Learner Guide

THE PACIFIC GUIDE TO PROJECT PROPOSAL PREPARATION USING THE LOGICAL FRAMEWORK APPROACH

ACKNOWLEDGMENTS

This Learning Resource has been produced by the Pacific Research & Evaluation Associates (PREA) for the Secretariat of the Pacific Community (SPC), through its European Union funded Global Climate Change Alliance: Pacific Small Island States (GCCA: PSIS) project in collaboration with the Secretariat of the Pacific Regional Environmental Programme (SPREP).

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SECTION 1. INTRODUCTION

- Introduction to the course
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USING THE LEARNER GUIDE

The guide is divided into sections and contains icons to help you navigate through the guide.

Introduction to the Course

This course is designed to introduce the logical framework approach (LFA) as a means to design project proposals for funding assistance in the area of climate change adaptation.

The European Union (EU) established the Global Climate Change Alliance (GCCA) in 2007 to strengthen dialogue, exchange of experiences and cooperation on climate change with developing countries most vulnerable to climate change, in particular the Least Developed Countries and the Small Island Developing States. GCCA is the main implementing channel for the EU fast start commitments related to climate change adaptation.

The overall objective of the SPC GCCA: PSIS is to support the governments of nine smaller Pacific Island states, namely Cook Islands, Federated States of Micronesia, Kiribati, Marshall Islands, Nauru, Niue, Palau, Tonga and Tuvalu, in their efforts to tackle the adverse effects of climate change. The purpose of the project is to promote long-term strategies and approaches to adaptation planning and pave the way for more effective and coordinated aid delivery to address climate change at the national and regional level.

Following a regional workshop on Climate Finance and Proposal Preparation held in Apia, Samoa, 26 – 27 October 2012, and supported by the Asia-Pacific Adaptation Network (APAN), Secretariat of the Pacific Regional Environment Programme (SPREP) and SPC, six of the countries (Cook Islands, Federated States of Micronesia, Marshall Islands, Nauru, Niue and Tuvalu) involved in the GCCA: PSIS project expressed their interest in having a national training workshop on project proposal preparation using the logical framework approach. This training program responds to that expressed need.

Learning Objectives

The overall learning objectives of the training course is to build participant capacity in proposal preparation using the logical framework approach. More specifically at the end of this training programme

- participants will be able to describe and perform all the steps of the Logical Framework Approach to develop a verified quality logframe matrix
- participants will be able to describe and complete the key components of a funding application by pulling relevant data from the logframe matrix.
- participants will be more aware of the donors and grant funding programs that can be accessed by PSIS to fund climate change adaptation projects.

Learner Guide Icons

A range of icons are used throughout the body of this guide to signal when you have to do something such as completing a learning activity or assessment task.

Learning Activities are there to help you reflect on and consolidate your learning.

Readings are provided to guide you to further technical information to allow you to further build upon the learning objectives.

SECTION 2. HOW THE LOGICAL FRAMEWORK APPROACH FITS IN THE PROJECT MANAGEMENT CYCLE

- Introduction to the Project Management Cycle (PMC)
- Introduction to the Logical Framework Approach (LFA)
- How the LFA fits in to the PMC
- Critiques of the use of LFA
- Using the LFA to inform project proposal development

INTRODUCTION TO THE PROJECT MANAGEMENT CYCLE

Projects follow a sequence of phases, called the Project Management Cycle (PMC). The PMC is represented in Figure 1. The phases are explained in Table 1.

A **project** is defined as a set of specific activities within a set timeline.

This is different to a **programme** which typically has a broader scope, and can consist of several ongoing projects within a broader timeframe.

Figure 1. The Project Management Cycle

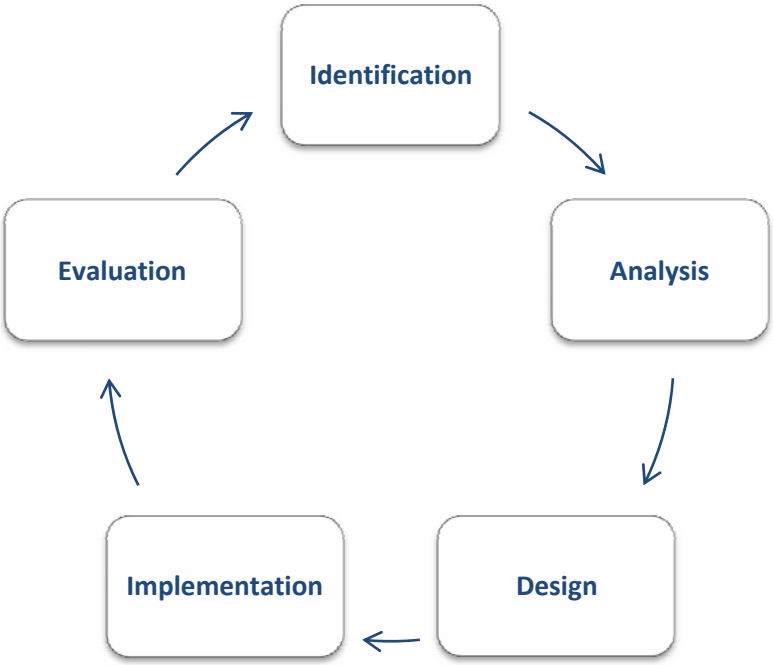


Table 1. Phases in the Project Management Cycle

Step	Description
Identification	This is where a project idea is proposed, based on the identification of a need or opportunity for funding.
Analysis	This is where research is undertaken to gain a better understanding of the project and the context in which it is situated. This includes reviewing past project proposals that relate to the project idea, reviewing evaluation reports, and engaging with stakeholders.
Design	This is where the project design is developed, based on the analysis undertaken in the previous phase. The design will inform the project proposal.
Implementation	This is where the project, if successful in receiving funding, is implemented. Regular monitoring during the implementation allows the project team to assess whether activities and outputs are delivered as planned, and for changes to be made to adapt to circumstances.

Evaluation	This is where the project is assessed against its goal and objective(s), based on agreed targets outlined in the monitoring and evaluation plan. Lessons and recommendations for improvement are made to inform future project identification and design.

Note that different sources may use different terms for the phases of the PMC.

The LFA principally sits within 'analysis' and 'design' phases of the PMC. This will be explored in greater detail later in this learner guide.

INTRODUCTION TO THE LOGICAL FRAMEWORK APPROACH (LFA)

The Logical Framework Approach (LFA) is a widely used project management tool resulting from a push in the late 1960s to professionalise and bring greater accountability to the development field (Wield, 2003).

The LFA is described as "*a set of **interlocking concepts** which must be used together in a dynamic fashion to develop a well-designed, objectively-described and evaluable project*" (PCI, 1979: 2).

It is important to understand the 'interlocking' aspect of the LFA, as it is this that leads to its usefulness. One step of the LFA feeds into the subsequent step, and builds the knowledge base upon which to design successful interventions. The steps in the LFA are briefly outlined in Table 2, and covered in greater detail in the next section of this guide.

Table 2. Steps making up the LFA

Step	Description
Stakeholder analysis	This is where the views of stakeholders are identified and their roles and impact on the project concept are assessed.
Problem analysis	This is where the core problem is identified, and the causes and effects are articulated in a diagram called a problem tree.
Solution analysis	This is where the possible solutions are identified, based on reversing the negative statements in the problem tree to form a means-end relationship.
Strategy analysis	This is where possible solutions are compared against each other and assessed against likelihood of success, cost-efficiency, alignment with organisational strategies and objectives, and any other relevant criteria.
Logframe matrix	This is the output of the strategy analysis, represented in a 4x4 matrix, which outlines the key elements of the proposed project design and their relationships to each other.

It is important to distinguish between the LFA, which is a process, and the logframe matrix, which is a product, or output from the LFA.

The LFA is a participatory approach to project design, in that it requires the input of diverse stakeholders.

One way to view the LFA is as a diagnostic tool, one which helps to understand why things are way they are, and who (people, organisations etc.) has a role in the way things are the way they are.

The LFA is also a **dynamic process**, in that each step can be revisited throughout the life of the project. It is not a one-way process.

Within projects, there are a number of basic levels of responsibility attributable to the project team, which are also reflected in the LFA. These are described in Table 3.

Table 3. Levels of responsibility attributable to the project team

Level	Description
Inputs	The resources that are brought in to a project (e.g. funding, experienced staff, materials and technology).
Activities	The things that are done with the inputs as a means to accomplish our desired objectives (e.g. train people, develop materials, run workshops etc.).
Outputs	The products or services that the project is committed to producing as a result of the activities. These must be stated as results, which the project team is responsible for delivering, or show cause as to why these were not delivered.
Purpose	What the outputs are supposed to lead to. This is what the project is predicted to achieve, in terms of a core objective, such as a change in condition of people, community or their environment, if other factors outside of the control of the project align themselves in a positive manner.
Goal	By accomplishing the purpose, the project is expected to contribute towards an overall objective.

History of the LFA

The LFA's roots go back to the early 1970s, when USAID began to implement what was then a new approach to project design. The LFA was a response to three systemic issues in development projects (PCI, 1979):

- Project planning was to vague – it was unclear how activities led to objectives being met, and what constituted a successful project
- Management responsibility was unclear – the scope of the project that the project team was responsible for delivering was not clear, and neither were assumptions outside of the project's control clearly identified.
- Evaluation was an adversarial process – as a result of unclear objectives and project scope, there were no clear targets to assess the project against. This led to disagreements amongst stakeholders as to what constituted a successfully project.

The essence of the LFA is captured in the quote below (PCI, 1979: 3):

[The LFA] ***does not provide answers or make decisions; but it organizes information in such a way that the important questions can be asked, project weaknesses can be identified, and decision-makers can make decisions based on their increased insight and knowledge.***

Benefits of the LFA

The LFA process has a number of benefits:

- It is a participatory process allowing the views of different stakeholder to be identified
- It helps articulate the causes and effects to an issue, based on real and perceived reasons as identified by stakeholders.
- It allows possible solutions to be identified and different strategies to be analysed
- Uncertainty within the project is made explicit
- The selected means-end relationship is made clear
- It provides a guide for a meaningful monitoring and evaluation plan, where the targets upon which the project success is to be assessed are made clear to all stakeholders.

Some key points to remember:

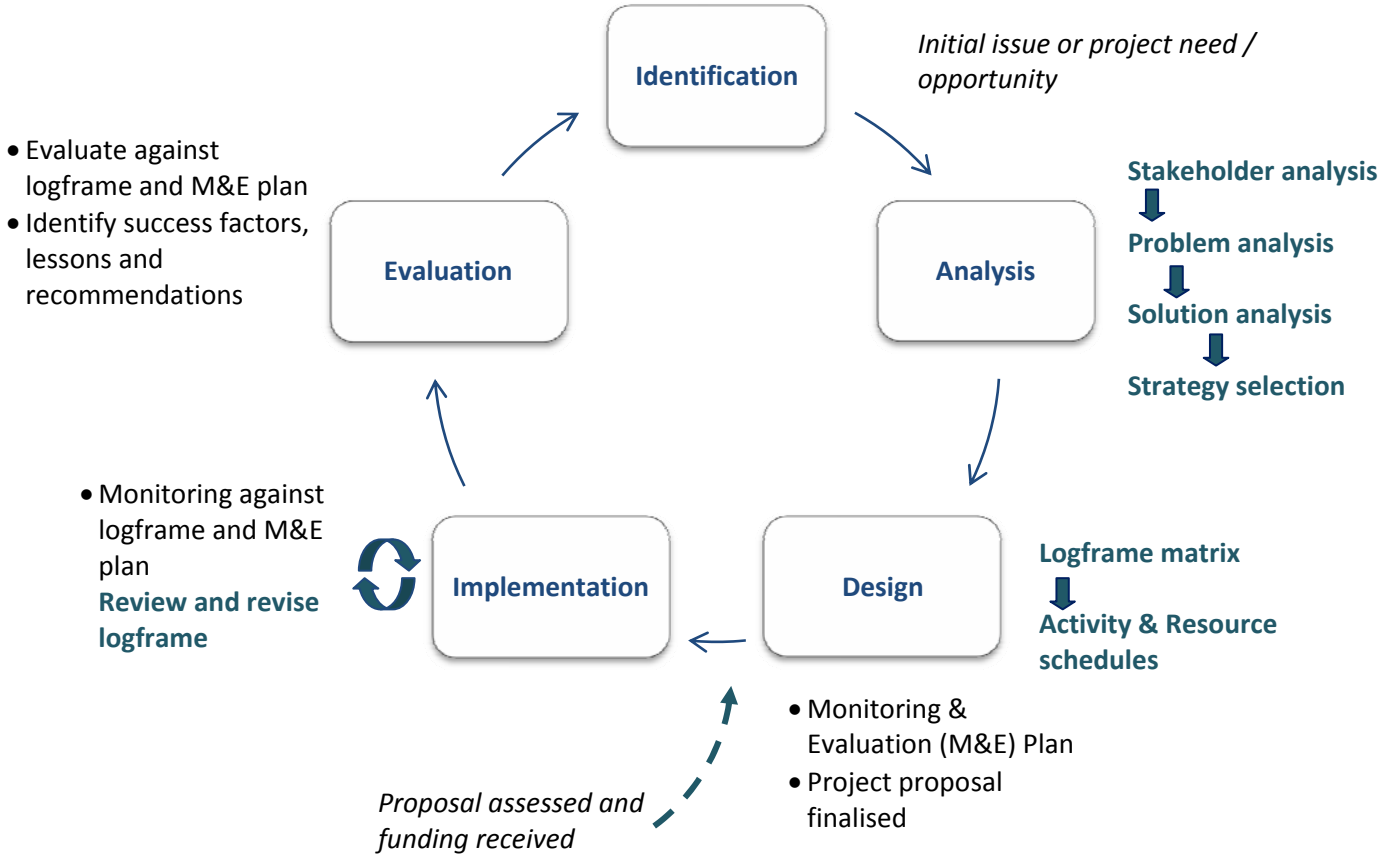
- The LFA should be seen as a project management tool, and not an end it itself.
- The LFA is a process of interlinked steps, culminating in the development of a logframe matrix.
- The logframe matrix is a high level summary of the proposed intervention's logic, and it's usefulness is dependent on the thoroughness of the process that led to its development.

