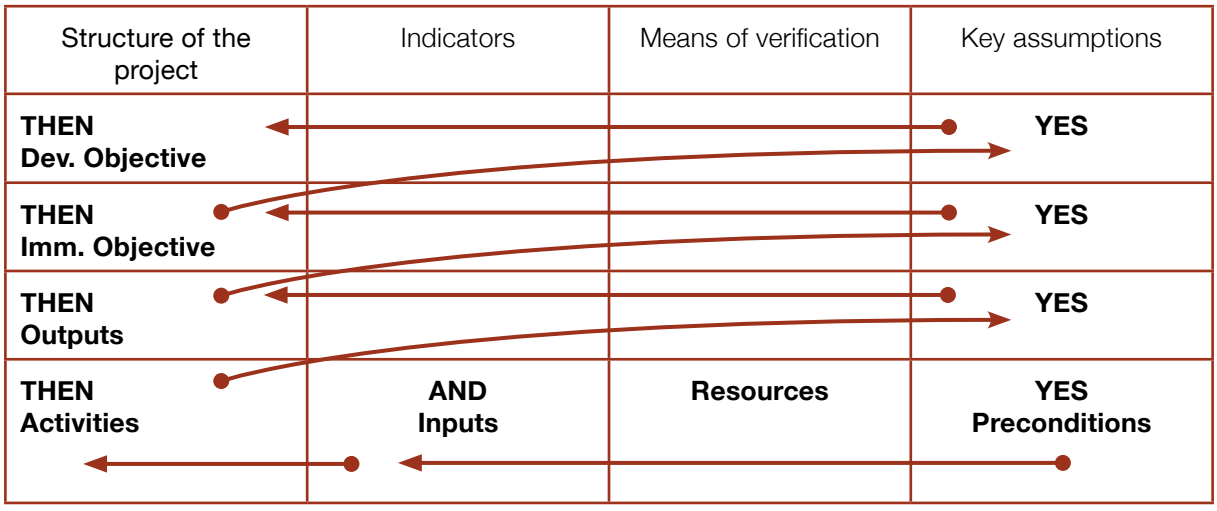
Key assumptions are conditions that have to be met if the project is to succeed. They are included in the fourth column of the logframe. In other words, they are the answer to the question "what external factors are not controlled by the project, but may affect its implementation and long-term sustainability?"

It is frequent to refer also to the concept of risk, together with the key assumptions. The difference between risks and assumptions lies in their either negative or positive statements. For a project to be successful, risks should not occur, while key assumptions need to be correct.

To identify assumptions, you have to assess the probability and significance of external conditions to be met in order to achieve your objectives and outputs. They are not addressed at the level of activities, since you are supposed to control their implementation totally under the project management.

The fourth column in the matrix is used to highlight assumptions about the external conditions that need to be fulfilled if the vertical logic of the project structure (objectives and outputs) is to hold true. This same column highlights those risks that, although they are not likely to happen, may affect either the progress or the success of the project. The relationship between risks, assumptions and levels of objectives is illustrated in the following diagram.

Diagram 16: Relations between risks, assumptions and levels of objectives



Only if the assumptions are met will the next level of objectives be achieved.

Types of assumptions

Implementation assumptions: These assumptions link the immediate objectives of the project to the outputs. Since the project's management is not able to control what happens with projects outputs, there are necessarily important assumptions at this level. These assumptions are critical to the success of the project and form an important part of any evaluation.

For instance, the local government agrees to develop and implement an infrastructure development plan that will benefit the cooperative.

Development assumptions: These assumptions link immediate objectives to the development goal. The question being asked is: How is the achievement of the immediate objective going to contribute to national goals, and to ILO and donor objectives? These are often stated in the form of hypotheses or theories. They are important for the appraisal and evaluation of the project, but are not usually related to implementation of activities.

For instance, stable global economic trends.

Sustainability assumptions: These assumptions relate to the sustainability of the development and immediate objectives

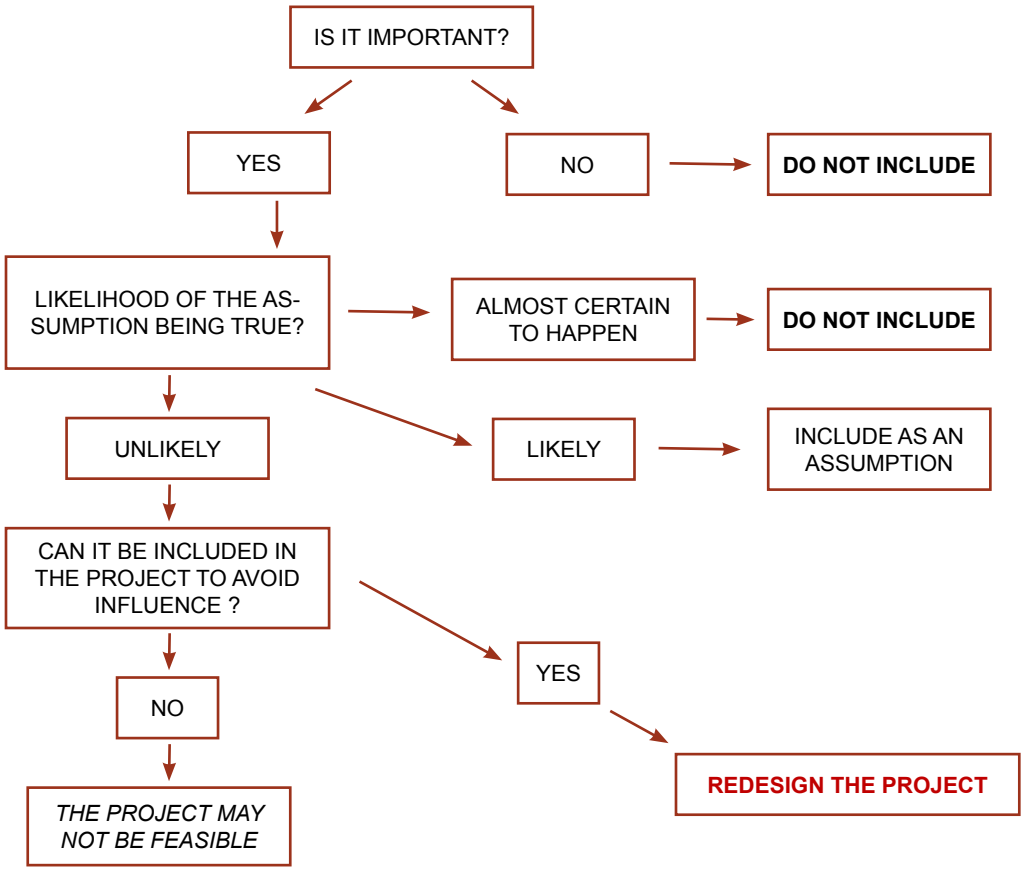
For instance, the government agrees to reform the cooperative law.

An assessment of the importance of each assumption and the probability (risk) of its being true is required (see diagram below). The more important and more risky the assumption, the greater the need to consider:

- **re-designing** the project to '**internalise'** the problem and reduce the risk of the assumption not holding true. This may involve modifying or expanding project components or activities in order to influence or even control those external factors which are critical to project success; and
- **preparing contingency plans** so as to be able to handle "worse case" outcomes.

The assessment of assumptions is illustrated in the following diagram.

