

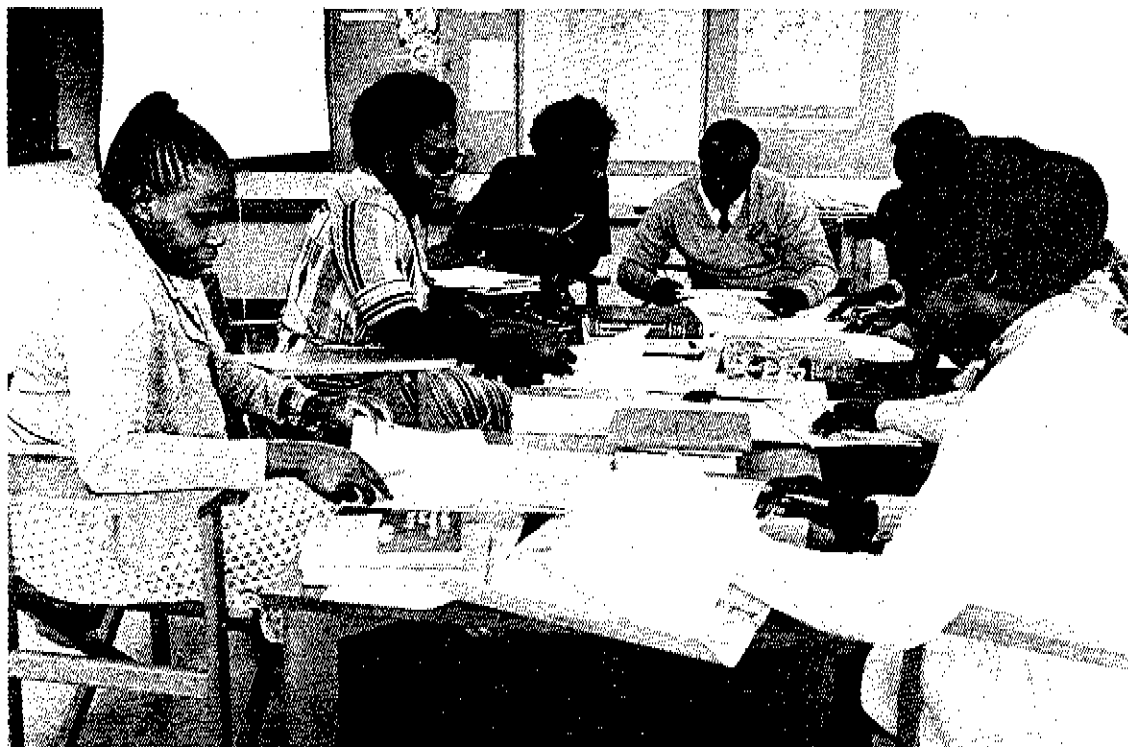
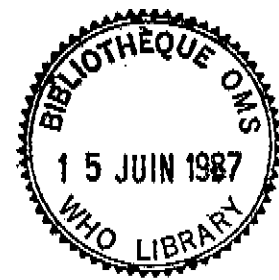
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PROJECT FORMULATION & PROPOSAL WRITING

by Dr Katja Janovsky



WORLD HEALTH ORGANIZATION

PROJECT FORMULATION AND PROPOSAL WRITING

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INTRODUCTION

All of us involved in developing and managing projects have had to learn sooner or later that money does not necessarily flow just because we have a good idea. Although numerous organizations are in the business of granting or lending money for development, these agencies need to be provided with well written convincing documents presenting our case. They require proposals that show that what we have in mind is a priority, is feasible, is cost effective, fits with national plans, does not duplicate anything already being done, and so forth.

Project managers are usually good at identifying problems and developing relevant solutions and new interventions, but they often lack the time and the skills to present these ideas in the form required by the potential financiers and partners.

This is true of many of the managers in the Health Learning Materials (HLM) Network where good will and good ideas abound but money does not. The HLM clearinghouse at WHO has attempted to provide advice and assistance, wherever possible. But it is essential that national HLM projects become more independent and self-reliant in writing proposals and approaching donors. Towards this end, the HLM clearinghouse has produced these guidelines for project formulation and proposal writing.

Although developed specifically for HLM Network Managers, this document can also serve other middle and senior level health managers in government and non-governmental agencies in the Third World. It draws on materials from international and non-governmental organizations and, in particular, on the experience of the African Medical and Research Foundation (AMREF), a Kenya-based regional non-governmental organization involved in designing, implementing and evaluating a wide variety of health development projects.

The guidelines deal with the process of formulating ideas, soliciting feedback, developing support, writing and submitting project proposals, as well as with the contents of proposals.

Chapter One takes you through the main stages that make up the process of project formulation and proposal writing. For each of the four stages that have been identified, there is a description of what usually happens and a few points on how to proceed and what to watch out for.