The 'Logical Framework - A Manager's Guide To A Scientific Approach To Design & Evaluation' (PCI, 1979) provides a detailed guide to the background and process of the LFA.
http://usaidsite.carana.com/sites/default/files/resources/pdfs/The-Logical-Framework-A-Managers-Guide.pdf

HOW THE LFA FITS IN THE PMC

The LFA is a useful project management tool to assist in the design of successful projects. The different steps of the LFA fit into different phases of the PMC as represented in Figure 2 in bold font. Other activities related to the LFA and project proposal development are also identified. It is important to note that the LFA is a dynamic process, which means that the LFA and its components can be revisited at any time within the PMC. This is particularly true for the logframe matrix, which should be reviewed and revised or adapted as necessary during the project implementation phase.

Figure 2. How the LFA fits into the PMC



Project teams should allow sufficient time to undertake the LFA prior to the deadline for proposals. At a minimum, you should allow one month to undertake the steps of the LFA.

CRITIQUE OF THE USE OF THE LFA

The LFA has been widely criticised in the literature (Aune, 2003; Crawford & Bryce, 2003; Dale, 2003; Mikkelsen, 2005; Pollack, 2007; Wield, 2003) for being, amongst other things:

- Output focussed, rather than process oriented,
- Representative of a rigid, blueprint, top-down planning approach,
- Having little room for wide-ranging stakeholder participation, especially beneficiaries,
- Being policy neutral on such aspects as income distribution and gender,
- An expert's tool to control planning, due to training requirement and language that is used, and
- Inadequate for monitoring and evaluation.

Critiques around specific steps of the LFA and potential ways to overcome the constraints are outlined in Table 4.

Table 4. Critiques of the LFA

Critique	Means to overcome
Stakeholder analysis is a 'quick' process whereby experts from outside the project area will briefly analyse the views of the major stakeholders, such as government agencies, non-government organisations, community representatives etc, but not necessarily the views of the intended beneficiaries, or those which may be marginalised in the community, such as women, the aged, the infirm, or children. Language used is of a technical nature and can further marginalise beneficiaries, reinforcing the top-down managerial aspect of the LFA.	Allow adequate time to undertake a thorough stakeholder analysis. Use of Participatory Learning and Action (PLA) tools can complement the stakeholder analysis process. Note that PLA tools need to be used appropriately to ensure that the information is valid, otherwise it can be misused in the same manner as the LFA
Problem and Solution analysis reflect a reductionist approach to project management whereby complex situations are artificially simplified and explained by simple cause-effect and means-end relationships. This 'hard' paradigm approach is not always applicable, or appropriate, in situations where systemic effects may be present, or where there is a need to focus on human relations, rather than technical problems.	Use a 'soft' or 'flexible' approach to project management, which is grounded in an interpretive theory and practice, inductive reasoning and exploratory techniques. Such soft techniques focus on problem structuring, thereby allowing goals to be re-defined throughout the project life. Undertake continuous reviews of the LFA incorporate new ideas and changes in direction.
Logframe matrix reflects a rigid, blueprint planning, and top-down control over development projects. This is based on viewing the logframe matrix as a static document.	It is important to note that the LF matrix is a 'planning' tool, and that it does not stand alone, but is the culmination of preceding steps which inform the matrix. It is there to assist project teams to understand projects at given phases. If a soft paradigm approach is taken, the project manager takes on the role of a facilitator, rather than an expert, and allows for iterations to be fed into the project design and implementation, with changes in the matrix reflecting the evolution of the project. This includes reviewing assumptions and noting changes in the external environment.

The 'Use and Abuse of the Logical Framework Approach' (Bakewell & Garbutt, 2005) provides a succinct overview of the criticism of the LFA and why it remains the most popular tool amongst funding agencies to guide proposal development. http://www.intrac.org/data/files/resources/518/The-Use-and-Abuse-of-the-Logical-Framework-Approach.pdf

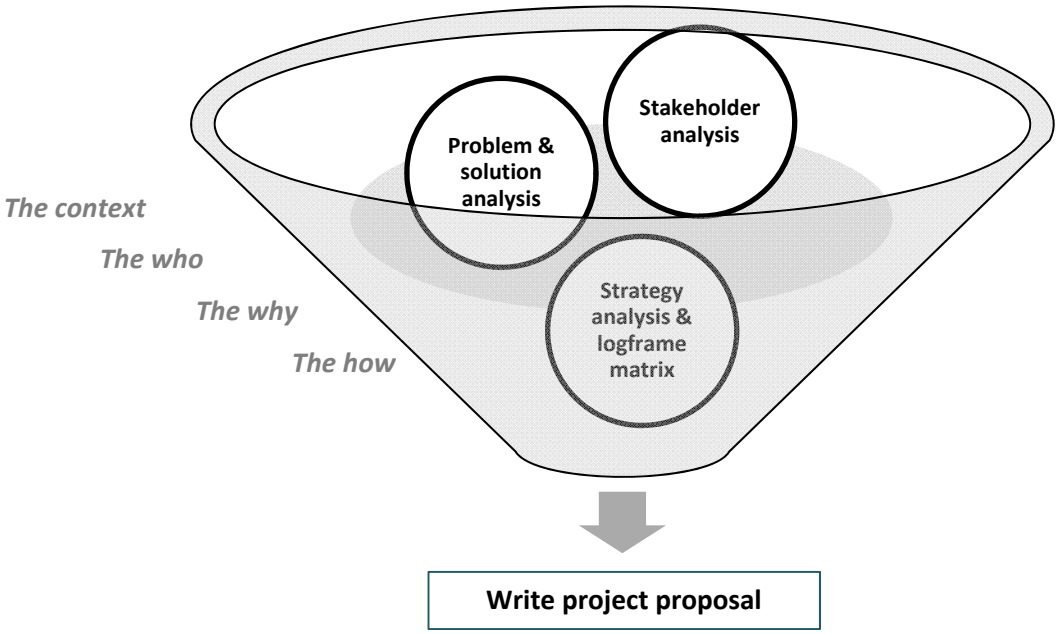
USING THE LFA TO INFORM PROJECT PROPOSAL DEVELOPMENT

The LFA provides a tool for the project team to gather the relevant information to understand and articulate the need and means for a successful intervention. The logframe matrix, which is the product of the LFA, provides the framework from which to write up a proposal to a funding agency.

It is important to recognise that **the LFA precedes the writing of the proposal**. The LFA will simplify the process of proposal writing by allowing the project team to clearly understand the need for the project and the context in which it sits, how goal and objective(s) of the project, how these will be met, and the assumptions that need to be met for the project to be successful (Figure 3).

Many donors require a logframe matrix as part of a funding proposal, and trying to develop the matrix without the preceding steps of the LFA will lead to difficulty in the proposal writing, and is likely to become evident to the funding agency that reviews the proposal. This may jeopardise the likelihood of being successful in getting funding. As such, you should not retrofit a matrix to an already written proposal.

Figure 3. The LFA precedes the writing of the proposal



Note that in addition to using the LFA to guide the development of a project proposal, you can also undertake some preliminary desktop research such as reading evaluation reports related to the project idea, reviewing past project proposals to make sure that you are not covering old ground, and other forms of literature related to the theme of interest.

CASE STUDY

The following fictional case study will be used during the training workshop to demonstrate the steps of the logical framework approach.

Vaima is a small outer-island situated over three days sailing from the capital. Vaima's population is around 600 people, and has been decreasing over recent years due to outwards migration towards the capital and larger nearby countries. The main factor driving outwards migration has been the lack of economic opportunity.

Vaima's main food products are fishing of the lagoon, with some limited open-ocean fishing, as well as cultivating root crops, bananas and paw-paw. The main income earning opportunities for Vaima are from the export of fish. Traditionally, Vaima's fishers have dried surplus fish to sell to neighbouring islands within a half-day's sail, as well as to the capital, where dried fish is sought after at the weekly markets.

The ability of Vaima's fishers to export dried fish is reliant on the scheduled inter-island cargo service. At present, the inter-island boat that comes from the capital and takes exports back is scheduled to visit Vaima every two weeks, but the services rarely run to schedule due to frequent breakdowns and inclement weather affecting timing. This not only impacts the ability to send dried fish to the capital, but also prevents the importing of salt and soy sauce which are necessary for the marinating and drying process. There have been occasions when the inter-island boat has not visited Vaima for six weeks, and stocks of salt and soy sauce had run out, preventing the drying of excess fish catch.

Though they can continue selling to neighbouring islands, the market there is limited due to equally small populations.

Vaima's fishers would also like to diversify their exports to include frozen fish as there is an increasing demand for this in the capital, as well as internationally. The open ocean off Vaima's coast is a rich tuna fishing ground. However, there is no large-scale freezing capacity on Vaima. A scoping study conducted several years back by a regional organisation indicated that a 5-tonne blast chiller would be feasible on Vaima, but this would also require upgrading the power supply on the island. The current generator is not sufficient for such a large freezer, and the power supply is currently limited to 18 hours per day. Another limiting factor may be the lack of open-ocean boats in Vaima. As the fishers traditionally fished in the lagoon, most boats are small. These can only venture to the open sea when the weather allows it. A number of fishers have been successful in getting small loans to purchase larger boats with larger engines, and there are a number of other fishers who are looking to do the same.

If Vaima's fishers are to export frozen fish, they would also require the inter-island cargo vessel to upgrade its on-board freezer to allow frozen fish to be maintained at minus 30 degrees Celsius. Alternatively, specialised fishing boats that currently operate out of the capital could be chartered to visit Vaima and load up frozen fish for sale in the capital. An NGO based in the capital has developed a business case to show that chartering a fishing boat for fortnightly visits would be cost-effective for Vaima's fishers to export their frozen fish.

Vaima's fishers have recently established a co-operative and are working with the Government's Fishery Department and the NGO to prepare a funding submission to look at what can be done to improve the economic base of Vaima.

From the case study above, what is the general issue facing the people of Vaima?

SECTION 3. THE LOGICAL FRAMEWORK APPROACH

- Stakeholder analysis
- Problem analysis
- Solution analysis
- Strategy analysis
- Logframe matrix
- Project plan
- Budget

STEP 1. STAKEHOLDER ANALYSIS

The stakeholder analysis is the first step in the LFA and it forms the foundation for the following steps.

A stakeholder can be defined as any individuals, groups of people, institutions or organisations that may have a significant interest in the success or failure of a potential project around the issue of concern. These may be affected either positively or negatively by a proposed project.

When considering stakeholders, it is important to identify both those that are directly targeted by the proposed project, and those that may ultimately benefit from the project's outcomes.