Diagram 17 : Assessment of assumptions



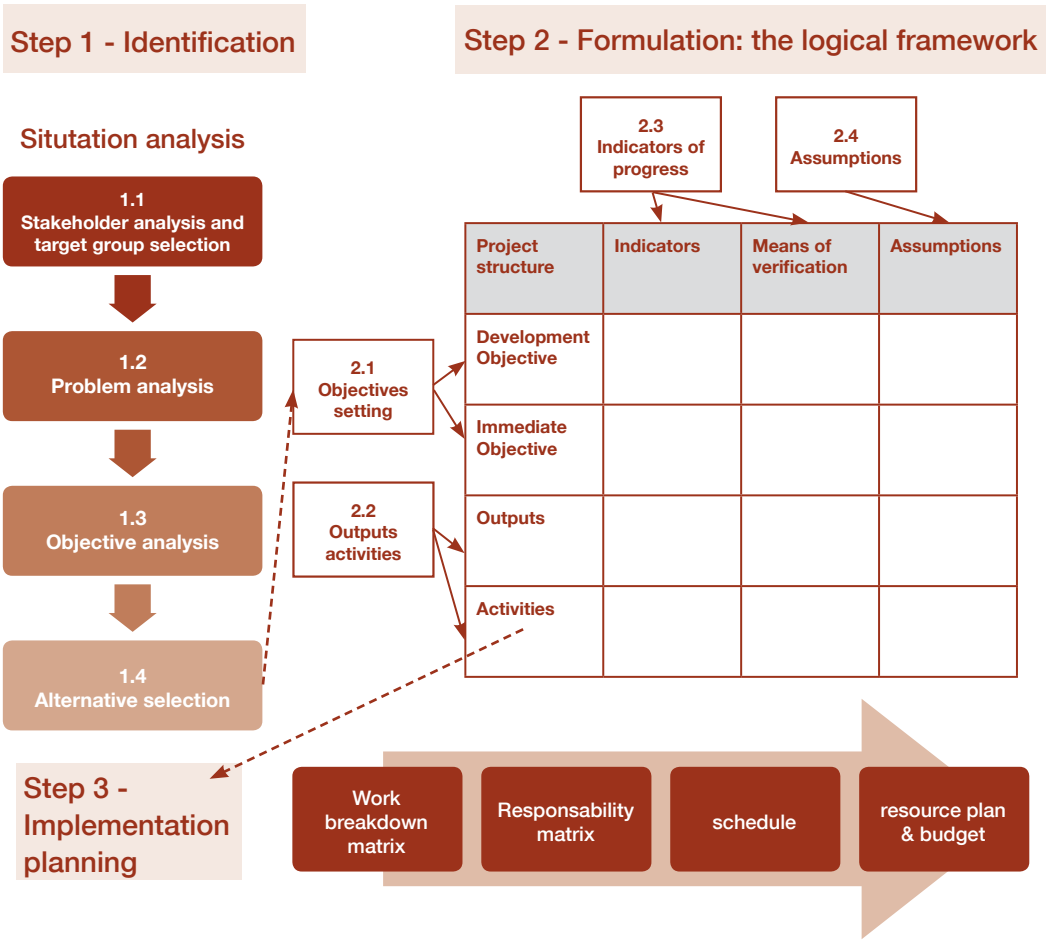
ASSUMPTIONS

The killer assumption

Imagine that one of the project assumptions is that "**young members stay in the Hanassi co-operative**". Now you have to verify whether this is an important assumption for the success of the project. What is the probability of this assumption occurring? If the probability is low because young people tend to prefer working in an office rather than in agriculture, you will have to "**internalise**" the assumption in order to make sure that it will not "**kill**" your project. This means that you will have to make sure that young people stay, through specific activities such as raising young people's awareness of cooperative entrepreneurship or training in modern techniques in agriculture. Then your initial assumption could become an intended output of your project: "young people are motivated and aware of the importance of working in an agricultural cooperative".

Structure of the project	Indicators	Means of verification	Key assumptions
Development objective Reduce poverty by making members' jobs more decent, productive and profitable	Usually not required (if required use existing DWCP and MDGs indicators)	DWCP and MDGs indicators reviews	Stability of global economic trends National-level decision-making aligned with the MDGs, the DWCP and the PRSP
Immediate objective Members' income, particularly that of women and young farmers, increased through the improvement of the cooperative's governance and business performance	**Outcome indicators** Percentage of income increase of the members	Cooperative accounting files Cooperative audit reports	No delocalisation or closing down of the major local buyer No extreme weather conditions affect the shape of cattle. No crisis in cooperative governance due to corruption.
Outputs	**Output indicators (achievement)**		
1) Improved health of farmers' livestock	Increase of healthy livestock by 60% at the end of the project	Sample survey	No new epidemic
2) Long-life milk and quality dairy products produced	Decreased incidence of milk spoilage with 80% at the end of the project	Cooperative records at collection and processing sites	Reliable and sufficient electricity supply
	Level of customer satisfaction with the quality of products at the end of the project	Survey	Young members ask to be trained
3) Increased access to financial services for women and young members	MFI counts 10% more women and youth cooperative members amongst its clients at the end of the project	MFI client base	Reforms in national insurance legislation will not limit the offer of micro-insurance services
4) Increased cooperative market opportunities and sales	At the end of the project, 35% of milk sold in the local supermarkets comes from the cooperative	Survey General assembly minutes	Supermarkets are viable enterprises
5) Increased participation in cooperative governance by members	At the end of the project, participation by women and youth members in the general assembly has increased by 30%		Communication between management and members has improved.

STEP 3 – Implementation planning



The project design requires an implementation plan (also called work plan) for the activities listed in the logframe. The work plan demonstrates that the project is feasible in terms of responsibilities, schedule and resources. It is the basis for monitoring the operations of the project. It allows the project manager to see whether all the planned activities are implemented in the planned time, by the right staff and within the planned budget.
Some donors ask for the work plan before giving their approval. The work plan usually needs to be adjusted just before the project operations start and during the implementation.

The work plan is established by the project design team and consists of the following four matrices:

- A **work breakdown** matrix, which lists the activities and specific tasks.
- A **responsibility matrix**, which sets out who is responsible for each activity.
- A **calendar of activities**, which states when each activity will be completed.
- A **resource (inputs) plan**, which sets out the requirements for staff, equipment and materials and for the budget preparation, giving the cost of the resources needed.

Those tools allow the project team in charge of execution to *monitor the implementation of the project activities* and outputs once the project is operational.

Box 8: Work plan as a monitoring tool when operations start

The work plan is a key tool for monitoring project operations. It helps the team in charge of implementation to see whether the activities are carried out:
on time
by the right people
within the planned budget.

It also gives you an insight into whether the activities actually lead to the outputs in the logframe (see also the next chapter).

3.1 The work breakdown matrix

A **work breakdown matrix** is used to prepare the plan of operation and must be carried out before any of the other steps can be taken. It sets out the activities and tasks required for each output. This is the basis for the subsequent steps, such as allocating responsibilities, scheduling activities and estimating resources and budget.

Project's activities can be broken down into sub-activities, tasks and sometimes sub-tasks. This improves the accuracy of cost estimates and enhances monitoring of project activities and outputs. It also provides improved reporting on obligations and actual expenditure to carry out implementation and achieve the project outputs. You start by identifying the activities, sub-activities and tasks required for each output. The format of a work breakdown matrix can be the following:

OUTPUTS	ACTIVITIES	SUB-ACTIVITIES (not always required, depending on the level of complexity of each project)	TASKS
1. Output	1.1 Activity	1.1.1 Sub-activity 1.1.2 Sub-activity etc.	Task Task
2. Output	2.1 Activity 2.2 Activity	2.1.1 Sub-activity 2.1.2 Sub-activity 2.2.1 Sub-activity 2.2.2 Sub-activity	Task Task Task Task
3. Output	3.1 Activity	3.1.1 Sub-activity 3.1.2 Sub-activity etc.	Task Task

In the case study, the left-hand column of the logical framework is listed in the matrix below and tasks for each activity are specified (while sub-activities are not identified in this case).