In its first section, Chapter Two presents eight modules that can be used to produce preliminary project papers and full project proposals. A second section describes techniques for charting essential project information in summary tables.

Process and contents are inextricably linked in project formulation and proposal writing. By covering both, we hope that these guidelines will point the way and help you get over all the hurdles you will encounter as you formulate your idea and produce a proposal that attracts the support and resources you need.

Photo: WHO/UN/SEWA



You have recognized a problem, an unmet need. It is now time to sit down and put your analysis and your propositions on paper

CHAPTER 1: THE PROCESS

Stage One: Formulation

- * Formulating the Idea.
- * Preparing a Preliminary Project Paper.

The initial process of formulating a project idea varies enormously, depending on the temperament, training and opportunities of the concerned individual. It spans the period in time from becoming aware of a particular problem to the moment when you have settled on a particular strategy to approach that problem.

Whether you have arrived by leaps and bounds or step by step is not important. Nor does it matter whether or not the idea has come to you in what planners would regard as a logical sequence. No matter how you got there, unless you are independently wealthy and run your own one-man or one-woman organization, you must now get ready to present your project idea to those whose assistance, support, approval and money you need for its realization.

You have recognized a problem, an unmet need, a condition that requires a change in the present course of action or inaction. You have thought of a solution. It is now time to sit down and put your analysis and your propositions on paper, and to critically review your own ideas.

It is both unnecessary and unwise to start by preparing a comprehensive detailed project proposal. It is unnecessary because the bare bones of your project idea are sufficient for a first review by your colleagues, your bosses and by potential donors. It is unwise because writing a full proposal is a great deal of work which may turn out to be a waste of time if your basic idea is not acceptable to your organization or to the donors.

Produce a preliminary project paper of no more than five pages. The paper should cover a statement of the need, the goals and objectives, your proposed strategy and an indication of the type, size and value of resources required. Writing the paper will provide a mechanism for:

- thinking systematically about your project, reviewing and clarifying the connection between the need, goals and strategy;
- identifying gaps and inconsistencies you may not have noticed before;
- considering the scope of the proposed intervention and the feasibility of implementing it under the prevailing economic conditions and within the limitations of your organization;
- making a rough calculation of the resources required from external sources;
- developing a solid basis for soliciting feedback and development support among peers and decision makers within your own institution, from other relevant organizations and from potential donor agencies.

Stage Two: Circulation and Feedback

- * Circulating the Preliminary Project Paper.
- * Gaining Approval and Support from Bosses and Central Agencies.
- * Generating Support and Cooperation from Colleagues and Related Agencies.

You have completed your preliminary project paper. The purpose of doing this has been to clarify your own thinking and to produce a brief document describing the essential elements of the project. You can now use this document as a basis for discussion and as a tool of persuasion.

At this stage, you need feedback from your superiors and your colleagues about the merit of your idea. Do they agree with your needs assessment; problem formulation; the objectives you have set and the strategy you have selected? What about feasibility? Do they consider the technical solution as appropriate and implementable? What about the projected resource requirements - is the proposed solution affordable?

Circulate your paper to a well selected group including possible adversaries. Observe carefully whether your ideas are understood in the way you meant them. How well have you communicated your analysis, your visions?

Photo: Aga Khan Foundation



The reactions you receive will help you review not only the technical contents of the proposal, but assess the feasibility of its adoption in terms of organizational and political support

Be sure to consider the process of obtaining feedback not just in technical terms. The reactions you receive will help you review not only the technical contents of the proposal, but equally importantly, assess the feasibility of its adoption in terms of organizational and political support.

Although rationality and logic are stressed in guiding you through the process of formulating your ideas and writing proposals, we all know that these standards of rationality often do not apply in the real world. Projects may be perfectly logical and needs assessments objective and valid. Yet, a project does not get adopted because it does not coincide with the interests and values of an important decision maker in your organization. The need may be considered a priority within your organization or sector but the central treasury, dealing with the allocation of scarce resources between different sectors, may not agree with your assessment. Your objectives and strategy may be perceived to be competing or conflicting with someone else's pet project and rejected for this reason.

Discussions of the preliminary proposal can be skilfully used to develop interest and support for the project idea. This is the time to lobby, to bargain and to form coalitions that will assure not only the adoption of the proposal but also develop solid support for its successful implementation. Consider all the forces that affect your project and see how you can acquire allies at all levels.

Photo: Aga Khan Foundation/K. Pfitzer



Donors usually insist on identifying ways for measuring the success or failure of the project. The development of systems for monitoring and evaluation are, therefore, of special importance

Stage Three: Communication with Donors

* Identifying and Courting Potential Donors.