When identifying stakeholders, it is important to consider potentially marginalised groups, such as women, the elderly, youth, the disabled and the poor, so that they are represented in the process, especially if the issue will affect their lives.

It is important to identify and understand the different stakeholders and their varying levels of interest, motivation, and capacity that they bring to the issue.

Having these matters identified and clarified will make the process of identifying the causes of the problem and potential solutions much easier.

How to undertake a stakeholder analysis

The stakeholder analysis should be undertaken at a minimum one month prior to the deadline for a project proposal to allow enough time to undertake the process in a thorough manner.

The main steps involved in stakeholder analysis are:

1. Clearly identify the issue of concern,
2. Identify all those groups who have a significant interest in the issue. You can use a 'snowball' process where you ask each stakeholder to help identify other stakeholders that may have an interest.
3. Investigate, using interviews, surveys, or group workshops, each stakeholder's role, interest, motivation and capacity (strengths and weaknesses) to participate in the potential project. Also identify their relative power to affect the project, whether positively or negatively.
4. Identify their relationship with other stakeholders, as to whether it is one of cooperation or conflict.
5. Interpret the results of the stakeholder analysis to inform the project design. Questions that you can ask yourself as you review the information include:
    - Are you targeting those that most need it?
    - Are stakeholders sufficiently engaged in the issue to have a sense of ownership over the issue and potential solutions?
    - Are conflicts amongst stakeholder recognised and being addressed?

Tools to undertake a stakeholder analysis

A number of tools can be used to gather and present information as part of the stakeholder analysis. These are presented in Table 5.

Table 5. Tools that can be used with the stakeholder analysis

Tool	Description
Stakeholder matrix	This is the most common tool used in completing a stakeholder analysis. The stakeholder matrix has a number of columns that guide the type of information that is to be collected. A generic stakeholder matrix is presented in Figure 5. Extra columns can be added to collect additional information if this is considered important for specific projects.
SWOT analysis	SWOT stands for 'strengths, weaknesses, opportunities and threats'. Relevant questions to ask in a SWOT analysis are provided below. It is a useful tool to analyse the internal strengths and weaknesses of an organisation and the external opportunities and threats that it faces. You may decide to do a SWOT only for the key stakeholders
Venn diagram	A Venn diagram provides a visual means to represent the relationship between different stakeholders. The size of the circle depicts the relative influence of an organisation, and its closeness or separation from others indicates the relative interaction or relationship between organisations.

Question to ask in a SWOT analysis (Natural Solutions Pacific, 2012)

Strengths What advantages does your organisation have in relation to the project? What is your organisation particularly good at? What makes your organisation special – what particular strengths does you organisation have?	**Weaknesses** What is your organisation not so good at? Try to be honest and as open as you can. What could be improved upon? What stops your organisation performing at its best? What necessary skills are missing that you might need for delivering the project?
Opportunities Where do you see the best forthcoming opportunities for the project? What is changing in the outside world that might create new opportunities for the project in the near future?	**Threats** What obstacles does the project face? What are others doing that might create problems for the project in the near future? What high-risk things are you doing that might make you vulnerable to external impacts?

Figure 5. Example of a stakeholder matrix

Stakeholder	How they are affected by the issue	Capacity/motivation to participate in addressing the issue	Opportunities to address stakeholder interests	Relationship with other stakeholders (partnership/conflict)
Stakeholder 1				
Stakeholder 2				
Stakeholder …….				

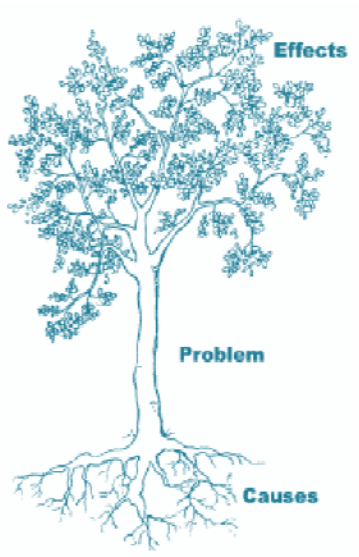
Who are the stakeholders relevant to this case study presented on page 12? List the stakeholders.
Following the role play, complete a stakeholder matrix.

The European Commission's (2004) 'Aid Delivery Methods, Volume 1 Project Cycle Management Guidelines' provides a detailed guide to undertaking a stakeholder analysis, and the various tools that can be used. See section 5.2.2. http://ec.europa.eu/europeaid/infopoint/publications/europeaid/49a_en.htm

STEP 2.PROBLEM ANALYSIS

The problem analysis is a process that identifies the cause-effect relationship. The result is commonly known as a '**problem tree**'.

A problem analysis should ideally be undertaken as a participatory process involving those stakeholders that have the greatest influence on a project's likely success, including the target group and ultimate beneficiary. Depending on the relationships between stakeholders, and practicalities, it may be necessary to undertake several problem analyses with various stakeholders, and for the project team to analyse these and consolidate them into a single problem tree.



The problem analysis process is as important as the final product (the problem tree) in that it provides the stakeholders to critically analyse and reflect on the causes to a specified problem. By having different stakeholders present, different views and interests can be expressed and this can be a learning and empowering process for all those that take part.

The problem tree that is produced should be a robust but simplified version of reality.

The problem tree cannot be too complicated or it will not be useful as a guide to tackling the problem.

"In many respects the problem analysis is the most critical stage of project planning, as it then guides all subsequent analysis and decision-making on priorities." (EC, 2004).

In identifying the causes to a problem, it helps to have a basic understanding of behaviour change as changing an aspect of the human condition is critical to most development issues. Behaviour change goes beyond providing more knowledge about what to do, or why to do something. Other factors may have an important role in resistance to change.

The Theory of Planned Behaviour (Ajzen, 1991) describes three critical factors that determine the likelihood of a desired behaviour taking place. These are:

Personal beliefs	A person's beliefs whether a specific behaviour will have a positive or negative outcome. This will determine whether the person has a positive or negative attitude to the specific behaviour.
Normative beliefs	What people who are considered important to a person (e.g. family, peers, leaders) think of a specific behaviour.
Control beliefs	The internal and external factors that facilitate or prevent a specific behaviour taking place. This includes infrastructure, laws, or a person's real or perceived capabilities/skills to undertake the specific behaviour.

It is useful to keep these factors in mind when thinking about causes to a problem, in that it may not just be a 'lack of knowledge' that prevents a desired behaviour from taking place, but also norms and the presence of infrastructure or regulations.

Community-based social marketing (CBSM; McKenzie-Mohr, 1999) is a framework to design behaviour change interventions. CBSM outlines a range of 'tools' designed to overcome barriers to behaviour change. These are also useful to keep in mind in developing the problem tree, solution tree and the logframe matrix.

Barrier	Tool
Lack motivation	Commitment, norm, incentive
Forget	Prompts
Not the "right thing to do"	Norms
Lack knowledge	Communication
Inconvenient	Convenience

For more information on behaviour change, visit:
http://www.evaluationtoolbox.net.au/ **- look under the 'behaviour change' tab**
http://www.cbsm.com/
http://www.behaviourworksaustralia.org/

How to undertake a problem analysis

Undertaking a problem analysis is a participatory process that can take a half day to a full day to complete, depending on the complexity of the project, and the number of stakeholders taking part.

The process requires a facilitator experienced in the LFA to ensure that all participants can have their say. The process also requires sticky notes, or pieces of paper and 'blu-tack' or sticky-tape, as well as a wall, window or other surface to place the pieces of paper.

Prior to the problem analysis workshop, the facilitator or project team may want to brief the participants on the issue (i.e. summarise any relevant reports or literature that may provide an insight). This may be done prior to the problem analysis workshop as a briefing paper, or a short presentation prior to developing the problem tree.

The steps to undertake a problem tree are:

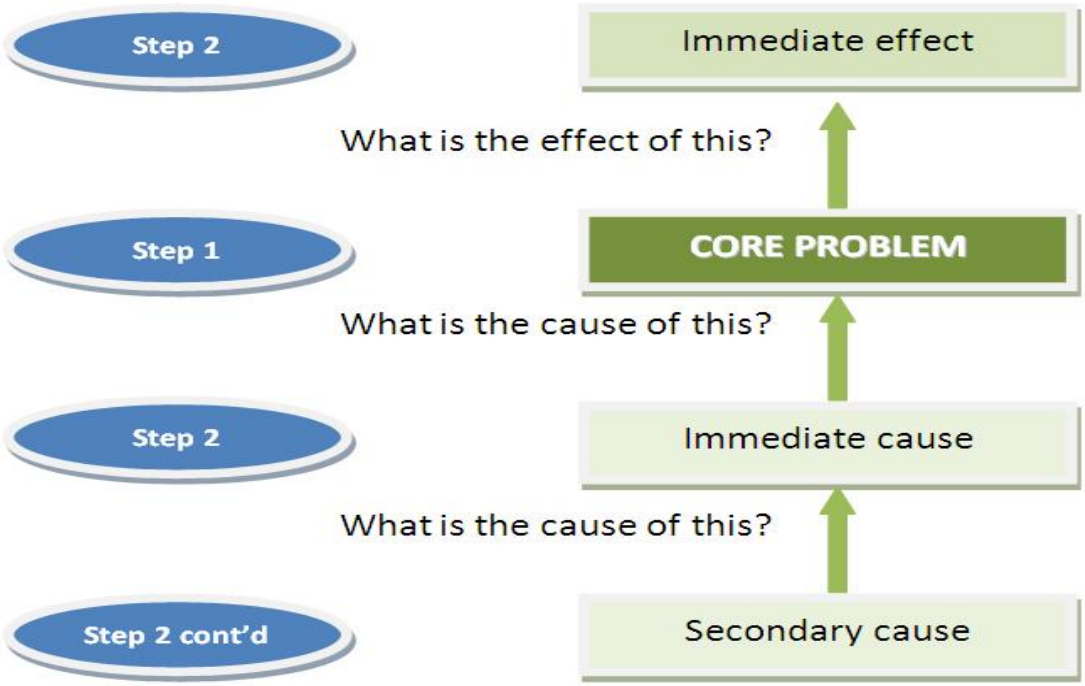
1. Get participant agreement on what the core problem is. The facilitator can ask all the participants to write down what they think the core problem is on a piece of paper, and then these are posted on the wall. This may be the most challenging part, as stakeholders, and even members of the project team, may have different views. Each piece of paper can be reviewed and discussed as to whether it is a cause to a higher level problem, or an effect. Once a problem statement has been settled on, it may need to be rephrased so that it is specific to a target group and place (who, what, where).

Note: a problem statement should be phrased as a specific negative situation related to the human condition. It should also not be the absence of a solution. For example, 'low use of LFA in funding applications' is a problem, whereas 'lack of knowledge in LFA' is not.