Immediate objective :
Members' income, particularly that of women and young farmers, increased through the improvement of the cooperative's governance and business performance

Project outputs	Activities	Tasks
1) Improved health of farmers' livestock	**1.1)** Provide training for farmers in basic veterinary skills	**1.1.1)** Hire a consultant for 20 days to assess training needs and develop material (an example of sub-task being: to prepare terms of reference)
		1.1.2) Draft a training manual
		1.1.3) Hold two 3-day training courses for 20 people altogether
	1.2) Run a vaccination campaign for the cows, in partnership with the local Ministry of Agriculture	**1.2.1)** Set up a vaccination campaign steering team composed of cooperative members, Ministry of Agriculture and other relevant stakeholders.
		1.2.2) Map the vaccination needs
		1.2.3) Sign an agreement with the Ministry of Agriculture and launch the campaign
		1.2.4) Vaccinate cows
2) Life-long milk and quality dairy products produced	**2.1)** Develop training curricula on alternative milk-processing methods (mainly for young cattle farmers)	**2.1.1)** Create a joint task force (staff and consultants) with the Vocational Training Centre to conduct a training needs analysis among cooperative members (target: youth)
		2.1.2) Prepare training curricula and materials
	2.2) Train members in milk storage and processing	**2.2.1)** Define the training calendar
	2.3) Purchase appropriate equipment (fridges, sterilizers, yoghurt makers, cheese-making supplies, etc.)	**2.3.1)** Identify suppliers **2.3.2)** Get at least three offers for each item of equipment **2.3.3)** Select the best supplier, in consultation with member representatives **2.3.4)** Make the necessary contractual arrangements with the selected supplier **2.3.5)** Organize information meetings with selected suppliers to learn about the use of the equipment
	Etc.	
3) Increased cooperative market opportunities and sales	**3.1)** Etc.	**3.1.1)** Etc.

3.2 Responsibility matrix

Good project planning ensures that responsibility for outputs and activities is assigned to teams or individuals. The responsibility matrix sets out who is responsible for each activity by allocating duties to different people within the team. All the activities required of a particular individual or organization form their job description or terms of reference for their involvement in the project. This helps in co-ordinating the work of team members, contractors or partners.

The following matrix sets out who does what. The project team allocates responsibilities for each activity to different people and organizations.

Project outputs	Activities	Responsible staff (implementing agency)	Implementing partner	Partner organisation
1) Improved health of farmers' livestock	**1.1)** Provide training for farmers in basic veterinary skills	**Member of the management in charge of human resource development**	**College of veterinary medicine**	**Tabacounda vocational training centre**
	1.2) Run a vaccination campaign for the cows, in partnership with the local Ministry of Agriculture	**Member of the management board in charge of livestock support**	**Association of veterinarians**	**Local Ministry of Agriculture**
Etc.				

3.3 Calendar of activities

Time is important in any planning process. Scheduling is a way of focusing managerial attention on the time factor, on critical events and on priorities. The calendar states when each activity starts, how long it lasts and when it will be completed. This is usually presented in the form of a bar chart, which sets out the sequence of activities and links them to critical events or milestones.

The recommended tool is called a **Gantt chart**. It is simple but useful. It is easy to read and can be used to track progress against time. The chart uses the activities from the work breakdown matrix as headings for each row, and time units (years, quarters, months, weeks, etc.) as the headings for each column.

Key actions in preparing a calendar of activities for each output

1) Use the work breakdown structure and decide on the level of detail required. This may differ from the level of detail used to prepare the responsibility matrix.

2) Identify the sequence in which the tasks should be performed. Re-arrange the order (rows) of the work breakdown structure to reflect the sequence.

3) Decide whether you will use years, seasons, quarters, months, weeks or days to measure time.

4) Prepare the format of the calendar. The work breakdown structure is presented in the left-hand column and the time scale is presented across the top rows.

For the different outputs/activities, you can add critical events and quantities, or shade in the table cells to indicate the time during which the activity will be carried out.

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Example of a calendar of activities (also called a Gantt Chart)

Immediate objective/outcome:							
YEAR 1[11]							
Outputs	**Activity**	**Month 1**	**Month 2**	**Month 3**	**Month 4**	**Month 5**	**Etc.**
Output 1	**1.1**						
	1.2						
Output 2	**2.1**						
	2.2						
	2.3						

[11] For multi-year projects, it is best to use either the year or the quarter as unit of reference

3.4 Resource plan and budget

A resource plan sets out the requirements and costs for all necessary inputs: personnel, basic office premises or facilities, equipment and materials, or services such as special subcontracting supplies, training workshops and other miscellaneous inputs.

The results-based management approach prepares the resource plan on the basis of the activities in the work breakdown matrix and calendar. For each activity, a list of inputs is prepared, and these can then be aggregated by category (raw materials, equipment, personnel, etc.) to produce an overall project procurement plan.

The resources required to implement the activities associated with each output should be tabulated. For the implementation plan, it is rarely necessary to estimate resource requirements at sub-activity level. The table should list resource requirements and the amount of each resource required.

In the Hanassi case study, the list of inputs below shows what is needed to carry out the activities to achieve the first output.

		Resource Plan		
Project outputs	**Activities**	**Inputs**	**Cost**	**Budget (US$)**
1) Output	**1.1)** Provide training for farmers in basic veterinary skills	**1.1.1)** Twenty days of consultancy	100 US$ per day	2,000
		1.1.2) 50 training manuals	Edition of material: $1,000 Printing: $10 per manual	1,000 500
		1.1.3) Two 3-day training courses for 20 people in all	Renting a room: $500 Lunch: $5 x 6 x 20 Facilitator: $100 per day (6) Material: $5 per person Miscellaneous: $150	500 300 600 100 150
2) Output	**2.1)** [Add activity]	**2.1.1)** [Add input]	[Add cost per unit]	[Calculate total cost]
	2.2) etc.			

The resource plan is the basis for the **budget preparation**. It allows you to assess the cost of each activity exactly. It is important to put the management needs, such as staff and administrative costs, in the resource plan, and then to transfer those costs to the budget format per heading: total staff, equipment, training, etc.

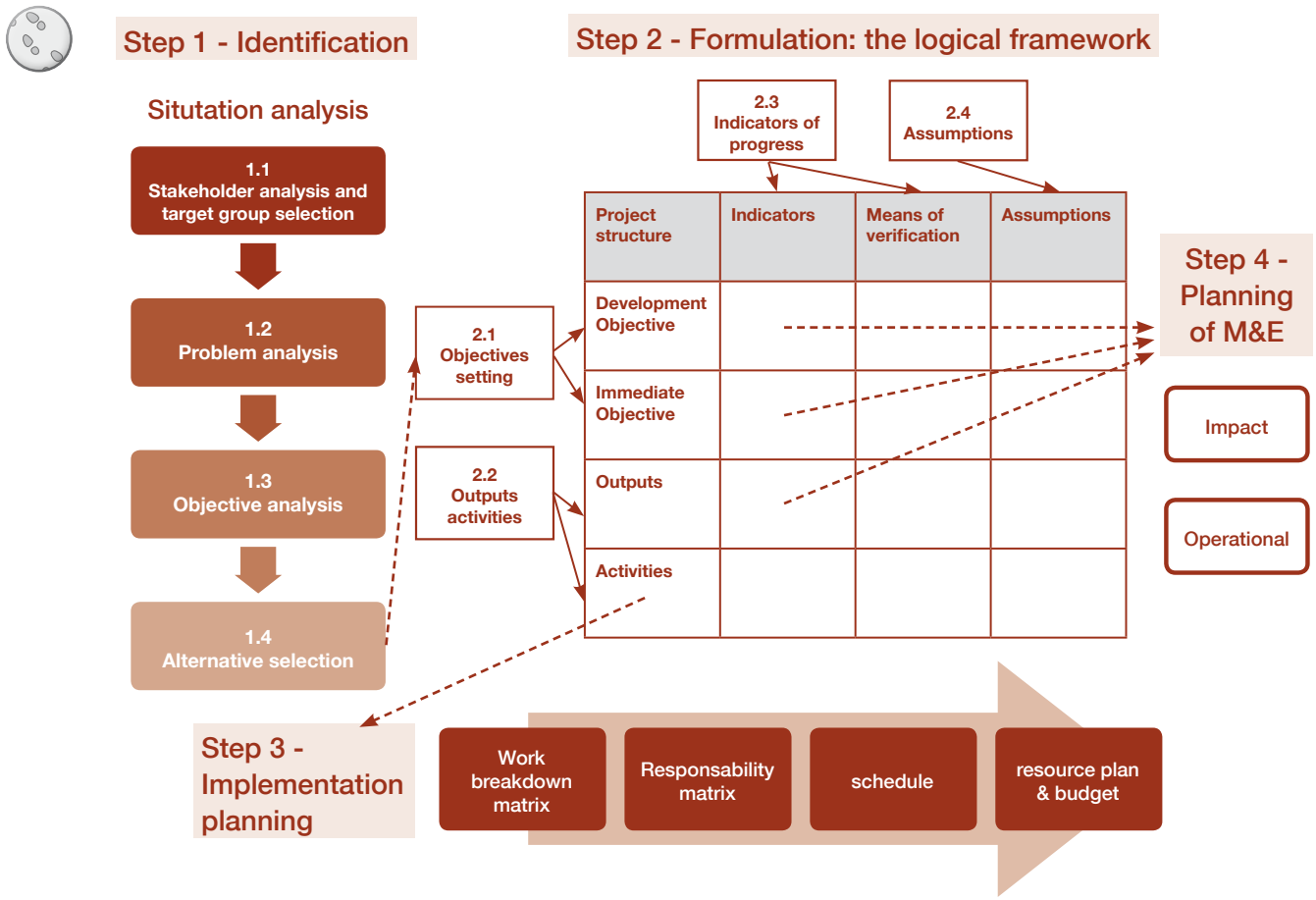
Box 9: Checklist for mainstreaming gender in project inputs