Donors have their own priorities and values. This is not only true of the major donors whose operations are largely determined by macro political and economic considerations. It is equally true of most other donors who usually have geographical and sector priorities as well as preferred strategies within sectors. If one were to caricature the donor situation, one might say that Africa is 'in', community participation is 'in', the district is 'in', hospitals are 'out', and so forth. These 'ins' and 'outs' tend to change every few years. To be sure, they are usually based on careful considerations of needs and experiences in the field. In any case, it is important to be well informed on what current trends in donor thinking are and to use appropriate terminology as a tool to market the project proposal, without compromising vital principles of your basic idea.

You should develop and keep up-to-date an inventory that contains profiles of all potential donors, including the following information:

- geographical priorities
- sector priorities
- size of projects funded (range)
- maximum project duration
- preferred health strategies
- proposal format
- channels for project submission
- reporting and evaluation requirements

To obtain this information, contact as many embassies and international delegations as possible in your capital city and ask for a list of development and aid agencies in their country or region. If they cannot provide it themselves, they will give you the name and address of an institution in their country that can help. There are also directories of international foundations issued periodically by different organizations, such as Organization for Economic Cooperation and Development (OECD) and the United Nations Development Programme (UNDP). See whether you can find these through the office of the UNDP representative, or in the library of your national development institute.

Finally, there are two particular concerns of donors that you will need to carefully consider and address in your discussions and negotiations. Firstly, donors are inevitably concerned with the economic feasibility and institutional capability for continuing the project after external funding ceases. They wish to see project strategies that explicitly address the development of institutions and that promote self-reliance.

Secondly, donors understandably aim to fund activities that will produce tangible results. They usually insist on identifying ways for measuring the success or failure of the project they are helping to finance. The development of systems for monitoring and evaluation are, therefore, of special importance.

Stage Four: Writing and Submission

- * Writing the Comprehensive Proposal.
- * Presenting and Submitting the Proposal.

In writing the final proposal you will carefully scrutinize all the feedback information you have received. It will not be possible to please everyone and to incorporate all comments. If you do, chances are that your proposal will become confused and inconsistent. When you make changes in one of the key sections of the proposal, be sure to review whether the logical link between objectives, strategies and inputs remains intact or whether other sections also need to be altered.

The preliminary project paper is usually produced with scanty information. Completeness and validity of information are important when you write the full proposal and will probably require additional work.

The interactions you have had with colleagues, bosses and donors have helped you define the strategic space within which you must now develop your full proposal. Whereas at the idea stage, organizational and political realities may have been remote, you will need to take full account of these in producing the final document.

Once you have completed the proposal, you usually need to submit it through the formal channels. This will involve central ministries, such as the Ministry of Economic Planning, the Ministry of Finance, the Ministry of Foreign Affairs or the Office of the President. In some unfortunate situations, it involves not just one but all of these. Proposals to non-governmental organizations (NGOs) do not always have to follow this route. However, they often require a supporting letter from the head of your institution. To minimize delays, it helps to draft such a letter for the signature of the relevant person rather than wait for it to be done by usually very busy top officials.

Going through official channels need not prevent you from informally submitting an advance copy to the donor, provided it has been approved within your own organization.

Cost Sharing

Do not necessarily expect to find a single donor who will finance your entire project. There are donors who are willing to provide seed money for operational research to further investigate problems and to carry out detailed project design work. Many donors favour co-financing arrangements whereby two or more donors participate in funding a project. Keep donors informed of your approaches to other agencies. If you have convinced some donor agencies of the value of your undertaking, they may even help identify and approach additional donors.

Follow-up With Agencies and Rewriting

Once you have submitted the documents, perseverance becomes the name of the game. Project submissions may get stuck at each point on the way to the donor. You will need to check regularly whether the proposal is moving in the right direction. Be prepared to spend time and effort to see that the proposal arrives at its destination. Technical officers often consider their labours over, once a proposal has been completed and accepted by their superiors. It is difficult to overemphasize the importance of making an effort to see that the proposal arrives in the right hands and to show yourself willing to rewrite and re-edit sections, if necessary and appropriate. Alterations in proposals at the request of central agencies and donors are not unusual. In fact, donors' requests for revisions are a positive sign; at least they have not rejected the proposal.

Although you need to ascertain that the proposal remains technically sound and organizationally feasible, your work has not been completed until a mutually satisfactory version of the proposal has found its way to the final decision makers.

CHAPTER 2: THE CONTENTS

Section One: Eight Modules

Section Two: Project Design Frameworks

Information requirements and formats for proposals vary a great deal from donor to donor. Some donor agencies insist that applicants adhere to their format, others simply offer guidelines to assist the applicant and to ensure that major points are adequately covered.

It is noteworthy and comforting, however, that the same key sections tend to appear in almost all standard formats of the major donors. Smaller donors frequently leave the questions of the format to the applicant, provided that specified essential information is included.