The problem statement now has to achieve the who, what, where criteria: 'low rate of success in funding applications by government staff in PSIS'

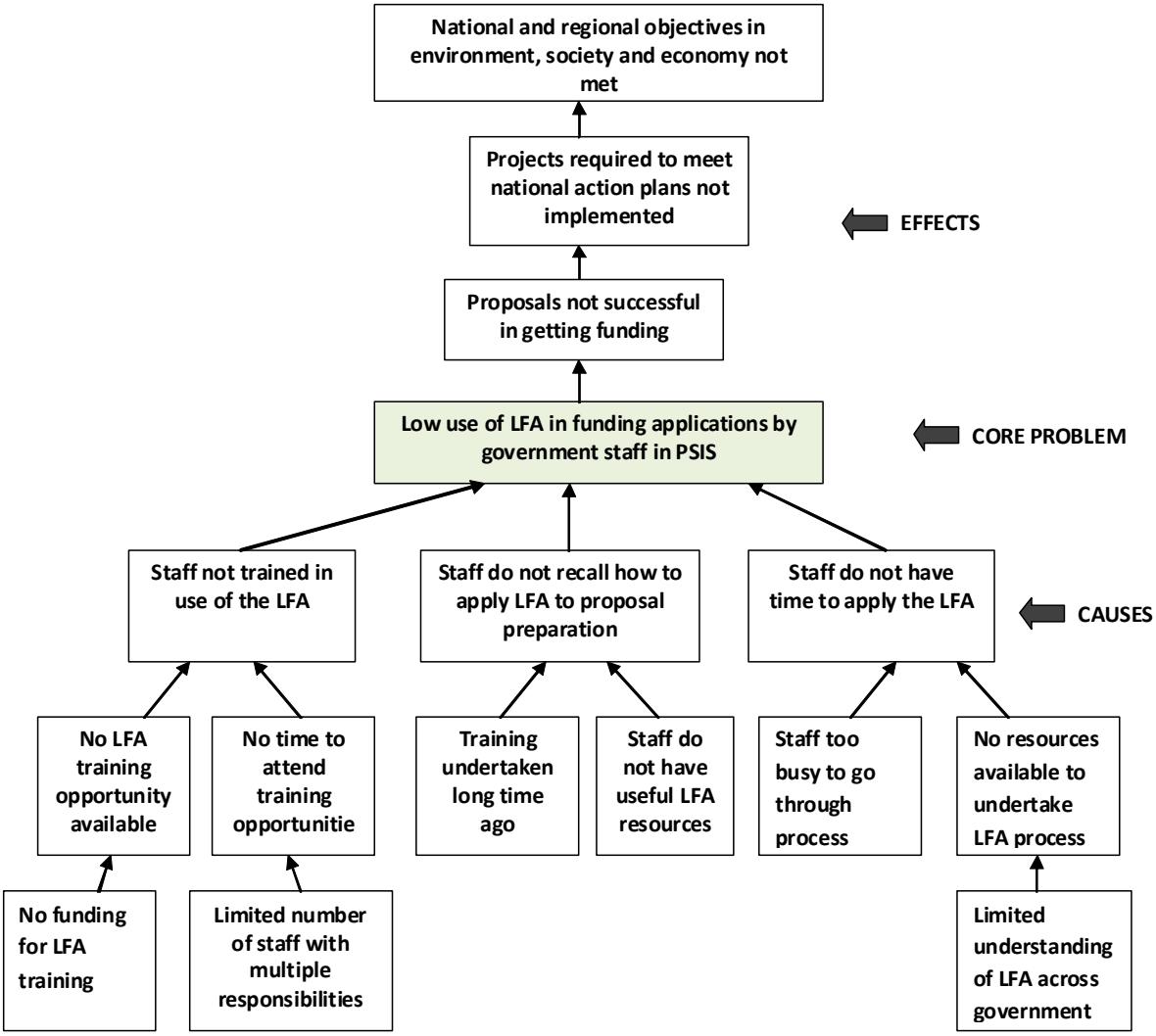
2. Once the core problem is settled on, the participants identify the hierarchy of causes and effects (Figure 6). Causes are placed below the problem, and effects above. The question for the facilitator and participants to keep in mind is 'what causes that'? The identification of causes may lead to considerable discussion, and 'cause statements' may be moved about as a result. It is important for the facilitator to ensure that there is general agreement before moving statements around. If there are two or more causes, these can be placed at the same level. The process of identifying causes and effects keeps going until there are no more additions. An example of a problem tree is presented in Figure 7.

Figure 6. Identifying the causes and effects of a core problem



3. The problem tree that has been created can be reviewed. Any gaps should be noted and rectified by adding causes or effects. Once this is done, the problem tree needs to be copied onto paper, or into a software package (e.g. DoView ® http://www.doview.com/ . Arrows should be added to connect causes and effects.

Figure 7. Example of a problem tree



Complete a problem tree for the case study presented on page 12.

STEP 3.SOLUTION ANALYSIS

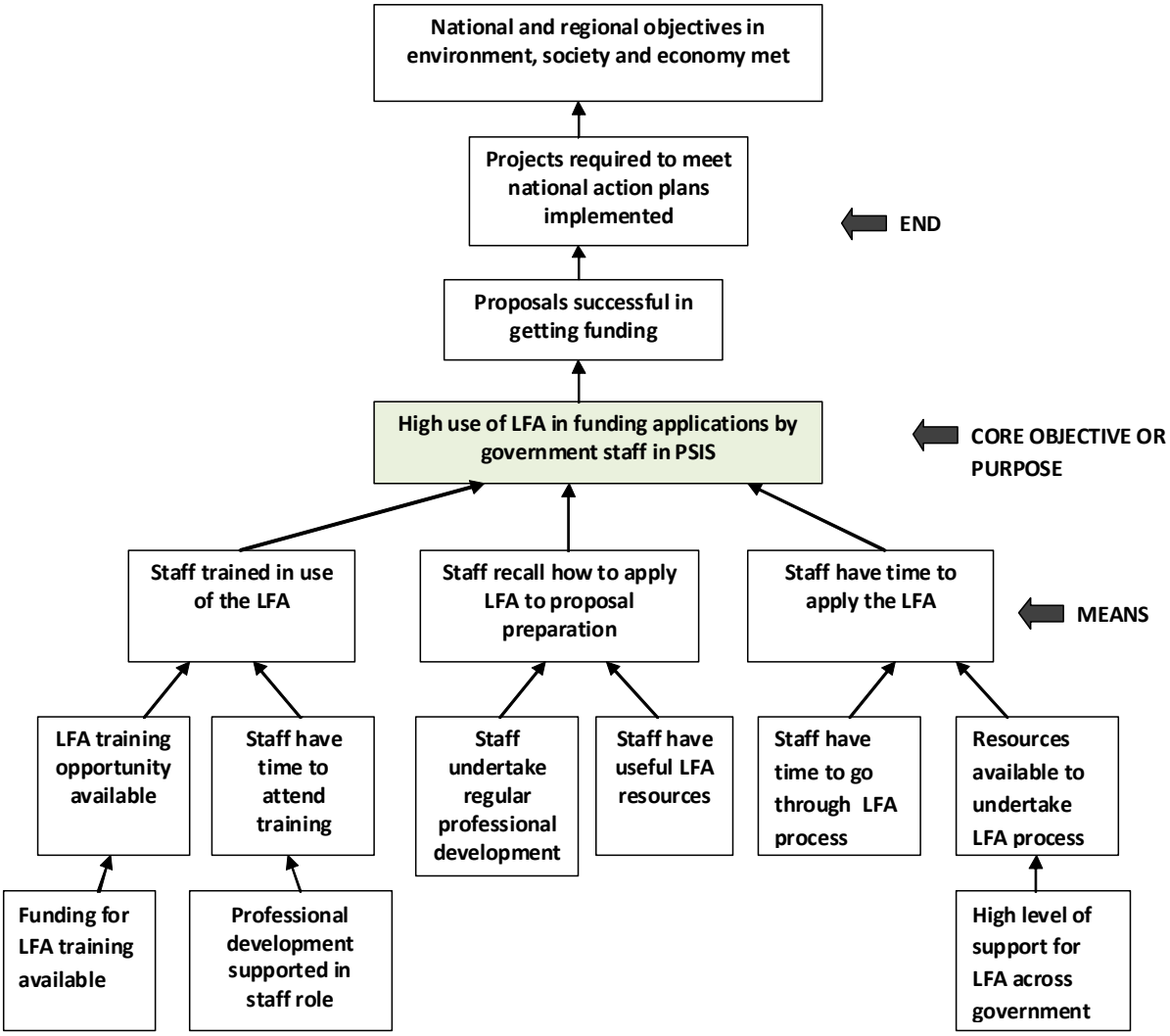
The solution analysis flows on from the problem analysis, and can be undertaken as part of the same workshop. It requires flipping negative statements in the problem tree into positive ones to form a **solution tree**. The cause-effect relationship from the problem tree is converted into a mean-end relationship in the solution tree. An example of a solution tree is presented in Figure 8.

How to undertake a solution analysis

1. Flip negative statements into positive ones. Don't be afraid to reword the statements as required so they make sense.
2. Review the mean-end relationship. Questions to ask include:
    - Are there gaps in the logic? If so, add a step where necessary.
    - Are the lower order objectives realistic and achievable?

3. Once there is a general agreement on the solution tree, transfer it onto paper or a software programme.

Figure 8. Example of a solution tree



Complete a solution tree for the case study presented on page 12.

STEP 4.STRATEGY ANALYSIS

The strategy analysis involves reviewing the solution tree created in the previous step and analysing the different solutions (or means) to achieve the core objective or purpose. This may involve reviewing the options against a set of criteria. For example:

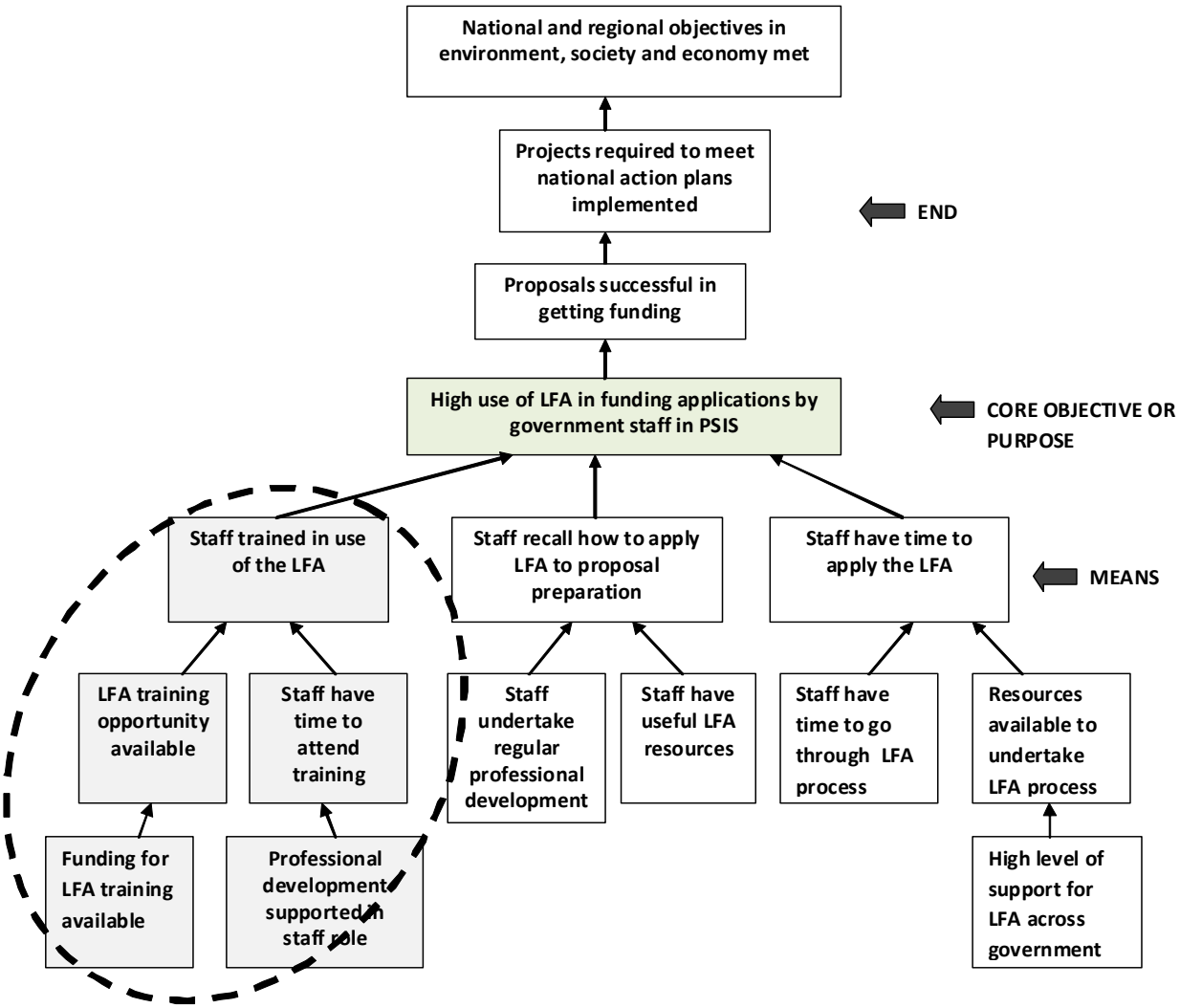
- The expected contribution of different solutions to the strategic objectives and priorities of both the project proponent and funding organisation

- The complementarity with existing or planned projects
- Lessons learnt from previous projects, and reviews of best-practice
- Preferences of key stakeholders, including the target group and project partners
- Benefits to the target group, and ultimate beneficiaries
- Cost efficiency and technical feasibility of implementation
- Environmental, social and economic impacts.

The strategy analysis will select one or more paths which will form the basis of completing the logframe matrix.

Following on from the example solution tree in Figure 8, a strategy to achieve the core objective is presented in Figure 9.

