Palang Merah Indonesia

PMER Reference Book

Planning, Monitoring, Evaluation, and Reporting

Supported by:

American Red Cross

Book Title
REFERENCE BOOK
FOR PLANNING, MONITORING, EVALUATION, AND REPORTING

A guideline of program management in PMI organization, ranging from Planning, Monitoring, Evaluation, and Reporting. This book is devoted to PMI personnel at all levels, at Headquarter, Province, and District office, especially to those who are responsible to manage the organization/ program/project.

Adapted from various resources of International Federation of Red Cross and Red Crescent Societies (IFRC) and Project Management for Development Professional from InsideNGO.

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The book was adapted from a variety of references from:

International Federation of Red Cross and Red Crescent Societies-IFRC is the world's largest humanitarian organization, providing assistance without discrimination against nationality, race, religious beliefs, class or political opinions.

InsideNGO is a global association of more than 300 international organizations in the field of development and humanitarian. These associations share expertise, views, and best practices to strengthen the organization in order to support important missions amidst the changing dynamics of the world.

Acknowledgement

The PMER Reference Book has been developed by adopting and adapting various IFRC's resources, such as Project/Program Planning Manual, Project/ Program Monitoring and Evaluation Guide, and Framework for Evaluation. In addition, a book from INSIDE NGO, titled -A Guide to the Project Management for Development Professionals- also used as main source of concepts, principles, and inspiration. During the development process, the team has tailored this reference book into PMI Organizational context and needs. Therefore, PMI expresses high appreciation to the IFRC Geneva, particularly the Department of Planning and Evaluation, as well as INSIDE NGO.

This reference book aims to introduce the project/program management process in PMI organization context, ranging from the Planning, Monitoring, Evaluation, and Reporting. This book is devoted to PMI personnel at all levels, National Head Quarter, Province, and District/City, especially for those who have roles and responsibilities in managing organization/projects/programs, both Staff/Head of Office as well as board members.

This reference book introduces and discusses in detail all basic concepts, approaches/methods, measures, and instruments/tools or formats used in Planning, Monitoring, Evaluation, and Reporting. PMI at all levels can use them directly, but also can adapt to their organizational needs and.

Finally, we hope that this book can serve as source of knowledge in order to enhance PMI's personnel competence, especially in managing its project/ program and at the end will improving its performance to deliver better service to community.

Jakarta, April 2015
Secretary of General

Dr. Ritola Tasmaya, MPH

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Abbreviation and Acronyms

DAC	Development Assistance Committee
FWRS	Federation-Wide Reporting System
HNS	Host National Society
HR	Human Resources
ICRC	International Committee of the Red Cross
IFRC	International Federation of Red Cross and Red Crescent Societies
IT	Information Technology
ITT	Indicator Tracking Table
M&E	Monitoring and Evaluation
MoU	Memorandum of Understanding
NGO	Non-Governmental Organization
OECD	Organization for Economic Co-operation Development
PED	Planning and Evaluation Department
PMER	Planning, Monitoring, Evaluation and Reporting
PNS	Participating National Society
RBM	Results-Based Management
RTE	Real-Time Evaluation
SMART	Specific, Measurable, Attainable, Relevant, Time-bound
SWOT	Strengths, Weaknesses, Opportunities and Threats
ToR	Terms of Reference
VCA	Vulnerability and Capacity Assessment

INTRODUCTION

Why do project/program managers or PMI Head of Office need to master PMER?

Indonesian Red Cross (PMI) will celebrate its 70th birthday on 17 September 2015. In this 'mature' age, it is important for us to reflect on the extent to which this movement has delivered impact and benefits to those people we serve. PMI have done many things for a better Indonesia, especially in blood donation service, disaster response, and other social services. However, we also realize that in some parts of Indonesia archipelago, there are PMI provinces/districts that are need to work harder to roll out its mission and mandate.