You will find more variation in the words used to denote the most important components. For example, what some donors refer to as objective is called purpose by others. Donors are usually after one and the same thing when they ask you about the approach of your project, the method of intervention, the technical plan or the project strategy.

Keep in mind that what these sections contain is more important than how they are named. Your proposal needs to be internally consistent and easily comprehensible to a wide spectrum of reviewers. Be sure that the logic of your presentation is clear in your own mind and well understood by those you have asked for comments and feedback in the first round.

In the next section, you will find eight modules which allow you to present all essential information about your proposed project. These modules can be used for both the preliminary project paper and the full project proposal.

The eight modules together will produce a comprehensive project proposal. If your donor requires less detail, you may want to omit some modules. For the preliminary project paper, you need only three modules (2, 3 and 4) and one section of a fourth module (5), covering the problem statement, goals and objectives, strategy and resource inputs.

Each module begins with the key question to be addressed in the relevant chapter of your proposal, followed by definitions and a discussion of what the chapter should contain. Examples and questions are added where required to illustrate these points.

Section two of this chapter deals with project design frameworks for presenting all essential project information in tables.

SECTION ONE: EIGHT MODULES FOR PROJECT PROPOSAL
WRITING

OVERVIEW

Module 1 SUMMARY	What Is It All About?	
Module 2 PROBLEM STATEMENT	Where Are We Now?	Background Needs Analysis
Module 3 GOALS & OBJECTIVES	Where Do We Want To Go?	Goals Objectives
Module 4 STRATEGY	Which Route Will We Take?	Components Assumptions Methods Outputs Feasibility
Module 5 IMPLEMENTATION PLAN	How Will We Travel There?	Resource Inputs Workplan Organization
Module 6 MONITORING AND EVALUATION	How Will We Know When We Arrive?	Monitoring Evaluation
Module 7 BUDGET	How Much Will It Cost?	Capital Cost Recurrent Cost
Module 8 ANNEX PROFILE OF THE APPLICANT	And Who Are We?	Organization Record of Achievements

Module 1: Summary

What Is It All About?

The summary is perhaps the most critical section of your proposal. You may wonder why it is so important to write a summary. Remember that decision makers are very busy people. In addition to attending many meetings, they review large numbers of documents and propositions every day. They often do not have the time to carefully read an entire document. Only a limited number of the proposals that come across their desks can be considered.

You need to provide them with a short and concise, but interesting summary of your project. That summary must convince the decision makers that your project is relevant to their particular concerns and to the needs of the country, and that it is well thought out. Although short, it must cover the essential points of the full proposal.

Be sure that you state the objectives and the overall strategy of the project clearly and succinctly. Explain how the project will solve or significantly contribute to the solution of an urgent problem, or to addressing an important unmet need. Outline the shortcomings of the present situation and then put forward a picture of the future reflecting the changes that will result from the proposed project interventions.

The total project cost is an essential part of the summary. It allows the decision maker to relate costs to anticipated outcomes and to assess the economic feasibility of sustaining the project activities in the longer term.

Although in the proposal the summary comes first, this section should be written after you have completed all the others.

Photo: NHO/Hackett



Your analysis of the unmet need will explain the importance of the problem, its relevance to the policies and priorities of your organization

Module 2: Problem Statement

Background Needs Assessment

Where Are We Now?

This part of the proposal should cover the general background as well as an analysis of the need to be addressed and alleviated by the project interventions.

The background section should be short and confined to aspects of the general situation that are relevant to the problem and to the interventions you are about to propose. Explain how you (your organization) came to be involved in identifying and addressing the situation.

This should be followed by your analysis of the unmet need, diagnosing and further defining the nature of the problem to be addressed. You will explain the importance of the problem, commenting on its magnitude, its relevance to the policies and priorities of your organization and your government and its importance to the delivery of effective and efficient health services. As you present your needs analysis, keep in mind that the objectives and strategies, which you will put forward in subsequent sections, need to be clearly traceable to this part of the proposal.

The following is the first paragraph of a problem statement introducing a proposal for the rehabilitation of referral health facilities and services. It illustrates how to use the background section to set the scene for discussing specific needs and for proposing a strategy to address the situation.

"As a result of the political and economic disturbances of the 1970s, the national health referral system has deteriorated to the point that it no longer provides adequate backup support for the delivery of basic health care services. Minimum repair of facilities would include restoration of electricity, water, sanitation, basic equipment for primary health care, and limited inpatient and staff housing. In addition, health facilities have continued to decline because of insufficient funds for maintenance, and purchase of essential equipment and supplies for basic referral functions. An important factor in the deterioration of physical plant and equipment has been the attrition of skilled technical staff who are required to maintain, operate and administer the health facilities. An additional factor has been the inadequate level of support for recurrent operating costs".