Have sufficient human and financial resources been allocated for the gender components of the project?
Has a gender budget analysis been done to assess and analyze the possible different impact of project expenditures on female and male intended beneficiaries?
Has an assessment been made to what extent gender expertise is required in personnel inputs? If so, gender expertise must be explicitly stated in personnel job descriptions.
If women and girls cannot be effectively reached by male staff, have steps been taken to recruit female staff required, and vice versa for men and boys?
Is there a commitment in project policy and practices:

- to achieve an equal balance among male and female project staff at all levels and provide equal remuneration for men and women for work of equal value?
- to promote the use of proper contracts and ensure the observance of fundamental labour standards and maternity protection in personnel, equipment and subcontracting policies and procedures?

Source: ILO, 2010, Gender mainstreaming strategies in decent work promotion, ILO, Bangkok

STEP 4 - Planning of monitoring and evaluation



Monitoring and evaluation (M&E) needs to be prepared. Therefore it is necessary to build it into the design of the project and to allocate resources for it from the start. This manual aims to assist you in the design of a project. The evaluation process per se will not be presented because it is often conducted by an external person to the project team (an evaluator) and sometimes organised by the donor. However, evaluation has to be planned from the beginning of the design, and a specific budget allocated.

Basically, M&E is about comparing what was originally planned with what actually happens. It tracks progress at each level of the logical framework: activities, outputs, outcomes and impacts (objectives). M&E has four key concepts:

- comparison
- measurement
- verification
- action.

Evaluation is essentially a reality test to assess the significance of the project. In particular, it looks at the efficiency, effectiveness, impact, sustainability and relevance of the project given its stated objectives. Evaluation has two specific purposes: accountability and learning. Accountability refers to the obligation of the project to demonstrate to the donor, stakeholders, beneficiaries and others that it was implemented in compliance with its original design, agreed contracts and plans.[12] Moreover, evaluation offers

[12] ILO, ILO Guidelines to Results-Based Evaluation. Principles, Rationale, Planning and Managing for Evaluations Version 1 - January 2010.

opportunities to learn about the achievement of results and the performance of the project team. Lessons learned can be applied to future projects. For cooperative projects, three modes of evaluation are particularly relevant: (1) Self-evaluation carried out by members of the project team; (2) Internal evaluation conducted by people from the cooperative organization who have no previous links to the project; and (3) External evaluation, which is managed by external evaluators who have no previous links with the project being evaluated. External evaluations are usually initiated, led and financed by a donor agency.[13] Evaluation is thus a periodic assessment, which usually takes place at the middle or at the end of the project whereas monitoring is a continuous internal process that analyses the project's achievements concerning the outputs to enable project managers to take corrective action when necessary.

Differences between monitoring and evaluation.

	Why?	When?	Who?	For whom?
Monitoring	➢ Check progress towards planned objectives (impact monitoring), outputs and activities (implementation monitoring) ➢ Take remedial action if necessary ➢ Contribute to progress report	Continuous activity	The project team	➢ Project management ➢ Main stakeholders
Evaluation	➢ Check whether the right objectives and strategies have been chosen ➢ Learn lessons for future projects ➢ Provide accountability	Periodic: usually at the end of the project. For longer projects, it can also be done halfway.	An external evaluator Members of the cooperative organization with no previous links Project team	➢ Project management ➢ Stakeholders ➢ Beneficiaries ➢ Partners ➢ Donors ➢ Wider audience

To ensure **gender-sensitivity** in monitoring and evaluation, it is important that:

1. All data that are collected, from the baseline to final collections, are disaggregated by sex;
2. Indicators are disaggregated by sex in a way that allows you to assess the programme's impact on the situation of both women and men;
3. Both women and men are consulted and able to voice their views during the process;
4. Possible differences in effects of the project on women and men are analysed and followed up.

[13] Adapted from: ILO, ILO Guidelines to Results-Based Evaluation. Principles, Rationale, Planning and Managing for Evaluations Version 1 - January 2010.

4.1 Monitoring plans

Monitoring is a core management responsibility. It involves collection, analysis and communication concerning the progress of the project and outputs achieved. It identifies actual and potential successes or failures as early as possible, and facilitates timely adjustments to what is being done. It enables the stakeholders to review progress and to propose action to achieve the objectives.

As shown below, there are three types of monitoring. They happen at different levels of the logical framework and serve different functions: 1) **implementation monitoring** is operational: it monitors the activities and outputs; 2) **impact monitoring** concentrates on the immediate objectives; 3) **reporting** concerns the concrete (narrative and financial) reports that have to be prepared and submitted periodically to the main stakeholders, particularly donors.

4.1.1 Implementation monitoring (operational)

What is it?

Implementation monitoring answers the question: ***What have we done?*** It follows what the project produces (goods and services) for its beneficiaries. It is used for implementation management. This type of monitoring is mainly an ***implementation management tool*** for the project manager, because it makes it possible to check at any time that implementation is on track. It provides information on whether resources are being used correctly to produce the activities, whether activities are being carried out within the planned time frames and whether outputs are obtained and delivered as necessary. Implementation monitoring can be used for short-term project progress reporting (e.g. quarterly or bi-annually).

How to do it

The main tools of this type of monitoring are the implementation matrices in step 3 and the output indicators. Project management must keep track of how the project is spending the budget, using the inputs and carrying out the activities in order to produce the outputs. The use of the logframe and implementation tools is recommended. The implementation plans (work breakdown structure, calendar of activities and budget) are just estimates of what will happen in the future. They must be reviewed and modified during implementation on the basis of what really happened.

Box 10: Tools for operational monitoring

The implementation plan (Step 3 of the design process) provides the tools to be used for operational monitoring :

- Monthly work plan
- Work breakdown structure
- Calendar of activities
- Budget

Example of implementation monitoring using the case study:

If administrative records show that 25 dairy cooperatives members have received training, you need to know how this compares to what was planned, in order to assess performance. If the plan was to train 100 dairy cooperative members, and all the resources/costs originally budgeted for have been spent, this would indicate a problem either with implementation performance and/or with the original plan and budget. Planners and managers would need to analyse the causes of the problem and determine an appropriate course of remedial action.

4.1.2 Impact monitoring (immediate objective)

What is it?