Concerning Planning, Monitoring, Evaluation, and Reporting (PMER) capacity, in December 2012-January 2013, PMI Headquarter collected data from 33 provinces and 300 districts/cities. The assessment results are including:

- ✓ The planning process were delayed in more than 50% of PMI District/City (generally took place on February to May of the ongoing year), and therefore the annual planning is ineffective and does not in line with government planning schedule.

- ✓ The main obstacle of the planning process is the absence of guideline as well as inadequate skills among staffs (which is needed to be strengthened by PMI Headquarter/Province)

- ✓ As results, more than 40% of PMI District/City do not conduct its Annual Planning Meeting; often the annual work plans are basically list of activities rather than objective based activity, there's lack of planning synergy between province and district, and ultimately ineffective to contribute to the national strategic objectives, organizational mission and vision.

- ✓ PMI Province/District/City facing difficulties in operationalizing the 2009-2014 Strategic Plan as there were a lot of overlapped statements between the Mission, Strategic Objectives, program and activities, as well as the absence of performance indicators to measure its success.

- ✓ It is also very difficult for PMI Headquarter to collect the data from Province and District/City and as result information is inadequate for organizational management (for instance to develop an annual report for Annual Planning Meeting or General Assembly). Further, in some occasions such as IFRC international conference, data from Indonesian Red Cross (PMI) was not available. Therefore, it is very critical to improve the reporting capacity, guideline, as well as the tools.

- ✓ Almost 90% out of 300 Districts/Cities do not have a standard Monitoring and Evaluation (M&E) system and mechanism in place. This has affected program performance as well as its relationship with partners.

The assessment results were presented at the National Planning Meeting on February 2013, in Yogyakarta, and the following recommendations were made:

- ✓ It is important to establish a planning cycle (schedule) and issuing planning and reporting policies to be implemented at all levels.

- ✓ Planning between levels (headquarter, province, and district/city) needs to be more synergized.

- ✓ PMI headquarter need to improve PMER capacity at province and district/city through workshops or training or mentoring.

Reflecting on those facts above, specifically related to Planning, Monitoring, Evaluation, and Reporting capacity, there are four main questions that we need to reflect and answer honestly.

1. Since PMI exist in your Province/District/City, how does the planning process take place? How was the strategic plan or operational plan or annual work plan developed? Was the planning based upon facts/ information? Whether it is in accordance with standard planning practices? Was it participatory process?

2. What reports are available at the PMI Headquarters/Province/ District/ City? What reports that you send to PMI at a higher level? What reports were sent to your partner/donor/government? How is the quality of those reports in terms of data completeness and accuracy, timeliness, as well as its packaging?

3. As we witnessed nowadays, there are thousands of humanitarian organizations exist in the world as well as in Indonesia. Generally, they have good system in place, such as organizational systems, human resources, as well as strong financial capacity. In this environment context, what would enable PMI to survive or compete with them? Will PMI able to stand upright in such tough 'competition'?

4. With all its internal dynamics as well as challenges from external, what is the PMI's strategy to be an organization that is accountable and trustworthy by the government, donors, communities, and other stakeholders?

Project/program's challenges in development/humanitarian sector

"When you are working in PMI, what is your dream of changing the world?"

As an organization working on humanitarian or development sector, PMI should actualize its vision and mission through sustainable projects or programs. For instance, blood donor services, disaster management, as well as health and social services, both in times of emergency and non-emergency. **What are you doing right now?** Surely, **you are managing and implementing a program or project,** which ultimately aims to change the world, for the better, is not it?