Some questions

- What has led to the identification of this problem and to the decision to develop a project to address it?
- What is the general situation and how is the problem developing? Will it grow rapidly, if unchecked?
- What has been done so far to address the problem and with what effect?
- What has been your (your organization's) involvement?
- Have there been any evaluations of previous activities and what have been the findings?
- What evidence is there of both need and demand for a workable solution?
- How is addressing this need relevant to the nation's stated priorities?

Module 3: Goals and Objectives

Goals Objectives

Where do We Want To Go?

Goals are broad statements of what is ultimately to be accomplished. Objectives are more specific aims which the project is to achieve with its own resources and activities and within the time frame specified in your proposal.

Statements of goals and objectives form the basis for the consideration of different strategies for their attainment. Be sure that your statement explains the purpose of the activities to be performed and establishes a logical link between the problem stated in the preceding section and the strategy you are proposing in the next section.

Because most of the problems we try to address are complex, you will find that there is a hierarchy of goals and objectives pertaining to your project. This can be confusing. Concentrate on the status you want to achieve by the end of the project as a result of your project interventions (called EOPS = End of Project Status by some donors). Your project objective is a statement of the EOPS you are striving for. It will provide a standard against which to assess the project's achievements.

Your project goal is the impact on the bigger picture in health manpower development, in the provision of health services or in improving the health status of people, to which your project should lead or contribute.

An example of a goal statement is 'control and reduction of the incidence of malaria in Eastern Africa' with the project objective 'to assist participating governments in monitoring the sensitivity of falciparum malaria to current and candidate curative and suppressive drugs'.

Another project goal may be 'orientation of health care towards the most prevalent health needs in the population' with the project objectives 'to broaden and improve the existing health information system' and 'to produce population-based health information through sampling in selected pilot areas'.

Some Questions

- What is the overall goal of the sector or programme which your project is part of?
- What are the objectives to be achieved within your project?
- At the end of the project period, where do you expect to be?

Photo: International Labour Office



Explain what approach, what methods will be employed

Module 4: Strategy

Components
Assumptions
Methods
Outputs
Feasibility

Which Route Will We Take?

Project strategy refers to the design for a set of interventions that will meet your objectives and contribute towards attainment of the larger developmental goal. The underlying assumption of a strategy is that its successful implementation will eliminate, reduce or control the stated problem and that it can be implemented within the time frame of the project and with the financial and organizational resources available to the project, including those resources requested from the donor. The project strategy is the core of your project design.

A strategy may consist of a single intervention or a number of simultaneous or sequential interventions. It is useful to examine and describe your strategy both as a whole and by means of its components. For example, the strategy for a national continuing education programme will comprise a large set of interventions, including reorientation and training of trainers and facilitators; refresher courses and learning surveys for rural health workers; distance teaching; development and production of learning materials; library development; and the development of a system of supportive supervision.

A number of assumptions are underlying your strategy for continuing education, for example: 'if health workers are better trained they will do a better job and, thus, provide better care to the people'; and 'continuing education provides a vehicle for more and better contact between different levels in the health system'.

Explain what approach, what methods will be employed. The next paragraph is an excerpt from a proposal, illustrating how to present your approach.

"We will offer assistance and training in developing country-specific Health Learning Materials (HLM) production strategies along the following lines:

- identification of priority needs for materials, and of potential authors and potential readership;
- development of the materials through workshops, editing and pre-testing to produce a relevant, usable draft of any book;
- conducting a workshop with potential teachers, trainers, specialists and other interested parties to ensure the correctness and acceptability of the draft;
- re-editing; typesetting; paste-up and artwork; printing; distribution.

Throughout this process, research, testing and evaluation of all aspects of need, relevance, usability, design and layout for different readerships and purposes should be carried out'.

Try to describe the outputs resulting directly from each set of planned activities. Outputs are those concrete and tangible products that are needed to achieve the project objective and that will happen as a result of specific activities. In the health learning materials network, your outputs will be the establishment of institutional units, e.g., a fully staffed and equipped HLM unit; a number of trained staff; and, of course, books and other teaching and learning materials. In an immunization programme, your outputs will be vaccinated children and mothers; in a rehabilitation programme, outputs will include adequate staffing to allow full functioning of the facility, management systems developed and established to support and supervise activities, and renovated buildings.

You will also need to comment on the feasibility of your intervention strategy in technical, economic, organizational and socio-cultural terms. For instance, can your organization establish and maintain a printing unit for HLM? Will your organization allocate the funds required for the operation of the unit after external funding expires? What are the constraints likely to be encountered?

In order to arrive at a project strategy, a number of options are usually considered and examined with regard to their cost effectiveness and feasibility. Briefly outline the main options you have considered and explain why you have selected your proposed strategy.