This level of monitoring focuses on immediate objectives and their contribution to the development objective during the project's implementation. Impact monitoring is an input into the final evaluation which will verify the impact of the project only at the end. The key question in this type of monitoring is ***What have we achieved?*** The centre of attention is what changes the project has produced in the ultimate beneficiaries and the target group. The development of changes in stakeholders, the ownership of achievements and sustainability are especially relevant aspects of this type of monitoring.

This type of monitoring is a ***performance management tool***, since it provides information on whether outputs are used and owned by the target groups, on the changes that the project is producing on the context, and on any other aspects related to the project's objectives. This is essential information for the project manager and stakeholders to see whether the project is contributing to development beyond its activities and products.

How to do it

Monitoring that focuses on results requires painting the initial picture of the situation that the project will change. This initial situation is called the **baseline**. It will be useful as a comparison point with which to verify progress towards the results. The baseline paints the initial picture, which is essential in the monitoring of results. Progress is measured using the indicators for the immediate objectives. These are complemented by performance questions on key matters such as ownership, use and usefulness of products, sustainability, compliance by strategic partners and contextual factors.

In this type of monitoring, the participation of stakeholders is crucial, given that they are responsible for the outputs. The timing of data collection is therefore usually more spread out than in implementation monitoring. Reports also cover longer periods, usually annual or biennial.

Box 11: Tools for impact monitoring

Tools to be used for impact monitoring: **indicators and means of verification** developed in the **logical framework** (Step 2) and baselines and mid-term targets for achieving those indicators (see below).

Example of an impact monitoring matrix using the case study:

Immediate objective: Members' income, particularly that of women and young farmers, increased through the improvement of the cooperative's governance and business performance

Outputs	Indicators	Means of verification	Data collection method	Responsibility	Baseline	Year 1 indicator achieved	Year 2 indicator achieved	Year 3 Indicator achieved
Output 1 **Improved health of farmers' livestock**	Increase of healthy livestock by 60% at the end of the project	Sample survey	Farm visits	Member of the management board in charge of livestock support	Situation at start of the project (=0)	+ 20%	+ 20%	+20%
Output 2 **Long-life milk and quality dairy products produced**	Decreased incidence of milk spoilage with 80% at the end of the project	Cooperative records at collection and processing sites	Record keeping	Manager	Situation at start of the project (=0)	-20%	-40%	-20%
Etc.								

4.1.3 Reporting

All the information gathered in the monitoring plans will allow you to prepare the mid-term and final reports. The progress of the project against what was planned is assessed and the information is presented clearly in a report. Specific templates exist for each donor, consistent with the initial application form, so that you can compare what was planned with what was actually achieved. Indicators are therefore crucial to monitoring the success of the project and to reporting on it.

4.2 Planning the evaluation

What is it?

The evaluation is intended to make an overall assessment of the completed project. The purpose is to determine the relevance of the achievement of the objectives, the effectiveness, the efficiency, the impact and the sustainability of the project.

The evaluator has to be external. He or she will assess the impact of the project, given the planned objectives. The participation of the stakeholders in the evaluation is crucial in order to ensure that the different perspectives and views are taken into account.

In most cases, the evaluation is only conducted at the end of the project, but for wider projects and programmes mid-term and ex-ante evaluations can be conducted. Mid-term evaluations are often similar to impact monitoring but are conducted by an external assessor, whereas monitoring is internal. It gives the project management and the stakeholders an independent analysis of the progress made towards the planned objectives, one with which they can review the strategy. Ex-ante evaluation is conducted after the end of the project, up to five years later, in order to verify if the results obtained by the project are sustainable.

How to do it

Evaluation, based on the indicators, focusing on the project's immediate objective and how your project contributes to the development objective.

The logical framework clearly specifies what is to be achieved (outputs and immediate objective), how it is to be verified (indicators and means of verification) and the key assumptions. The project management will prepare the terms of reference (ToR) of the evaluation, based on expected outputs as mentioned in the logframe.

Adequate resources should be set aside for conducting the evaluation (hiring a consultant, field visits, etc.) and the necessary conditions and capacities ensured.

Evaluation is the last step in the project cycle presented in chapter 1, but it is not the end of a project. Indeed, it can be considered the starting point for a new planning process, because the conclusions of the evaluation will allow the stakeholders to draw lessons that may guide future decision-making and project identification.

That is the logic of the project cycle.

Glossary[14]

Activities	The actions (and means) that have to be taken/provided to produce the outputs. They summarize what the project will do.
Activity schedule	See Calendar of activities and Work plan
Analysis of objectives	Identification and verification of future desired benefits to which the beneficiaries attach priority. The output of an analysis of objectives is the objective tree / hierarchy of objectives.
Analysis of strategies	Critical assessment of the alternative ways of achieving objectives, and selection of one or more for inclusion in the proposed project.
Assumptions	External factors which could affect the progress or success of the project, but over which the project manager has no direct control. They form the fourth column of the logframe, and are formulated in a positive way, e.g. "Reform of penal procedures successfully implemented".
Baseline	The analysis describing the situation prior to a development intervention, against which progress can be assessed or comparisons made be assessed or comparisons made.
Beneficiaries	Those who benefit, in whatever way, from the project. Distinction may be made among: (a) Direct beneficiaries: the group / entity who will be positively affected immediately by the project at the Project output level (b) Final beneficiaries: those who benefit from the project in the medium term at the level of the outcome/immediate objective of the project (c) Indirect beneficiaries: those who will benefit through the contribution to the overall objective of the project in the long term at the level of the society or sector.
Budget	An itemized summary of estimated or intended expenditure for a given period, along with proposals for financing it. It is based on the resource plan.
Calendar of activities	One of the three matrices composing the project's work plan. A Gantt chart (see definition), a graphic representation similar to a bar chart, setting out the timing, sequence and duration of project activities. It can also be used to identify milestones for monitoring progress, and to assign responsibility for achievement of targets.
Challenge Fund / COOP AFRICA	A challenge fund is a competitive, financing mechanism to allocate funds. Challenge funds are set up to meet specific objectives – such as extending financial services to poor people. Applications are assessed against transparent criteria, and successful bidders must match a certain percentage of the grant. A Selection Committee then awards grants to those projects that best meet the aims of the objectives of the Challenge Fund. Source: http://www.ilo.org/coopafrica
Challenge Fund / COOP AFRICA applicants	Primary cooperatives, cooperative unions, cooperative federations and other stakeholders who can demonstrate a clear partnership with a cooperative organization. Source: http://www.ilo.org/coopafrica

[14] This glossary is mainly based on the OECD/DAC terminology for effective aid delivery. Other sources of reference as well as additional sources of information are specified for each definition which doesn't belong to the main source mentioned above. A full list of references is available at the end of this manual

Challenge fund / COOP^{AFRICA} focal points	Persons and/or institutions who liaise between the COOP^{AFRICA} programme and its national stakeholders and act as reference points for applicants to the Challenge Fund. They are responsible for collecting concept notes and project proposals and submitting them to the NAGs. Source: http://www.ilo.org/public/english/employment/ent/coop/africa/about/staff.htm
Challenge Fund / COOP^{AFRICA} Selection Committee	Responsible for the final decision in the selection process. It is made up of representatives of the UK Cooperative College, the International Co-operative Alliance (ICA), the International Labour Office (ILO), the International Trade Union Confederation (ITUC) and the Committee for the Promotion and Advancement of Cooperatives (COPAC). Source: http://www.ilo.org/coopafrica
Cooperative	An autonomous association of persons united voluntarily to meet their common economic, social and cultural needs and aspirations through a jointly-owned and democratically-controlled enterprise. Source: ILO, The Promotion of Cooperatives Recommendation, 2002 - paragraph 2.
Cooperative college	An education and training institution catering for cooperative education and training. Source: ILO/COOP^{AFRICA}
Cooperative confederation	A quaternary cooperative, comprised of at least two federations that come together in national organization(s) – a national umbrella organization. Source: ILO/COOP^{AFRICA}
Cooperative federation	A tertiary cooperative, comprised of at least two cooperative unions. Where there are no cooperative unions, federations can allow primary cooperatives to become members. Cooperative federations are often defined by sector or region. Source: ILO/COOP^{AFRICA}
Cooperative movement	An encompassing term for all cooperative forms of organization, guided by cooperative values and principles Source: ILO, The Promotion of Cooperatives Recommendation, 2002 - paragraph 3a and 3b.
Cooperative organization	A term encompassing cooperative organizations at all levels, including primary cooperatives, secondary cooperatives (unions), tertiary cooperatives (federations) and quaternary cooperatives (confederation). Source: ILO/COOP^{AFRICA}
Cooperative support organizations	Relevant non-government organizations, government departments, parastatal organizations, development programmes, cooperative colleges and cooperative development centres, among others. Source: ILO/COOP^{AFRICA}
Cooperative union	A secondary cooperative, comprised of at least two primary cooperatives. Source: ILO/COOP^{AFRICA}
Cost	Cost is the translation into financial terms of all the identified resources ("inputs").