Figure 9. Selecting a strategy to meet the core objective



What criteria may have been used to select the preferred strategy in Figure 9? What would other paths not have been selected?

The 'Integrated Planning Process, Project Design & Proposal Writing Guide' by the American Red Cross (2006) explains two tools to guide the selection of strategies- see pages 17 & 18.
http://ngolearning.org/evanspmclass/Shared%20Documents/RedCrossLogframes.pdf

STEP 5.LOGFRAME MATRIX

The logframe matrix displays the key elements of a project design and their relationships to each other in a way that facilitates project analysis, and guides project implementation and monitoring and evaluation.

The logframe matrix is generally presented as a table with four columns, and four or five rows (Table 5). The terminology used in the matrix can differ between organisations (see Appendix 1). It is therefore important to clarify amongst project partners, funders and other stakeholders the terminology to be used. The terminology used in the matrix below is defined in Table 3.

Table 5. Example logframe matrix

	Indicators	Source of verification	Assumptions
Goal / Overall objective			
Purpose / Core objective			
Outputs / Results			
Activities			

In developing a logframe matrix, the following points need to be considered:

- The matrix should provide a summary of the project design, and its length will be dictated by the project's complexity. It should generally be between one and four pages in length.
- If the logframe is too long, the project may not be focussed enough. If the logframe is too short, it may be missing parts.
- The matrix should only describe the main, or indicative, activities. The detailed activities should be documented separately in an activity schedule.

"If you can still ask 'how?' questions and not find the answer in the draft Logframe (with the accompanying draft workplan showing activities), then it is not complete." Red Cross (2006: 23).

The completion of the matrix will be guided by the selected strategy, where the higher level ends (top section of solution tree) will form the goal, the purpose (centre) will transfer across, and the

outputs and activities will be based on the means (bottom section) to achieve the purpose (Figure 10).

Completing the matrix is usually undertaken in a sequential manner, as presented in Figure 11.

Elements from the selected strategy may need to be re-written as they are transferred into the matrix.

The first column of the matrix, which presents the project's hierarchy of objectives, will now be described in greater detail, along with the other columns.

Figure 10. How the selected strategy guides the completion of the matrix

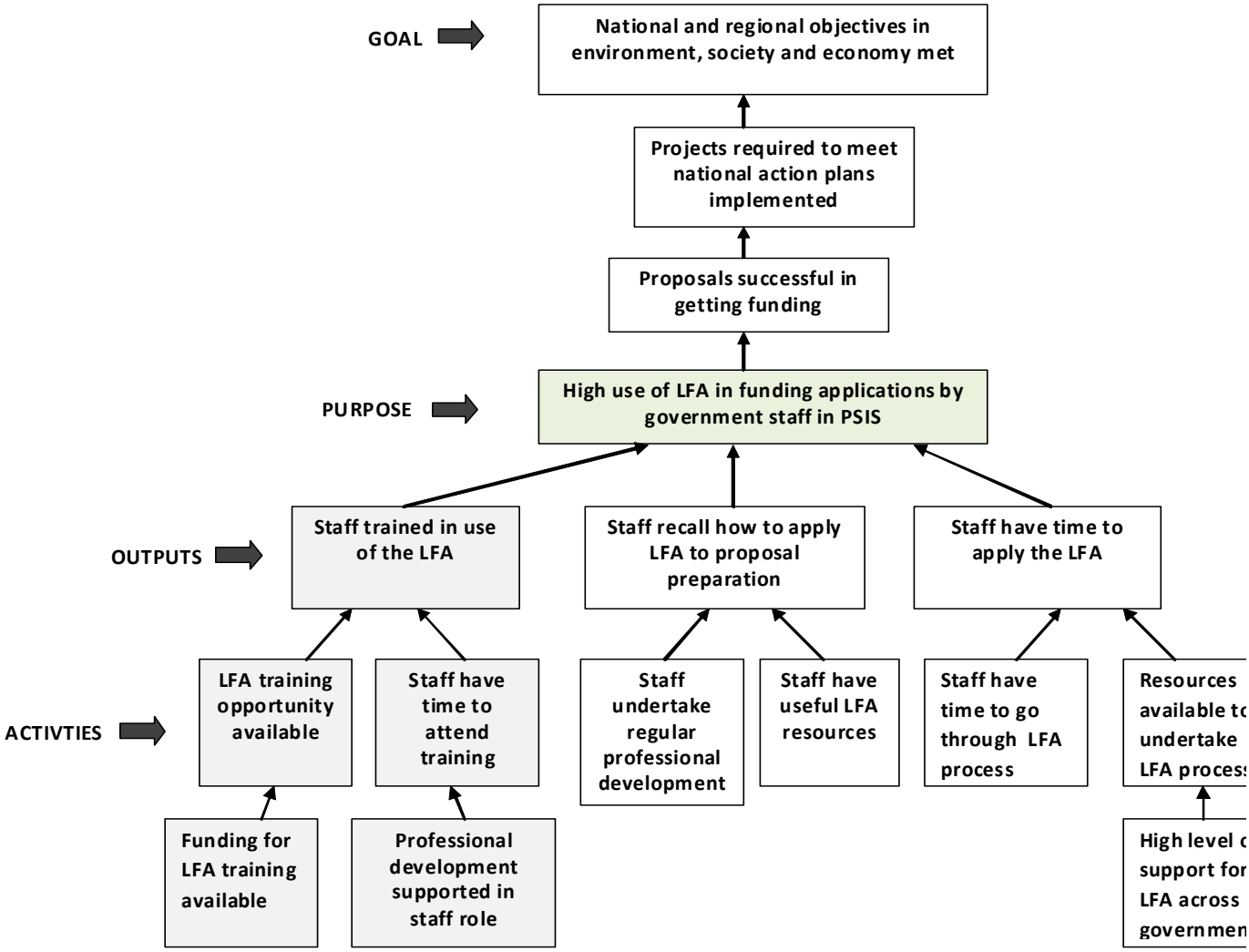


Figure 11. Sequence to complete the matrix

	Indicators	Source of verification	Assumptions
Goal / Overall objective 1	8	9	
Purpose / Core objective 2	10	11	7
Outputs / Results 3	12	13	6
Activities 4			5

Project description

The project description outlines the project's objectives hierarchy, or the logic that supports the project (Figure 12). This is also known as the **vertical logic**.

Figure 12. The project description outlines the intervention's logic

There are general rules to follow in writing the statements in the project description column. These are described in Table 6.

Table 6. Rules relating to the project description

Goal	Refer to the major issues, thematic areas related to programme or development policies and strategies Refer to your focus population and location Project will only partially contribute to achieving the goal Use clear and concise terminology: *"To contribute to….."* is often used
Purpose	Should only be one purpose. If there is more than one purpose, this may require separate problem trees and logframe matrices that outline linked projects within a broader programme. More specific than the goal and refers to target group, specific location and time period The project should be designed to achieve the purpose Use verbs like: decreased, increased, strengthened, enhanced, improved
Outputs	Tangible services or products delivered as a result of the activities Project can be held accountable to the delivery of outputs Verbs like: delivered, conducted, produced etc. Number outputs (e.g. 1,2,3) so that they can be linked to activities
Activities	What will take place to create the outputs Use present tense written with active verb Verbs like: train, provide, produce, establish, create, conduct Number activities to match outputs (e.g. 1.1, 1.2, 2.1, 2.2 etc.)

Inputs are generally not included in the project description column. They can sometimes be included adjacent to the activities (in the indicator column) and a high level summary of the budget may then be included in the sources of verification column. The format to be adopted should be guided by the requirements of the funding organisations (refer to their guidelines) as well as what makes sense to you and the project team.

Review the purpose statements below, and reflect on whether they are correctly worded. Change the working as required.

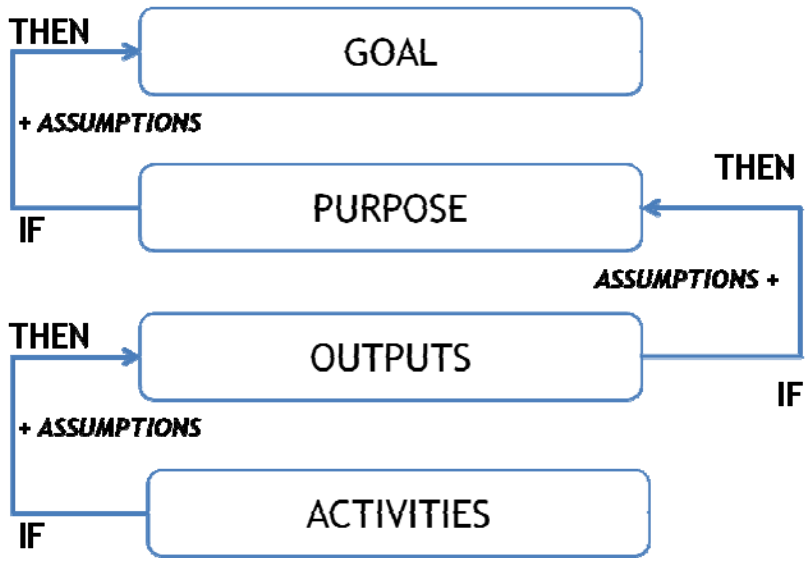
Original statement	
To contribute to the prevention and control of climate sensitive diseases	
Improving rainwater catchment for households in Nauru	
Strengthened environmental monitoring	

Assumptions

Assumptions refer to key factors outside the direct control of the project team which must hold true if the project is to achieve its results, purpose or goal. If the assumptions do not hold true (certain events do not occur), then this may have a negative impact on the project. Identifying assumptions (or risks) are critical as these may have a strong influence on the project's likelihood of success.

Assumptions form part of the vertical logic of the matrix (Figure 13). Note that there are no assumptions for the 'goal' and thus the assumptions column is left blank.

Figure 13. Assumptions refer to factors outside the project's control that are critical to the project's vertical logic



An assumption is worded as a positive statement of a condition that must be met in order for the project's purpose to be achieved.

An assumption can also be seen as a risk to the projects if the assumption does not hold true. A risk is as assumption reworded as a negative statement.

A risk matrix can be used to guide which assumptions need to be included in logframe (Figure 14). This requires turning assumptions into risks, and including into the matrix those that can be managed, and excluding those that pose little risk (i.e. those that have a low impact and low probability of occurring). An example of flipping an assumption into a risk is presented below

Assumption	**Risk**	**Impact if risk occurs.**	**Likelihood of the risk occurring**	**Action to take**
Relevant staff able to attend training	Relevant staff are unable to attend training	High - The project will not succeed unless relevant staff attend training	Low, - Stakeholder analysis idientified high level of management support for the training. They will release staff from duties to attend training.	What action should you take?

Note that risks that have a high likelihood of occurring, and have a high impact, should lead to the project being redesigned, as these are likely to impact the project's success.

Assumptions have to be carefully specified and worded to allow continuous monitoring.

Figure 14. A risk matrix can be used to guide the selection of assumptions

Likelihood				
	High	**Manage risk**	**Manage risk**	**Rethink or redesign project**
	Medium	**Manage risk**	**Manage risk**	**Manage risk**
	Low	Do not include	**Manage risk**	**Manage risk**
		Low	***Medium***	***High***
		Impact		

Indicators

Indicators provide a means to assess the project's success. This is especially important for the purpose and goal, as these may be interpreted differently by various stakeholders.

One way to think of indicators is to visualise what a successful project would look like, that is, what conditions would be met.

Indicators need to be closely linked to what you are trying to measure, so that you are confident that what you undertook was an important factor in the observed result.

Indicators must be targeted. This means that they need to specify the quantity of change expected, the quality of the desired change, and the timeframe in which the desired change is to occur. You can remember this as (QQT, for quantity, quality, timeframe).

Indicators may refer to targets that have already been determined by existing strategies or action plans.

An example of adding QQT to an indicator is described in Table 7.

Table 7. Adding quantity, quality and timeframe to an indicator

Indicator	Increased use of LFA by government staff	
Quantity	**50%** increase in use of the LFA by **twenty** government staff	A quantity of 50% increase is specified, as well as the number of staff in which the change is expected
Quality	50% increase in **correct application of the LFA** by twenty government staff in developing project proposals	A quality is added, in that the LFA is to be correctly applied to the proposal process.
TImeframe	50% increase in correct application of the LFA by twenty government staff in developing project proposals by **December 2013**	A timeframe is added to specify when the desired change is to be achieved, and when the indicator should be measured.