Some Questions

- What are the key elements/components of your strategy and what are the premises on which these are based?
- What are the methods used in this approach?
- What are the expected outputs/results of each of these components?
- Is the technology proposed in your strategy available and appropriate for the project area?
- Is there an existing infrastructure/organization to which the project can be linked or does one need to be established?
- Will the implementing organization absorb the additional recurrent costs implied by this activity?
- Can the implementing organization continue project activities and sustain the benefits beyond the expiration of external funds?
- Are there any political or bureaucratic obstacles to the adoption and/or successful implementation of this project?

Module 5: Implementation Plan

Resource Inputs

Workplan

Organization

How Will We Travel There?

This is a core section of the proposal, describing what is actually going to be done. Having decided where you want to go and what route to take, you are now explaining the details of the journey.

Begin by specifying all the inputs required in terms of manpower, facilities, equipment, supplies and operating costs. Include all inputs, not only those you are requesting to be funded by an external donor agency. Also describe what resources are already available and where they will come from. For example, your organization may provide office space that you already have, vehicles that have been provided by other donors, and management support.

Next, you need to present a workplan outlining activities, targets and schedules. In a large project, you may want to divide your workplan into several specific project components. These can also be referred to as responsibility centres when different staff members head these components.

Photo: International Labour Office



Begin by specifying all the inputs required

The following table is an example of a workplan, containing the essential elements that permit easy review of achievements and constraints.

Activity (By Component)	Timing	Output Target	Critical Assumptions	Indicator of Achievement
Component A				
Activity A1				
Activity A2				
Activity A3				
Component B				
Activity B1				
Activity B2				

Page 32 shows an example of using this type of workplan for a national health planning programme.

Another possibility for charting activities and their timing is the Gantt chart, as illustrated below.

Activities	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Activity 1	xxx											
Activity 2	xxx	xxx	xxx	xxx								
Activity 3				xxx	xxx							

yet another option is a time table in the following format:

<u>1987</u>					
<u>JAN</u>	<u>FEB</u>	<u>MAR</u>	<u>APR</u>	<u>MAY</u>	<u>JUN</u>
Planning	Planning	Writers Course	Operators Course	Develop Software Package	Production Assistance Kenya
<u>JUL</u>	<u>AUG</u>	<u>SEP</u>	<u>OCT</u>	<u>NOV</u>	<u>DEC</u>
Editors Course	Distribute Software Package	Operators Course	Manuals Testing Consulting	Computer Course Consulting	Production Assistance Tanzania

Under timing, note whether this is a continuous, periodic or time-specific activity. If periodic, indicate frequency. If time-specific, indicate estimated date of start and completion. Under target, indicate what will be the direct result or output of the activity, if successful. Be sure that each result of output specified can be related to an objective stated in the goals and objectives section. Under critical assumptions, state essential conditions that need to be present for the activity to take place and the target to be achieved. Under indicator of achievement, describe the concrete evidence or source of information required to demonstrate that the activity has been completed and to indicate to what extent its target has been achieved.

The workplan need not be overly detailed. Refer to the key activities and indicate by project quarter when you expect the activity to start and to terminate.

Health Planning Programme
Workplan 1986 (Excerpt)

No.	ACTIVITY Title	TIMING	OBJECTIVE/ TARGET	CRITICAL ASSUMPTIONS	INDICATOR OF ACHIEVEMENT
4.	<u>HEALTH INFORMATION SYSTEMS (HIS)</u>				
4.1	Produce the Health Information Quarterly for national distribution.	April July October January 1987	To encourage exchange of information activities, etc. in Uganda.	Articles submitted, adequate editorial resources, printing materials etc.	Quarterly distributed on time.
4.2	Continuous monitoring of the Health Information Systems in two districts.	April until August	To assess the appropriateness of the system.	Field work begun in March 1986. No restrictions on travel.	Final Report on system with recommendation for its alteration, adoption or otherwise.
4.3	Organize workshop on Health Information Systems	August for three days	To finalise revision of Health Information Systems.	Field trials complete and report prepared.	Proceedings.
4.4	Organize two refresher courses on Health Information Systems	November January (three days)	To introduce finalized system to two districts.	Revised system accepted and forms reviewed and printed.	Course report.
4.5	Depending on 4.3 the continuation of the modified system in two or more districts.	September	To collect reliable data on morbidity, mortality and health activity from representative districts.	An agreed system is confirmed; necessary modifications introduced, funds available. No restrictions on travel.	Regular statistical output from the system on a national level.

A very important ingredient in the success of a project is the organizational framework within which implementation is to take place. A description of the project organization should be provided in this section. This may include an organization chart. Comment on important linkages between the project and other organizational units and external organizations. Lines of authority and of communication should be clarified in this section. Discuss organizational procedures for project guidance and control, and for reporting activities and expenditures.

Some Questions

- What resources are required for the project to function?
- Which of these are already in place and can be used by the project?
- What are the activities to be carried out?
- What is the timing of these activities?
- What are the intended results of these activities?
- What are the major targets and milestones?
- What are the conditions that must be present for activities to be undertaken?