Decent Work Country Programmes (DWCPs)

DWCPs are the distinct ILO contribution to UN country programmes and are the main vehicle for ILO support to individual countries. DWCPs have two basic objectives: 1) to promote decent work as a key component of national development strategies; 2) to organise ILO knowledge, instruments, advocacy and cooperation at the service of tripartite constituents in a results-based framework to advance the Decent Work Agenda within the fields of comparative advantage of the Organization. Tripartism and social dialogue are central to the planning and implementation of a coherent and integrated ILO programme of assistance to constituents in member States. Source: http://www.ilo.org/public/english/bureau/program/dwcp/index.htm

Development assumptions

These assumptions link the immediate objective to the development goal. The question being asked is: How is the achievement of the immediate objective going to contribute to national goals, as well as to ILO and donor objectives? These are often stated in the form of hypotheses or theories. They are important for the appraisal and evaluation of the project, but are not usually related to implementation of activities. Example: Political stability (no military coup) and transparent local elections.

Development indicators

The OECD, the United Nations and the World Bank have agreed to focus on a series of key goals in partnership with developing countries. These goals have been endorsed by major international conferences. A system for tracking progress has also been agreed upon. A core set of indicators will be used - at a global level - to monitor performance and adjust development strategies as required. In terms of development policy, the following terminology is used for indicators:

- Input indicators measure the financial, administrative and regulatory resources provided by the government and donors. It is necessary to establish a link between the resources used and the results achieved in order to assess the efficiency of the actions carried out, e.g. share of the budget devoted to education expenditure, abolition of compulsory school uniforms.
- Output indicators measure the immediate concrete consequences of the measures taken and resources used, e.g. number of schools built, number of teachers trained.
- Immediate objective indicators measure the short-term outputs at the level of beneficiaries. The term 'outputs indicators' is used as well, e.g. school enrolment, percentage of girls among the children entering the first year of primary school.
- Development objective indicators measure the long-term consequences of the immediate objective. They measure the general objectives in terms of national development and poverty reduction, e.g. literacy rates.

Development objective

Explains why the project is important to society, in terms of the longer-term benefits to final beneficiaries and the wider benefits to other groups. It also helps to show how the project fits into the national policies of the government/organizations concerned (MDGs, PRSP and COOP Africa). The development objective will not be achieved by the project alone (it will only provide a contribution towards the overall objectives) but will require the contributions of other projects as well.

Effectiveness

The contribution made by outputs to achievement of the project's immediate objective, and how assumptions have affected project achievements.

Efficiency The fact that the outputs were obtained at reasonable cost, i.e. how well inputs and activities were converted into outputs, and the quality of the outputs achieved.

Evaluation A periodic assessment of the efficiency, effectiveness, impact, sustainability and relevance of a project, given the stated objectives. It is usually done as an independent examination of the background, objectives, outputs, activities and inputs used, with a view to drawing lessons to guide future decision-making.

Evaluation phase The final phase of the project cycle, during which the project is examined against its objectives, and lessons are used to influence future actions.

Feasibility Examines whether the project objectives can really be achieved.

Financing phase The phase of the project cycle during which projects are approved for financing.

Gantt chart A Gantt chart is a type of bar chart that illustrates a project schedule. Gantt charts illustrate the start and end dates of the terminal elements and summary elements of a project. Terminal elements and summary elements comprise the work breakdown structure of the project.

Gender Gender refers to the social differences and relations between women and men that are learned, changeable over time, and have wide variations both within and between societies and cultures. These differences and relationships are socially constructed and are learned through the socialization process. They determine what is considered appropriate for members of each sex. They are context-specific and can be modified. Other variables, such as ethnicity, caste, class, age and ability intersect with gender differences.
Source: ILO 2007b

Gender analysis Policy on gender mainstreaming in development co-operation requires the integration of gender analysis at macro, meso and micro levels, throughout the project cycle. A gender analysis allows the identification and integration of the dynamics of change in a given situation, as well as the monitoring of their evolution, particularly in relation to the disparities between women and men. A gender analysis includes attention to: the different roles (productive, reproductive, decision-making) of women and men; their differential access to and use of resources and their specific needs, interests and problems; and the barriers to the full and equitable participation of women and men in project activities and to equity between women and men in the benefits obtained.

Gender equality Gender equality entails the concept that all human beings, both women and men, are free to develop their personal abilities and make choices without the limitations set by stereotypes, rigid gender roles and prejudices. Gender equality means that the different behaviour, aspirations and needs of women and men are considered, valued and favoured equally. It does not mean that women and men have to become the same, but that their rights, responsibilities and opportunities will not depend on whether they are born male or female. Equality between women and men is both a human rights issue and a precondition for sustainable people-centered development and decent work."
Source: ILO 2007b

Gender inequality Unequal access to, and control over, the various material and non-material resources and assets of a society. In all societies, the woman's role is the inferior one in the relationship. Jobs done predominately by women are the least well paid and have the lowest status.

Gender mainstreaming Gender mainstreaming is the process of assessing the implications for women and men of any planned action, including legislation, policies or programmes, in all areas and at all levels. It is a strategy for making women's as well as men's concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres so that women and men benefit equally and inequality is not perpetuated. The ultimate goal is to achieve gender equality.
Souce: United Nations Economic and Social Council (1997).

Hierarchy of objectives A diagrammatic representation of the proposed project interventions. It is planned logically, following a problem analysis, and shows means-to-ends relationships. Synonym: objectives tree.

Identification phase The second phase of the project cycle. It involves the initial statement of the project idea in terms of objectives, outputs and activities, with a view to determining whether or not to go ahead with a feasibility study.

ILO Promotion of Cooperatives Recommendation, 2002 (R193) ILO Recommendation 193 on the Promotion of Cooperatives was formally adopted at the International Labour Conference in 2002 to encourage governments and employer, worker and cooperative organizations to promote cooperatives in ways that include specific policies and legislation, facilitating access to financial and other services, and helping to provide education and training. This Recommendation is important in determining the role of cooperatives and outlining the basic conditions needed for cooperatives to flourish in both developed and developing countries.
Source: http://www.ilo.org/coop

Immediate objective The immediate objective should address the core problem, and be defined in terms of sustainable benefits for the target group(s). The immediate objective should also express the equitable benefits for women and men among the target group(s). It is better to have only one immediate objective per project.

Impact See "development objective".

Implementation assumptions These assumptions link the immediate objectives of the project to the outputs. Since project management cannot control what happens with projects outputs, there are important assumptions at this level. These assumptions are critical to the success of the project and form an important part of any evaluation.

Implementation partners Stakeholders directly responsible for carrying out specific activities.

Implementation phase The fifth phase of the project cycle, during which the project is implemented, and progress towards achieving objectives is monitored.