Note that not all indicators can include the three factors QQT. The separate elements can be applied to separate indicators.

You cannot use indicators from a lower level to demonstrate achievement of a higher level objective. For example, the indicator for 'staff trained in using the LFA' (output level) cannot be used as proof that the purpose has been achieved.

There should be more than one indicator selected for each level of the vertical logic, but there should not be too many. The number of indicators to choose should be guided by the confidence required to demonstrate achievement of that particular level of the objective hierarchy. Between two and five indicators is generally sufficient. Both quantitative and qualitative indicators should be used where possible (Table 8). Generally, indicators are not included for activities.

Table 8. Quantitative and qualitative data

Quantitative	Qualitative
Quantitative refers to numerical data (eg. number of people trained, number of rain tanks installed etc.). Quantitative methods can reach large number of people, and generally involve a short interaction. The popularity of collecting quantitative data reflects the old adage "that you can't manage what you can't measure".	Qualitative data deal with words or communication (whether that is text, voice, or visual). Qualitative research seeks, amongst other, to find out what people are doing and why they are doing it, or what stops them from changing, the meaning people construct for their actions, and how they see their role and actions in the wider scheme of things. Qualitative methods generally involve a longer personal interaction, and reach a lower number of people. Qualitative evaluation trades in quantity of respondents (eg. information gathered from questionnaires or other types of survey) for the fewer respondents, but more in-depth and quality information.

Sources of verification

Sources of verification refer to:

- How the information for indicators should be collected (survey, document analysis, measurements etc.)
- Who should collect it
- When it should be collected

In determining sources of verification, the project team should consider whether appropriate sources already exist. Where new sources are required, it is important to consider the cost of data collection, as well as how valid and accurate the data collection process is.

Where indicators relate to a specific change in a condition, baseline data (what is the current state of things) may be required. This will mean that the source of verification requires both baseline and post-project data and data sources. The indicators and sources for the baseline and post project data may be the same, however you will obviously collect the data at different times in the project.

Reviewing the logframe matrix

Once drafted, the logframe matrix should be reviewed to assess the:

- Vertical logic - whether the means-end relationship (column 1) and assumptions (column 4) makes sense
- Horizontal logic –what elements of project design will be measured and how

It is important to remember that the matrix represents broad steps, and not a detailed project plan.

It is also important to remember that the LFA is an iterative process, and the matrix should be reviewed on a regular basis during the project's implementation, and changes made accordingly.

An example logframe based on the LFA training project is presented in Table 9.

Appendix E in 'The Logical Framework Approach- A summary of the theory behind the LFA method' by Sida (2004) has a list of questions that are useful to reflect on to ensure the completeness of the LFA and resulting logframe matrix.
http://resourcecentre.savethechildren.se/node/2033

Table 9. Example of a logframe matrix for an LFA training project

Project Information	**Indicator**	**Source of Verification**	**Assumptions**
Goal: To contribute to meeting environment, social and economic targets in PSIS	At least two projects targeting MDG resulting from successful funding proposals that demonstrated LFA within two years of completing the training	Funding proposals & letter of acceptance	
Purpose: Increased use of LFA in funding applications, leading to increased success in funding applications	50% increase in use of the LFA by at least twenty government staff within 12 months following the training At least 2 successful funding proposals within 12 months following the training	Funding proposals submitted Funding proposals & letter of acceptance	Donors provide funding opportunities in PSIS Donors continue to promote and support the use of LFA in proposals
Outputs: 1. Staff trained in use of the LFA 2. LFA training material developed	30 staff trained in the correct use of the LFA by end of July 2013 >70% participant satisfaction with training course Increased understanding and confidence in applying LFA by over 70% of participants by end of course 1 learner guide, 1 facilitator guide and presentation resources developed to the satisfaction of project team by start of May 2013	Participant record Post-training evaluation Post-training evaluation Copies of final resources as agreed to by project team	Participants engaged and alert throughout the training
Activities: 1.1 Organise training workshops 1.2 Deliver training workshops 2.1 Develop learner resource 2.2 Develop facilitator resource	*INPUTS* Project team time Consultant time Training venue	*BUDGET* $XXXXX	Relevant staff able to attend training

Complete a logframe matrix based on the strategy you selected for the case study presented on page 12.

STEP 6. ACTIVITY SCHEDULING

The logframe matrix should represent a high-level overview of the project's intervention logic, and how this will be monitored and evaluated. The intervention is documented by specifying only the high level activities to be implemented.

The details of the activities to be implemented should be described in an activity schedule, and if required, a Gantt chart.

Activity scheduling

An activity schedule describes all the activities to be undertaken in enough detail so that a member of the project team, project partner, or funding agency staff can fully understand what will be done, and use this to identify what resources are required.

The steps in developing an activity schedule are:

1. List all project activities	List all the activities required to complete the project. These are likely to be greater than what is in the logframe matrix. Keep the numbers that were assigned to activities and add numbers to new activities as required. (eg. 1.1 XXXX 1.2 YYYY)
2. Break activities into two or more manageable tasks	The level of detail should be based on having sufficient detail to estimate the resources required. Add another level of number to show how the tasks link to the activities. (e.g 1.1.1 XXXaa 1.1.2 XXXbb 1.2.1 YYYYaaa 1.2.2 YYYbbbb)
3. Identify responsibilities	Identify the people (who and how many people, or organisation and position) responsible for delivering specific tasks.
4. Determine the timeline of activities	Identify estimated start and end date (what month, or what quarter of the year for long projects) for each task. When developing a Gantt chart, more exact dates and the sequence and interdependence of tasks and activities needs to be clarified.
5. Determine key milestones	Identify the key events that provide a measure of progress towards meeting the targets.

An example of an activity schedule is presented in Table 10.

A Gantt chart can be developed in Microsoft Excel, or using special software such as Microsoft Project, or other similar packages like the free GanttProject www.ganttproject.biz.

Table 10. Example activity schedule

			2013			
Ref. #		**Responsibility**	**Q1**	**Q2**	**Q3**	**Q4**
1	**Output:** LFA training held					
1.1	**Activity:** Organise training workshop	PM				
1.1.1	**Task:** Commission training team	PM				
1.1.2	Identify participants	PM				
1.1.3	Organise venue	SEC				
1.1.4	Deliver training	PREA				

Responsibility Legend

PM	Project Manager
SEC	Secretary
PREA	Pacific Research and Evaluation Associates

STEP 7.RESOURCE SCHEDULING

Project resources and budget required should be presented in a resource schedule. A thorough understanding of the costs of a project is critical for funding agencies as this will influence the decision to invest in the project. In determining the costs, it is important to be realistic as an under-costed project will impact negatively on the project's implementation, and likelihood of success. An over-costed project may not get funded.

The steps in developing a resource schedule are:

1. Copy the activities from the activity schedule into a resource schedule template.
2. Identify the inputs or resources (capital and human) required to fulfil each activity and list them under broad categories such as equipment and salaries. The resources will be guided by the tasks outlined in the activity schedule.
3. Identify the amount of resources required, the cost, and allocate the cost to a funding source (e.g. donor, project proponent, supporting partner).
4. Calculate the total cost.

An example of an activity schedule is presented in Table 11.

Table 11. Example resource schedule

Activity	**Quantity per period**				**Unit cost ($)**	**Cost per period ($)**				**Donor ($)**	**SPC ($)**	**Total cost ($)**
1.1 **Organise training workshop**	**Q1**	**Q2**	**Q3**	**Q4**		**Q1**	**Q2**	**Q3**	**Q4**			
Equipment/Capital												
Projector		1			$100		100			100		
Computer		1					50			50		
Venue		1			$500		500			500		
Catering	5	1			$10	50	10			30	30	
Phone calls			5		$5			25			25	
												$735
Salaries												$10,000
Staff	10	10			$200	2000	2000				400	
Consultants	20	10			$200	4000	2000			6000	0	
…												
Keep adding activities												
…												
Overall totals						**6050**	**4660**	**25**		**6680**	**455**	**10,735**

When developing the resource schedule, keep a look out for opportunities where you can contribute to the funding through in-kind or financial assistance. Demonstrating that your team or country is also contributing to the project demonstrates some commitment and buy-in on your behalf. Also keep a look out for the funding guidelines as there are times when the donor specifies that they want your organisation to provide (match) the funding requested by the donor.

SECTION 4. MONITORING & EVALUATION

- What is a monitoring & evaluation
- Developing a monitoring & evaluation framework

WHAT IS MONITORING & EVALUATION?

There are many definitions of evaluation in academic literature and informal websites. For the purpose of this guide, we will define evaluation as **a structured process of assessing the success of a project in meeting its goals and to reflect on the lessons learned**.

Monitoring refers to a process of data collection and analysis which helps serve a number of functions. Firstly, it can be used to determine if a project's targets are being met. Additionally, monitoring helps determine if a projects inputs and activities (e.g grant funds and workshops) are producing the planned outputs (trained participants). Monitoring helps determine if the way a project is implemented is consistent with its original design.

The key difference between monitoring and evaluation is that evaluation is about placing a *value judgement* on the information gathered during a project, including the monitoring data. The assessment of a project's success (its evaluation) can be different based on whose value judgement is used. For example, a project manager's evaluation may be different to that of the project's participants, or other stakeholders.

REASONS TO UNDERTAKE AN EVALUATION

- To continually improve the delivery of the project
- To assess whether a project has achieved its intended goals
- To understand how the project has achieved its intended purpose, or why it may not have done so
- To identify how efficient the project was in converting resources (funded and in-kind) into activities, outputs and outcomes
- To assess how sustainable and meaningful the project was for participants
- To inform decision makers about how to build on or improve a project

Evaluation is not just about demonstrating success, it is also about learning why things don't work. As such, identifying and learning from mistakes is one of the key parts of evaluation.

DEVELOPING A MONITORING & EVALUATION FRAMEWORK

A monitoring and evaluation (M&E) framework is a document that outlines the program and purpose of the evaluation, what you will collect, when and by whom it is to be collected, what question the information will answer, and the audience you are reporting to. The benefit of a clearly articulated framework is that all stakeholders can be clear about what the evaluation is about and how it will be conducted, and it also provides a risk mitigation measure in the event of changes in staff, whereby new staff can come up to speed on the evaluation. It is advisable to circulate the evaluation framework amongst the intended audience and project stakeholders to ensure that it meets all the requirements and is feasible.

Evaluation purpose & boundaries

It is important to **scope out your evaluation**. This means **setting boundaries** as to what you seek to answer, and what sort of data you will collect. The **logframe matrix** will provide the scope of the evaluation, in terms of the purpose, and whether the evaluation extends to the goal (or longer term outcomes).

Evaluation questions

Evaluation questions are the broad questions that guide the evaluation. These are likely to reflect the values that underpin the evaluation. Evaluation questions should be developed up-front, and in collaboration with the primary audience(s) and other stakeholders who you intend to report to. Evaluation questions go beyond measurements to ask the higher order questions such as whether the intervention is worth it, or could if have been achieved in another way (see Table 12). Overall, evaluation questions should lead to further action such as project improvement, project mainstreaming, or project redesign.

In order to answer evaluation questions, monitoring questions must be developed that will inform what data will be collected through the monitoring process. The monitoring questions will ideally be answered through the collection of quantitative and qualitative data. It is important to not leap straight into the collection of data, without thinking about the evaluation questions. Jumping straight in may lead to collecting data that provides no useful information, which is a waste of time and money.

Table 12. Broad types of evaluation questions

Based on OECD criteria for evaluating development assistance

Type of evaluation	Evaluation question
Relevance	To what extent are the objectives of the programme still valid? Are the activities and outputs of the program consistent with the overall goal and the attainment of its objectives? Are the activities and outputs of the program consistent with the intended impacts and effects?
Effectiveness	To what extent were the objectives achieved / are likely to be achieved? What were the major factors influencing the achievement or non-achievement of the objectives?
Efficiency	Were activities cost-efficient? Were objectives achieved on time? Was the program or project implemented in the most efficient way compared to alternatives?

Impact	What has happened as a result of the program or project? What real difference has the activity made to the beneficiaries? How many people have been affected?
Sustainability	To what extent did the benefits of a programme or project continue after donor funding ceased? What were the major factors which influenced the achievement or non-achievement of sustainability of the programme or project?