- How can implementation of activities and achievement of targets be verified?
- Who will be in charge of the project?
- What staff will be assigned and/or recruited?
- To which department/division will it be responsible?
- How will it link up with other relevant departments and organizations?
- What reports will be made? How often? To whom?
- What are the communications channels?
- Will there be a steering or advisory committee to provide direction and advice?
- What will be its membership? Its terms of reference?

Module 6: Monitoring and Evaluation

Monitoring Evaluation

How Will We Know When We Arrive?

Surprisingly often, systems to provide information for management and for evaluation are not adequately set up at the beginning of a project. At project midpoint, when donors usually ask to evaluate achievements and project managers start to think about applying for a follow-on grant, panic sets in as it becomes clear that no baseline data is available and information has not been systematically collected to allow a clear assessment of a project's achievements against its plans.

To avoid such situations and to assure continuous review of the effectiveness of your project strategy, it is important to develop indicators of achievement and to set up a system for monitoring and evaluation at the design stage. Roles and responsibilities in this area need to be clearly assigned. Be sure to emphasize the learning objectives of these functions and to develop a system which assures broad participation.

Monitoring refers to the process of systematically reviewing progress against planned activities and targets. Evaluation encompasses a more comprehensive review and assessment not only of project results, but also of the initial assumptions underlying the project design, including the relevance of the problem statement;



Photo: WHO/J. Mohr

Monitoring refers to the process of systematically reviewing progress against planned activities and targets

the relationship between the problem and the established objectives; between objectives and strategy; between strategy and implementation; and between implementation and outcome.

Monitoring is usually done by the project manager on the basis of reports, field visits and regular meetings of the project team. The comprehensive workplans described in the previous section are an important monitoring tool.

Evaluations are commonly scheduled in the middle and towards the end of the project period. Many donors insist on external evaluations using outside consultants, but the best results are often achieved when external consultants and project implementers together make up the evaluation team. In the long run, evaluation will involve measurement of the impact of the project interventions on the situation prevailing at the outset. An example is the impact of health learning materials on the attitudes and practices of health workers.

Some Questions

- What data will be routinely collected?
- What indicators are you establishing for various targets?
- Who will monitor and analyse project information and how often?
- How will evaluations be scheduled and who will participate?

Module 7: Budget

Capital Costs
Recurrent Costs

How Much Will It Cost?

In the project budget, you will systematically enumerate the anticipated costs of planned inputs and activities. Although estimates must be realistic, keep in mind that a budget is a forecast rather than a definitive statement of costs and prices.

Most organizations differentiate between capital costs which occur only once during the life of a project, and operating or recurrent costs which recur regularly. An important characteristic of recurrent costs is that they usually continue beyond the project period and after external funding expires. Donors are generally wary of financing recurrent costs unless these are projected to drop substantially once a programme has been developed and established.

It is important to keep good notes stating the assumptions underlying your calculations. This is particularly true for budget items which constitute activities, such as workshops or evaluations. Although shown as one amount, the cost of a workshop is composed of several different types of expenditures, such as travel, per diem, honoraria.

Photo: International Labour Office



You will systematically enumerate the anticipated costs of planned inputs and activities

however, most line items in a budget refer to inputs, such as commodities (computers, cars) and supplies (stationery). Personnel costs are best broken down into individual positions and their salaries and emoluments, rather than presented as a global figure.

Budgets should include a contingency for unforeseen events and expenditures. Provision also needs to be made for inflation.

Donor requirements vary widely with regard to the currency in which the budget is to be presented: some insist on dollar budgets and others on local currency budgets. Yet others require that your budget estimates be presented in two columns, one for local currency (LX) and one for foreign currency (FX). You will need to consult the guidelines of your particular donors to be sure that you present the budget in the required form.

It is quite possible that you will not be able to find one donor to fund your entire project. Instead of writing several proposals to cover different aspects of the same project, you may simply divide up the costs between different donors. In this case, you can present a comprehensive budget which indicates the amount of money you are requesting from different donors as well as your own organization's contribution. If your contributions are in kind, e.g. premises, equipment, you should point this out in the budget notes.

Regardless of specific donor requirements, budget preparation can be quite easy if you use a comprehensive checklist such as the one below, to guide you.

Budget Check List

Capital Expenditure

1. Construction Office buildings;
 staff housing;
 training schools;
 health units; other
 construction.
2. Commodities Equipment; furniture;
 vehicles.