Indicators	Indicators are measurable, tangible signs that something has been done. Carefully selected and measured over time, indicators can demonstrate progress and impact. Quantitative or qualitative factors or variables that provide a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development player. They should be specific, measurable, attainable, realistic and time-bound (SMART).
Inputs	Inputs are physical and non-physical resources that are necessary to carry out the planned activities and manage the project. A distinction can be drawn between human resources and material resources.
Intervention logic	The strategy underlying the project. It is the narrative description of the project at each of the four levels of the 'hierarchy of objectives' used in the logframe.
Logical framework approach (LFA)	The logical framework is a planning methodology that allows you to identify the components of a project that are necessary to achieve certain positive changes, and to organize them using cause-effect logic.
Logframe	The matrix in which a project's intervention logic, assumptions, objectively verifiable indicators and means of verification are presented.
Means	See "inputs".
Means of verification	These form the third column of the logframe and indicate where, and in what form, information on the achievement of the development objectives, the immediate objective and the outputs can be found (described by the indicators).
Millenium Development Goals (MDGs)	The Millennium Development Goals represent a global partnership that has grown from the commitments and targets established at the world summits in the 1990s. Responding to the world's main development challenges and to the calls of civil society, the MDGs promote poverty reduction, education, maternal health and gender equality, and aim at combating child mortality, AIDS and other diseases. Set for the year 2015, the MDGs are an agreed set of goals that can be achieved if all those involved work together and do their part. Poor countries have pledged to govern better and invest in their people through health care and education. Rich countries have pledged to support them through aid, debt relief and fairer trade. Source: http://www.undp.org/mdg/
Monitoring	Monitoring involves the collection, analysis, communication and use of information about the project's progress.
National Advisory Groups (NAGs) / COOP^{AFRICA}	These are representatives of the cooperative movement and other stakeholders, such as unions, federations, colleges, ministries and trade unions. They are responsible for recommending project proposals which are consistent with Decent Work Country Programmes, COOP^{AFRICA} strategic objectives, Challenge Fund criteria and national poverty-reduction policies. NAGs are also considered to be national platforms on which cooperative stakeholders can discuss national priorities. Source: http://www.ilo.org/public/english/employment/ent/coop/africa/download/nag_list1.pdf
Objective	Description of the aim of a project or programme. In its generic sense, it refers to activities, outputs, immediate objectives and development objectives.

Objective tree	A diagrammatic representation of the situation in the future once problems have been remedied, following a problem analysis, and showing means-to-ends relationships.
Problem analysis	A structured investigation of the negative aspects of a situation in order to establish the causes and their effects.
Problem tree	A diagrammatic representation of a negative situation, showing a cause-effect relationship.
Programme	A series of projects with a common development objective.
Progress report	An interim report on the progress of work on a project submitted by the project management /contractor to the partner organization within a specific time. It includes sections on technical and financial performance. It is submitted as per the TOR.
Project	A project is a series of activities or a structure aimed at bringing about clearly specified objectives within a set time and a given budget
Project cycle	The project cycle follows the life of a project from the initial idea through to its completion. Its structure ensures that stakeholders are consulted, and sets out the key decisions, information requirements and responsibilities at each phase, so that informed decisions can be made. It draws on evaluation to build the lessons of experience into the design of future programmes and projects.
Project cycle management	A methodology for the preparation, implementation and evaluation of projects and programmes based on an integrated approach and a logical framework.
Project outcome	See “immediate objective”.
Project partners	Those who also participate in the design and implementation of the project, e.g. the national cooperative college, trade unions, employers’ organizations, Ministry of Labour, local authorities, etc.
Project purpose	See “immediate objective”.
Relevance	The appropriateness of project objectives for the real problems, needs and priorities of the target groups and intended beneficiaries of the project, and for the physical and policy environment within which it operates.
Resource plan	A breakdown of the project budget, in which inputs and cost are linked to activities, and detailed for each time period.
Responsibility matrix	The responsibility matrix sets out who is responsible for each activity by allocating duties to different people within the team and partners.
Results	The “products” of the activities undertaken, the combination of which achieve the outcome of the project, namely the start of sustainable benefits for the target groups.

Results-based management	Results-based management (RBM) is a management approach that directs organizational processes, planning and the management of resources, activities, products and services towards the achievement of clearly observable changes in the real world, or results. There is a global consensus in the development community that RBM is the best way to demonstrate performance.
Risks	See also "assumptions". External factors and events that could affect the progress or success of the project, and that are not very likely to hold true. They are formulated in a negative way, e.g. "Reform of penal procedures fails".
Selection review	Analysis of a proposed project to determine its merit and acceptability in accordance with established criteria. This is the final step before a project is agreed upon for financing. It checks that the project is feasible against the situation on the ground, that the objectives remain appropriate and that costs are reasonable.
Sources of verification	See "means of verification".
Stakeholders	Individuals or institutions that may – directly or indirectly, positively or negatively – affect or be affected by a project or programme.
Stakeholder analysis	Stakeholder analysis involves the identification of all stakeholder groups likely to be affected (either positively or negatively) by the proposed intervention, the identification and analysis of their interests, problems, potential, etc. The conclusions of this analysis are then integrated into the project design.
Sustainability of the project results	The likelihood of a continuation in the stream of benefits produced by the project after the period of external support has ended.
Sustainability assumptions	These assumptions relate to the sustainability of the development and immediate objectives, e.g. government agrees to ratify cooperative law.
SWOT analysis	Analysis of an organization's strengths and weaknesses, and the opportunities and threats that it faces. A tool that can be used during all phases of the project cycle.
Target group(s)	The group / entity that will be positively affected by the project at the immediate objective level.
Terms of reference (TOR)	Terms of reference set out the tasks required of a contractor and indicate project background and objectives, planned activities, expected inputs and results, budget, timetables and job descriptions.
Work breakdown structure	A work breakdown structure is used to prepare the plan of operation. It must be carried out before any of the other steps can be taken. It sets out the activities, sub-activities and tasks required for achieving each output. This is the basis for the subsequent steps that allocate responsibilities and scheduled activities, and estimate resources and budget.
Work plan	The implementation plan of the project that sets out the: 1. work breakdown structure 2. responsibility matrix 3. calendar of activities 4. resource plan.

Annex 1 - Example of a project document template: The Coop AFRICA Challenge Fund

In the case of the Challenge Fund (ILO/ COOP AFRICA), proposals above $US 20,000 have to be submitted in response to twice-yearly calls for proposal, whereas projects under $US 20,000 may be submitted directly at any time.

The Challenge Fund submission process, application forms and guidelines can be seen at: http://www.ilo.org/public/english/employment/ent/coop/africa/areas/challenge.htm

The project template of the Challenge Fund

Each donor has its own template with which to prepare and submit a project proposal. But, as mentioned earlier, most of them now require the project to be designed using the logical framework tool. Once you have developed a logframe, following the steps suggested in the manual, it should be easy to draft any project document.

For the Challenge Fund, you will be required to use the application format (see http://www.ilo.org/coopafrica). The typical structure of a project document is similar to the Challenge Fund application form. Below is an annotated template for guidance:

Summary of project data

Basic information on the Project: title, country, region, budget and sometimes a short summary of the project itself.

1. ***Information about the applicant***

   Brief information on the applicant: type of cooperative, address and profile.

2. ***Project rationale***

   A synthesis of the problem analysis conducted with the stakeholders.

3. ***Target group and partners***

   1. ***Direct beneficiaries**: the group/institutions who will be directly affected by the project at the level of the immediate objective (e.g. members of the cooperatives).*
   2. ***Final beneficiaries**: those who benefit from the project in the long term, e.g. families of cooperative members, children (through an increase in milk production by the cooperatives) etc.*
   3. ***Partners**: stakeholders who will be directly involved in activities, in particular when the applicant does not have enough capacity, e.g. Centres of Competence.*
      Note: For the target group, information provided should be disaggregated by sex.