Monitoring & evaluation plan

A monitoring and evaluation (M&E) plan is a detailed table that set's out the high level evaluation questions, specific monitoring questions that sit under the evaluation questions, what is to be collected to answer the questions (indicator of success), and where the information will come from (data source).This builds on the logframe matrix by adding more indicators, data sources etc. as required to answer the key evaluation questions. It is also advisable to assign responsibility for the data collection so that everyone is clear of their roles and responsibilities. You may also want to note any requirements that are needed to collect the data (staff, budget, facilities to run a workshop etc). An evaluation plan template is provided in Appendix 3.

SECTION 5. DEVELOPING PROJECT PROPOSALS

- What is a project proposal
- How the logframe matrix informs the proposal
- Project proposal template

WHAT IS A PROJECT PROPOSAL

A project proposal is a detailed description of a series of activities aimed at solving a certain problem.

A proposal is like selling an idea or concept, where the donor is the buyer. You need to know what the buyer is looking for. It is therefore important to undertake research into the type of projects that have been funded in the past, and what the current funding organisation's priorities are.

The proposal should describe in enough detail the:

- justification of the project (why is the project it needed?)
- methodology and logic of the intervention (how will the project address the need?)
- activities and implementation timeline (what is planned and when will it happen)
- human, material and financial resources required (inputs)

Proposals need to balance providing enough detail without being too lengthy.

"The chief purpose of a funding proposal is <u>persuasion</u>, NOT description" (Shapiro, 2011: 4)

WRITING A PROJECT PROPOSAL

Writing a project proposal should be done once all the steps in the LFA have been completed and the logframe matrix has been developed, though some elements can be done before or in parallel to completing the LFA. Tasks that should be considered before or during the LFA process include:

- Making contact with donor's contact officer. Relationships are important and if the donor knows that your team is submitting a proposal, it may be looked upon favourably, especially if you have asked some questions to confirm your project addresses the donor's priorities.
- Contact colleagues or other organisations that may have received funding from the particular donor
- Identifying whether proposal requires completing a template or following specific guidelines
- Identifying if the logframe matrix requires a specific format or terminology
- Establish a proposal writing team- this may include experts to help with activity and resource scheduling

When writing the proposal, it is important to understand the audience that you are writing for. Your research into what they have funded or not funded in the past, what outcomes they seek, and how much they are likely to fund will help guide your proposal writing.

HOW THE LOGFRAME MATRIX INFORMS THE PROPOSAL

A quality project proposal is the final product of a participatory process that involves research, analysis, learning and feedback from stakeholders.

The logframe matrix provides the framework to develop the body of the proposal. You can use the vertical logic to describe your intervention. Your ability to manage or mitigate against risks can be

demonstrated in a risk matrix based on your assumptions. The indicators and sources of verification will instruct the development of a more thorough M&E plan.

The logframe matrix will make your proposal more coherent, logical, appropriate and successful.

PROJECT PROPOSAL STRUCTURE

The structure of the proposal will be determined by whether the funding agency requires you to complete a specific template or follow guidelines. A generic proposal structure is outlined below (Table 12).

Table 12. Example project proposal structure

Project title		The project title should be short, concise, and refer to the purpose and/or main activity. Project titles that are too long may lead the reader to think that the proposal is vague or unfocussed.
Summary		The summary should provide a snapshot of the whole proposal. This includes: • the issue that is driving the project • the project's objectives • the project proponent and partners • key project activities • the total project budget. A summary is generally between 1 – 2 pages in length but can be longer for lengthy proposals.
Body of the proposal	Background / Context	This should be a succinct summary of the social, cultural, economic, and environmental background in which the project is situated. It should make reference to existing literature and can also refer to data collected during the stakeholder analysis. Additional supporting information such as large data tables can be presented as appendices to the proposal.
	Project need	This section clearly identifies the core problem, and describes the effects of this problem in order to build the case for intervention. Again you can pull data from the stakeholder matrix to assist writing this section.
	Project goal & implementation	The project's goal, purpose, outputs and activities should be described, based on the logframe matrix. The intervention's logic should be related to the need, problem and the context. The implementation plan should be described in enough detail to provide confidence to the funding organisation that the project has been well thought through and it can be realistically implemented within the budget and timeframe. Here you can also refer to the Logframe matrix in the appendix.
	Target group	The target group should be described in relation to the problem, and why they are being targeted. Ultimate beneficiaries should be identified. Again draw attention to your stakeholder analysis and refer to it as an attached appendix for added strength to your submission.
The project proponent *(the team / organisation submitting the application)*		The background and experience of the project proponent needs to be described. Reference can be made to past projects, capacity and capability to deliver on the project, and connections with the target group and the wider context.
Budget and timeline		A detailed activity schedule and/or Gantt chart, and budget should reflect the planned activities.
Monitoring & Evaluation plan		A detailed plan that includes the key evaluation questions, indicators, data sources, that cover off on impact, effectiveness, efficiency, relevance and sustainability. For a practical guide to developing M&E plans, visit http://www.evaluationtoolbox.net.au/

Appendices	Appendices are there to provide material to support your case. Some useful appendices may include: • the logframe matrix • detailed technical description of the project • relevant evaluation reports • optionally, the stakeholder matrix and other LFA outputs.

SECTION 6. DONORS AND FURTHER RESOURCES

- Donors
- Further resources on LFA and project proposal

DONORS

Donors are organisations or governments that fund projects. There are several types of funding mechanisms:

- Bilateral – where donors are governments that provide funds for specific projects in a country that is prioritised in their foreign aid budget. Examples include AusAid (Australia), NZAid (New Zealand), AFD (France) etc.
- Multilateral – where the funding organisation is comprised of a board that may include both developed and developing countries. Such organisations generally obtain their funds from government contributions. Examples include the Global Environment Facility (GEF), World Bank, Asian Development Bank (ADB), UNESCO.
- Philanthropic – where wealthy family trusts, or companies, provide funding for specific projects of interest. Philanthropic donors generally fund Non-Government Organisations (NGOs). Examples include the Packard Foundation, and the Bill and Melinda Gates Foundation.

A donor resource directory focussing on climate change adaptation funding was developed in 2012 as part of the Asia Pacific Adaptation Network ("APAN") Workshop on Finance for Adaptation. This directory lists a large number of bilateral and multilateral funding bodies, their area of focus, and contact details. The directory will be provided to you electronically (e-copy).

It is important to develop a professional relationship with donor representatives so that you can understand their needs, and so that they can understand the project needs and opportunities that you are interested in getting funded. Make sure you pencil in yearly or quarterly events that prompt you to keep up to date with donors priorities. This may include calling someone you already know at the donor agency or visiting their website to see what new or future funding opportunities exist

Many donors have specific guidelines for project proposals, LFA, and templates to complete. There may be specific guidelines and templates for different types of projects, so it is important to obtain such information as early as possible when preparing an proposal.

What bilateral and multilateral donors fund projects in your country? Make a list of the donors and their representatives, and organise to make contact with them, and find out about specific guidelines they may have for proposals.

FURTHER RESOURCES

There are number of resources that can provide you with further information and guidance on project proposal preparation using the LFA (Table 13).

Table 13. Further resources on LFA and project preparation

Aid Delivery Methods, Volume 1 Project Cycle Management Guidelines by the European Commission (2004)	A very detailed guide (>140 pages) designed to assist those in the European Commission and partner agencies to guide them through the project management process.
http://ec.europa.eu/europeaid/infopoint/publications/europeaid/49a_en.htm	
Integrated Planning Process, Project Design & Proposal Writing Guide by the American Red Cross (2006)	A very good guide on implementing the LFA and using this to inform a project proposal.
http://ngolearning.org/evanspmclass/Shared%20Documents/RedCrossLogframes.pdf	
AusGuide—A Guide to Program Management (2011)	There is a detailed section on the LFA, and there are other sections on project implementation and evaluation. Note that AusAID are moving towards 'theory of change' which is explained in brief in Appendix 2.
http://www.ausaid.gov.au/ausguide/Pages/home.aspx	
Guidance on using the revised Logical Framework by UK Department for International Development (2011)	A very short guide on DFID's approach to LFA. Note how they approach the use of indicators, and how they add targets and milestones.
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/67638/how-to-guid-rev-log-fmwk.pdf	
The Logical Framework Approach- A summary of the theory behind the LFA method by Sida (2004)	A good overview of the steps that make up the LFA. The Appendix E 'Logical Question List' is a useful guide to reflect on the thoroughness of the project's logic.
http://resourcecentre.savethechildren.se/node/2033	
The logical framework approach- How To guide, by Greta Jensen for BOND (2012)	A very short summary of the logical framework matrix.
http://www.bond.org.uk/data/files/The_logical_framework_approach_How_To_guide_January_2012.pdf	
Guidelines for Developing Project Proposals by Natural Solutions Pacific (2012)	A guide on project proposal preparation developed following the Pacific Climate Change and Finance Workshop in Apia, October 2012.
Available as an electronic copy at this training, along with the donor directory.	
Developing Skills Of NGOs - Project Proposal Writing by the Regional Environmental Center for Central and Eastern Europe (2002)	A useful guide, and training kit, to writing proposals following the LFA.
http://documents.rec.org/publications/ProposalWriting.pdf	
The online Evaluation Toolbox	A pracitical guide on developing monitoring and evaluation plans, including templates to download, how-to guides, and self-paced tutorials.
http://www.evaluationtoolbox.net.au/	

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Appendix 1. Logframe Terminology

Project description	Indicators	Source of verification	Assumptions
Overall objective (EC, GIZ) Impact (AusAID, DFID) Goal (USAID, AusAID) Vision statement (WWF)			
Purpose (EC, AusAID) Project purpose (GIZ) Specific objective (EC) Outcome (AusAID) Goal (WWF)			
Results (EC) Expected results (EC) Outputs (AusAID, DFID) Objective/Results (WWF)			
Activities (EC) Inputs (USAID)			

Intended utilisation of outputs by target group

Component Objectives, Intermediate Results (AusAID)

Appendix 2. Theory of Change

Adapted from AusAID 'Draft Guidance Note on Theory of Change'

AusAID is moving towards using '**theory of change**'[1] as a framework to guide the development of projects that work to achieve the organisation's strategies.

A theory of change is a *thinking tool* that helps describe the fundamental understanding of how change occurs in a given context. It also helps to explain clearly how an intervention will contribute to the intended outcomes. A theory of change assists helps project teams to be clear about where we want to get to, set out how they think they will get there, and actively manage for that along the way.

Theory of change is quite similar to the logical framework approach (LFA), in terms of its purpose to help teams think through the purpose of a project and means to achieve the purpose. The main differences are in the way a theory of change is presented. In the LFA, the final product is the logframe matrix, which presents the project design in a table, along with assumptions, indicators and sources of verification.

The theory of change presents the information diagrammatically, either as a pipeline (horizontal) model, or as a results chain model that depicts a hierarchy of mean-end (vertical) not too dissimilar from a solution tree in the LFA.

Figure 1 is an example of a simple pipeline model linking inputs, outputs, outcomes and impacts. This model depicts activities at the start of the causal chain. Pipeline models are often not adequate for capturing the complexity of the relationships and feedback loops that exist in many development contexts.

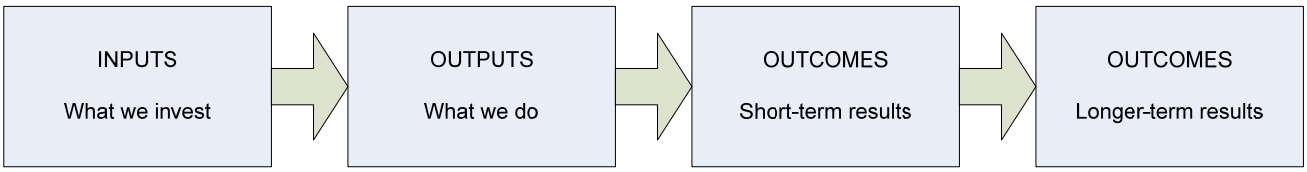


Figure 1: Example of a simple pipeline model

Figure 2 is an example of a results chain model showing a series of expected consequences or pathways of change. Articulating a theory of change using a results chain model requires mapping back from outcomes (a process called 'backcasting'[2]). That is, you start with the intended end-of-strategy/program outcomes and map to these through the essential preconditions needed to achieve each outcome. Eventually you may map down to specific activities. The theory of change should include an explanation of how the activities are expected to contribute to the outcomes. It is not sufficient to simply present a list of activities and a list of outcomes with no explanation of how they are linked. That means that you need to provide evidence (research, past evaluation reports, stakeholder feedback etc.) that demonstrates the likelihood of one step leading to another.