Recurrent Expenditure

3. Personnel Technical staff;
 support staff;
 consultants; casual
 labour.
4. Training Fellowships; study
 travel; workshops;
 refresher courses;
 correspondence
 courses; extension
 courses; other courses.
5. Travel Costs Train/bus/air fares;
 per diem, etc. for
 personnel and training.
6. Supplies Medical supplies;
 training supplies;
 vehicles; office
 supplies; printing and
 photocopying.
7. Maintenance Equipment; furniture;
 buildings.
8. Vehicle Running
 and Maintenance Operation and
 maintenance of vehicles.
9. Other Costs Utilities (electricity,
 fuel, water, rent);
 communications
 (telephone, telex,
 postage); licences and
 permits.
10. Contingency
11. Inflation

Here is how a project budget might look:

PROJECT BUDGET (state currency)

<u>Line Item</u>	<u>PY1</u>	<u>PY2</u>	<u>PY3</u>	<u>Total</u>
1. Personnel				
Medical Training Officer	100	110	121	331
Nurse Tutor	100	110	121	331
Secretary	50	55	61	166
Driver	50	55	61	166
2. Training				
1 Fellowship	1000	-	-	1000
5 Refresher Courses p.a.	500	550	605	1655
1 Regional Workshop	-	-	200	200
3. Travel Costs				
Support and Supervisory Visits	500	550	605	1655
4. Supplies				
Office Equipment	1000	-	-	1000
1 Vehicle	1000	-	-	1000
Office Supplies	500	550	605	1655
Photocopies	100	110	121	331
5. Vehicle Running and Maintenance (1000 km per year at .50)	500	550	605	1655
6. Other Costs				
Contingency	<u>1000</u>	<u>1100</u>	<u>1210</u>	<u>3310</u>
TOTAL	6400	3740	4315	14455

* Budget Notes

1. 10% inflation per year included.
2. Refresher course cost based on an average of 20 participants and one week duration.

facilitators' per diem	40
participants' room and board	40
learning materials	10
stationery	10

Total Cost Per Course	100
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3. Office equipment includes:

1 computer	500
1 photocopier	300
4 filing cabinets	200

Module 8: Annex/Profile of the Applicant

Organization Record of Achievements

And Who Are We?

In this Annex, you belatedly introduce yourself. This introduction should include a description of your organization. If you have a brochure about your institution or a suitable annual report, this may suffice. If not, produce a short paper which provides basic information about the nature of your organization, its legal constitution, number of employees and proportion of professional staff, the size of your budget, your major funding sources, institutional goals and key areas of operation, both technical and geographic.

In addition to the above general information, you should outline what your track record has been in relation to the type of project you are now proposing to implement. What has been your experience in planning, managing, implementing and evaluating such interventions? What have been your achievements in this area?

Finally, your proposal may be much enhanced if you include short resumes of staff already on board, or to be recruited, who will work on the proposed project.

SECTION TWO: PROJECT DESIGN FRAMEWORKS

There is now widespread use of certain techniques for presenting all essential project information in tables. For some donors, these tables are a compulsory part of the proposal. Others will ask you to use them when you make a preliminary submission.

The two most important ones are the Logical Framework (Logframe), pioneered by the US Agency for International Development, and now also used by German, Canadian and other aid agencies, and the Basic Project Elements Framework, developed and used by UNDP. In addition to serving as concise analytic summaries of the proposed project, these frameworks can be very useful for reviewing and discussing project design in small groups.

Logical Framework

The Logframe states causal relationships between goals, purpose, outputs and inputs, and the underlying assumptions about the factors affecting them. It encourages designers and planners to be specific, concrete and realistic in describing the relationships between ends and means. It also establishes a basis for project review by providing indicators which allow comparisons of actual and intended effects.

Basic Project Elements Framework

UNDP's Basic Project Elements Framework is based on the same principles as the Logframe but uses a different vocabulary. It specifies immediate objectives, outputs and inputs and reviews success criteria, verifiers and external factors for each item.

All these terms have already been discussed in the eight modules of the preceding section. Should your donors require a project design framework, you can ask them or the UNDP office to provide you with the relevant forms and instructions.

CONCLUSION

The chief purpose of this guide is to help develop marketable proposals. We trust that the preceding pages provide a useful overview of what needs to be done and how.

As with any other skill, you will only be able to develop competence as a result of experience and a lot of hard work. Do not be discouraged if you are not successful the first time. Perhaps you have not done justice to your idea in the way you have presented it. Perhaps you are courting the wrong donor or asking for too much money or putting the case forward at the wrong moment in time. After all, donors are business people and they do not give their money away lightly.

We suggest that you follow the steps outlined in this guide, using your own discretion depending on the subject of the project and the preferences of the donor. Once the planning and selling have been done, the battle is far from over. Rather, it is only just beginning.

The accepted proposal constitutes a contract between the donor and the implementers. However, there must be built-in flexibility to be able to modify the project design in response to experience gained during implementation. A well thought-out project strategy, a sound implementation plan and a good monitoring and evaluation system will go a long way towards ensuring the success of your project.