4. ***Coherence with national frameworks such as the Millennium Development Goals (MDGs and Poverty Reduction Strategy Papers (PRSPs)***

   Every projects needs to be consistent with national development programmes. In this section, the applicants have to show how their project will contribute to achieving those national goals.

5. Project strategy

This section states the extent to which the identified problem will be dealt with, and the strategy that will be used to produce the desired outputs, for example:

- *Describes the type of intervention (direct action or institutional development) and indicates the main components of the strategy (e.g. awareness-raising, education and vocational training, income-generating activities).*
- *Translation of the logical framework in the text, introducing:*
    - *Objectives and indicators (As stated in the logframe)*
    - *Expected outputs and activities*
- *Description in detail of each activity to produce each output, justifying the choice of the activities, indicating their sequence and interrelationship, and specifying the role of each partner (or associate or subcontractor) in the activities.*
- *Indicators per output*
- *Be gender-specific when defining outputs and activities, e.g. set target figures by sex, if training opportunities are limited, or indicate whether women-specific and/or men-specific outputs are required.*

6. Project management and institutional arrangements

- *The organizational structure and the team proposed for the implementation of the action[15].*
- *The main means proposed for the implementation of the action (equipment, materials and supplies).*

7. Lessons learnt and evaluation

- *The methodology that will be used to assess the impact of the activity and disseminate the lessons learnt.*
- *The procedures for an internal/external evaluation.*
- *The reporting schedule.*
- *How gender-responsiveness will be ensured in M&E.*

8. Sustainability and assumptions

- *Description of the main preconditions and assumptions during and after the implementation phase.*
- *Explanation of how sustainability will be secured after the action. This can include aspects of measures and strategies built into the action, follow-up activities, ownership by target groups, etc. Please distinguish among the following dimensions of sustainability:*
    1. *Financial sustainability (financing of follow-up activities, sources of revenue for covering all future operating and maintenance costs, etc.).*
    2. *Institutional level (Which structures would allow the outputs to continue after the action, and how? Address local "ownership" of outcomes).*
    3. *Environmental sustainability (What impact will the action have on the environment? Create conditions that avoid negative effects on natural resources on which the action depends and on the broader natural environment).*

9. Work plan

- *Including the responsibility matrix, calendar of activities and resource plan*

[15] There is no need to include the names of individuals by function.

Annex 2 - Grant possibilities and guidelines

This annex lists a few examples of funding sources that may be of interest to the users of this manual.

Name	Short description	Internet reference
Africa Enterprise Challenge Fund (AECF)	The AECF provides grants and interest free loans to businesses who wish to implement innovative, commercial viable, high impact projects in Africa. The AECF supports businesses working in agriculture, financial services, renewable energy and technologies for adapting to climate change. We also support initiatives in media and information services where they relate to these sectors. Applications are assessed during competitive rounds which each have their own entry criteria. Winners can receive up to US $ 1.5 million. The competition is open to companies from anywhere in the world provided the business idea is implemented in Africa. The AECF is a special partnership initiative of AGRA.	http://www.aecfafrica.org/
Alliance for a Green Revolution in Africa (AGRA)	AGRA is a partnership-based organization that works across the African continent to help millions of small-scale farmers and their families lift themselves out of poverty and hunger. African-led and Africa-based, AGRA develops programs aimed at implementing practical solutions to significantly boost smallholder farm productivity and incomes while safeguarding the environment and promoting equity. AGRA awards grants to help achieve Africa's goal of replacing poverty with prosperity on Africa's small-scale farms.	http://www.agra-alliance.org/section/about/grants
Business in development (BiD) Challenge	The BiD Challenge is an on-line global business plan competition that challenges entrepreneurs to develop and execute innovative business plans with growth potential. We do this to stimulate local economic growth and generate jobs and income in emerging markets. BiD Network operates the BiD Challenge from 10 countries in Asia, Latin America and Africa. BiD Network sources and selects business plans and offers tools to the best entrepreneurs, paving the way for them to access finance.	http://www.bidnetwork.org/page/43262

European Commission (EC)	The EC issues an overview of new financial rules and funding opportunities for the period 2007-2013. It provides tips on how to get started, a brief look at different forms of European Union (EU) funding as well as practical examples for selected groups of EU funds beneficiaries. The EU also has a database of calls for proposal with specific application forms attached to each call for proposals (click on "calls for proposals & procurement notices" for a search by country and type of grant).	http://ec.europa.eu/budget/library/publications/financial_pub/pack_rules_funds_en.pdf http://ec.europa.eu/europeaid/work/funding/index_en.htm
ILO COOP^{AFRICA} Challenge Fund	Cooperatives, cooperative apex organisations and other cooperative support agencies from the project countries can apply for a grant from the COOP^{AFRICA} Challenge Fund. Twice a year COOP^{AFRICA} publishes in national newspapers, on the radio and on the website a call for proposals for proposals of USD 20,000 to USD 50,000. Smaller projects below the threshold of USD 20,000 can apply for funds throughout the year. Since its inception in June 2008, the COOP^{AFRICA} Challenge Fund has funded about 70 projects in Eastern and Southern Africa.	http://www.ilo.org/public/english/employment/ent/coop/africa/areas/challenge.htm

ILO YES JUMP COOP Challenge Fund	The ILO Youth Employment Support (YES) Jobs for the Unemployed and Marginalized Young People (JUMP) established in Kenya and Zimbabwe, facilitates and supports entrepreneurship development, skills training, technical and financial support to local job creation schemes and strengthening small enterprises and cooperatives and business development services. The project strategy is to create a broader partnership between local stakeholders to implement priority projects for youth at the community level. The YES-JUMP COOP Challenge Fund, set up in partnership with ILO/COOP^{AFRICA}, provides youth groups and youth, increased access to micro finance services towards the creation of jobs. Projects funded through the YES-JUMP COOP Challenge Fund should comply with these two key criteria (access to micro finance for youth and cooperative development). In addition, projects submitted to the challenge fund should also describe the extent to which youth beneficiaries of the loans will/shall be provided with increased access to non financial services.	http://www.ilo.org/public/english/employment/ent/coop/africa/areas/yesjump.htm
International Fund for Agricultural Development (IFAD)	Through its grants, IFAD promotes successful and/or innovative approaches and technologies, together with enabling policies and institutions that will support agricultural and rural development, thereby contributing to the achievement of IFAD's overarching goal of empowering poor rural women and men to achieve higher incomes and improved food security. Eligible partners in implementing grant-financed activities include: developing Member States; intergovernmental organizations in which such Member States participate; civil society organizations, including NGOs; and IFAD-hosted initiatives. Additionally, for-profit, private-sector entities are also eligible to receive grant financing for specific, agreed grant-financed activities aimed at enabling poor rural women and men. All grant proposals need to have an IFAD staff member as focal point/champion who sponsors the grant, which would include to facilitating the grant processing to approval and providing implementation support/supervision as required.	http://www.ifad.org/operations/grants/index.htm

Youth Entrepreneurship Facility's Youth to Youth Fund	The Youth Entrepreneurship Facility is an initiative to "unleash African entrepreneurship". It is a collaboration between the Africa Commission, the Youth Employment Network (YEN) and the International Labour Organization (ILO). The Youth Entrepreneurship Facility's Youth-to-Youth Fund is a competitive grant and capacity building scheme that invites young women and men to propose and deliver innovative entrepreneurship solutions to youth employment challenges in their communities. The main objective of the Youth-to-Youth Fund is to allow young people in East Africa to actively participate in the development of youth entrepreneurship in their countries. Through the funding and capacity building, youth- and youth-led organizations will gain the capacity and means to turn their ideas into concrete development projects. Grant packages will be awarded to organizations with most innovative project ideas on how to promote and develop entrepreneurship amongst youth. Extensive capacity building is incorporated into the grant packages. In addition, training and technical assistance will be provided to the applicants throughout the application process.	http://www.ilo.org/public/english/employment/yen/whatwedo/projects/yef.htm

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