[1] Theory of change may also be referred to in the literature as: causal model, intervention theory, intervention logic, logic model, program logic, program theory, theory of action.

[2] See http://www.naturalstep.org/backcasting

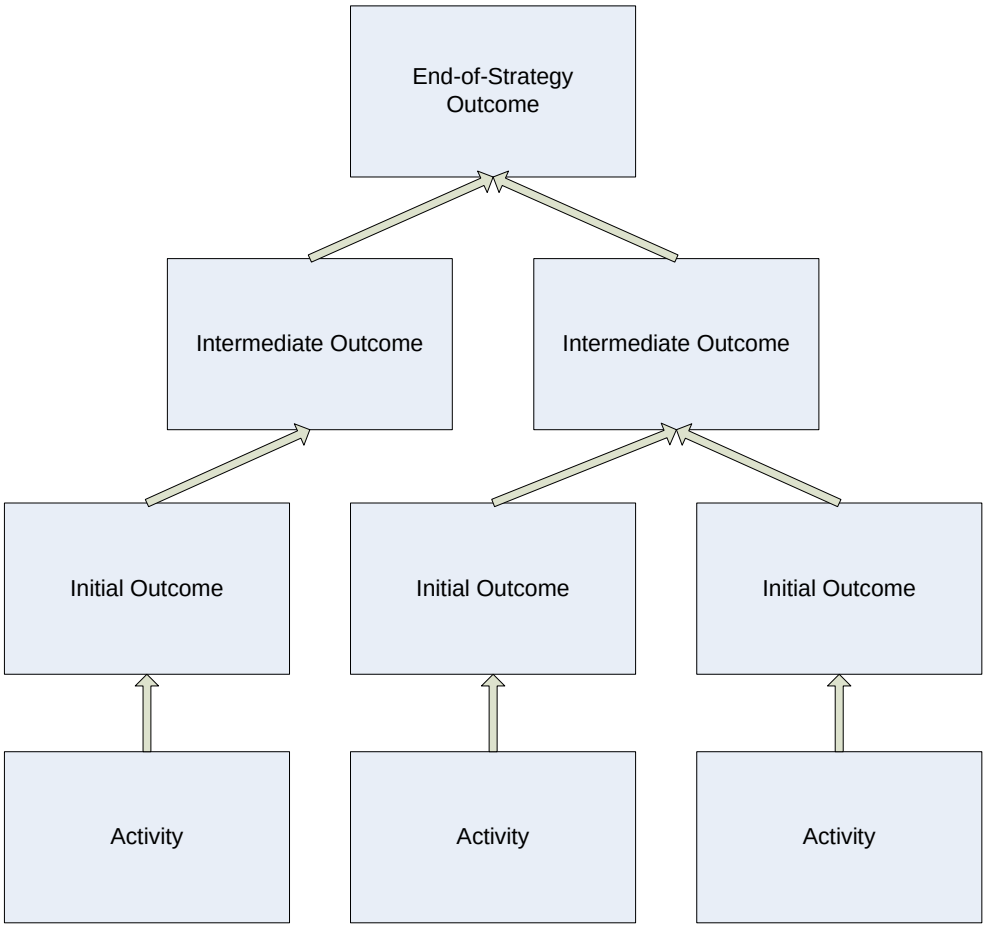


Figure 2: Example of a basic results chain model

Illustration of a theory of change model for a delivery strategy

Figure 3 illustrates a theory of change model in the health sector in country X, where the leading causes of death are tobacco related. Development partners have agreed to work together to achieve "an increased life expectancy in country X". A necessary precondition to achieve an increased life expectancy is, therefore, reduced tobacco related morbidity and mortality. After analysing what preconditions would be required to achieve this in country X, it was determined that there are two main elements: reduced uptake of smoking by young people; and reduced smoking levels amongst current smokers. Looking at the first of these preconditions – or *intermediate outcomes* – reducing uptake of smoking by young people, you next need to consider what it would take to reduce uptake by young people. In this case, it was determined that it would require three elements (reduced access, reduced sales of tobacco and people having more negative attitudes to smoking).

The next step in this theory of change model is to consider where an intervention may best be applied (based on project selection criteria such as organisation strategies and priorities, capabilities, existing and complementary projects etc.). Based on further analysis of context, stakeholders, opportunities and the relative capacity to contribute, it was decided to focus on just one intermediate outcome - to ensure '*youth have more negative attitudes towards smoking'*. This intermediate outcome becomes the target of the aid efforts and the end-of-strategy outcome for the project proponent's contribution. A Delivery Strategy must describe how you will make that

contribution.

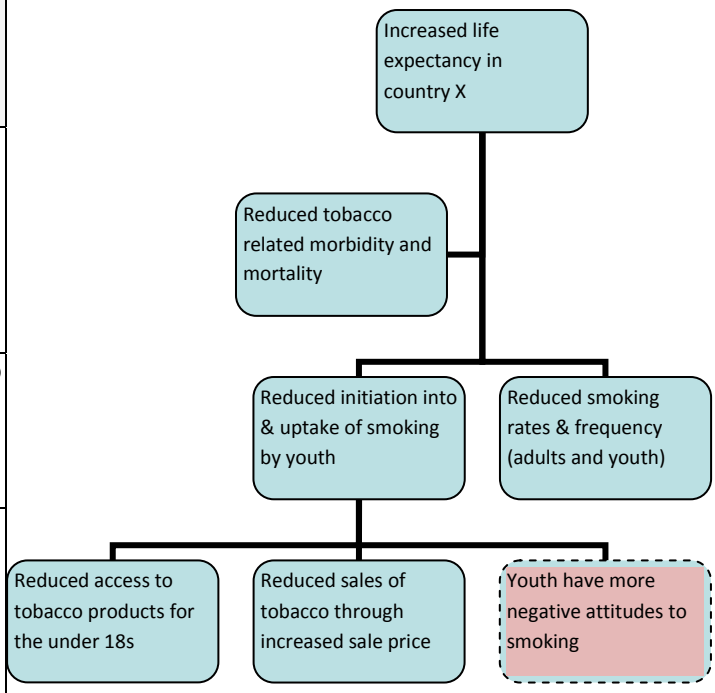
Hierarchy		Definition of level	Example
DEVELOPMENT	**Development Outcome**	The high level, long term shared development priority *referenced* in our Statement of Commitment or Partnership for Development	
	Intermediate Outcomes	Necessary preconditions required to achieve the development outcome (identified by thorough analysis of the barriers/opportunities associated with achieving that development outcome in that country context).	
	Intermediate Outcomes	More preconditions that are required to achieve the intermediate outcomes above	
	Intermediate Outcomes	Lower level preconditions. One or more targetted as *shared development outcome(s)* in our Statement of Commitment or Partnership for Development	

Figure 3: Theory of change in health sector in country X

Given this end-of-strategy outcome, **Figure 4** shows the steps identified toward meeting the desired outcome and the aid activities that can contribute. In this example it was decided that there are two main preconditions to people having '*more negative attitudes towards smoking*'. They are i) smoke-free policies and prevention strategies in schools and ii) fewer positive media images of tobacco and smoking. These are intermediate outcomes that the project proponent believes that they will be able to influence significantly in partnership with the country government and civil society. The process is to work back from these outcomes to design an aid program which involves partnering with various government departments to create more effective health promotion, training programs and improved government capacity. This results in a theory of change for the aid program situated in a broader process of development. This allows the project proponent starting to see the logic of the program, which will help them judge and design the mix of approaches needed for the aid to make an effective contribution.

Note: this illustration represents a fairly simple, linear design logic. Most projects are likely to have to deal with greater complexity, and feedback loops, underlining the need for a systematic approach to developing a theory of change. *Purposeful theory of change: effective use of theories of change and logic models*[3]) provides a wealth of guidance on fitting theories of change to complex challenges. This might include incorporating simultaneous causal strands (two or more chains of

[3] Funnell, S.C. & P.J. Rogers (2011) *Purposeful theory of change: effective use of theories of change and logic models*. John Wiley and Sons, San Francisco

events required for an intervention to succeed) or alternative causal strands (where a program could work through one or another path

To sum up, a theory of change is a thinking tool that can help us to map and navigate complex situations to make strategic programming decisions. A theory of change is only a tool to help clarify and present our thinking - it is necessarily a simplification of reality. A theory of change is integral to, but does not replace, many other critical elements of strategy development and management.

Hierarchy		Definition of level	Example
AID	**End-of-Strategy Outcome**	End-of-strategy outcomes help define what shared results Australian aid is accountable for within a given time frame (usually five years).	
	Intermediate Outcomes	Medium term outcomes that occur as a result of aid activities and that are necessary preconditions for the achievement of end-of-strategy outcomes.	
	Intermediate Outcomes	There may be several levels of intermediate outcomes.	
	Initial Outcomes	Any initial outcomes that are a direct result of our aid activities – and lead to intermediate outcomes.	
	Influencing Activities	Aid activities conducted to bring a change in a situation or behaviour that is expected to contribute to outcomes.	
	Foundational Activities	Actions that enable/support key influencing activities. These can include planning, research, collecting base-line data, forming and maintaining partnerships.	

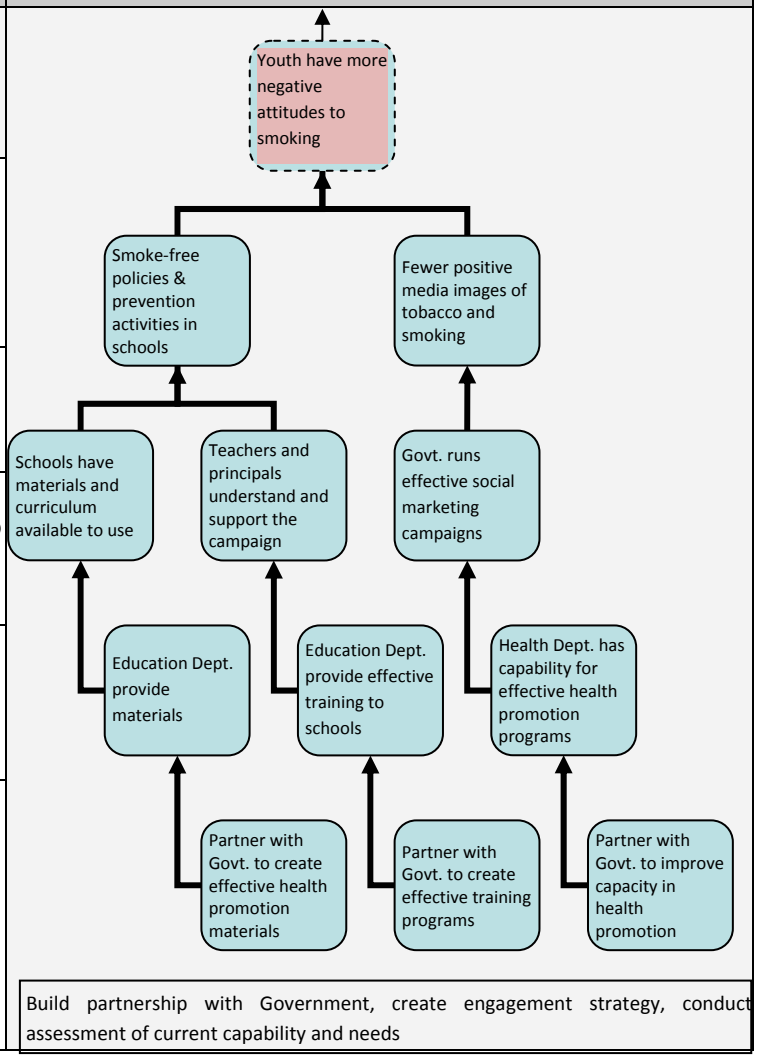


Figure 4: Theory of change for AusAID health delivery strategy in country X

Appendix 3. Monitoring & Evaluation Plan Template

Evaluation	Monitoring						Evaluation		
Broad Evaluation Questions	**What do we want to know? (Monitoring Question)**	**How will we know it?** **(Indicator)**	**Where will the data come from?** **(Data Source/Method)**	**Who will capture the data?** **(Responsibility)**	**When will data be captured?** **(Timeframe)**	**Estimated cost?**	**Who will be involved?**	**How will it be reported?**	**When will the evaluation occur?** **(Timeframe)**