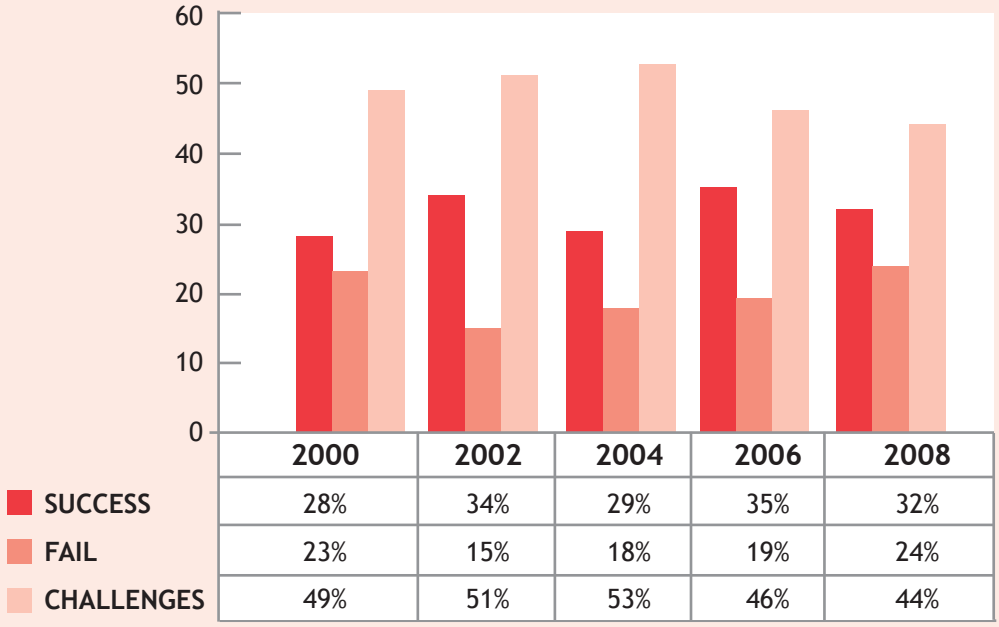
PMI is not alone. Hundreds of thousands of organizations engaged in the development sector, including the government, globally working to change the world in a variety of fields, such as health, disaster preparedness, education, agriculture, microfinance, environmental conservation, affordable housing, infrastructure, and human rights. They are all share one thing in common: **They change the world through project/program!**

Working on development/humanitarian sector has its own challenges, more difficult and complex as it is very much related to promoting social change, behavior change, economy, education and culture, which ultimately leads to improvements in the human well-being. In addition, development project/program tend to operate in exceptionally challenging contexts such as problems of poverty, inequality and injustice, limited resources and organizational capacity, internal dynamics, policy/regulation, unstable political and interest, even unsafe conditions.

Speaking about challenges affecting project/program success/failure, we need to learn from Standish Group who conducted survey to over 10,000 Information Technology (IT) Project in 2008. The findings are as follow.

1. **SUCCEEDED** projects (arrive on scope, on budget and on time) = 32%
2. **FAILED** projects (terminated early or abandoned in the mid-way) = 24%
3. **CHALLENGED** project (completed but fail to meet the original scope, budget and calendar) = 44%

Diagram 1. IT Project Success Rate



	2000	2002	2004	2006	2008
SUCCESS	28%	34%	29%	35%	32%
FAIL	23%	15%	18%	19%	24%
CHALLENGES	49%	51%	53%	46%	44%

Compared to the development project/program as described above, probably IT projects relatively simpler, in terms of both results and objectives as well as the context and other factors affect it. This means that the possibility to fail in the project/program of development/humanitarian sector could be higher.

Another example, one well-known international NGO, faces significant challenges in implementing its project/program in many parts of the world. Over a period of one year: 70 programs were overspent by more than 10%; 235 projects were overspent by more than 10%; the amount of project overspend was over 15,000,000 pounds (IDR 300 billion). At the end of the year 89 projects had overdue its milestones.

PMI also experienced this. For example, in partnership with a supporting national society, within the recent three years, from 11 projects implemented in the various regions, of which there are six of two-year project facing difficulties, both on budget and schedule/time management.

When those projects have reached its end (i.e., two years), that spending rate only less than 60%, and there were many activities have not been implemented yet, so as the results have not been achieved. This has caused by variety of things, such as inadequate project/program management capacity, lack of knowledge and technical skills, organization internal dynamics that create less conducive for project/program implementation, limited support and participation from various stakeholders.

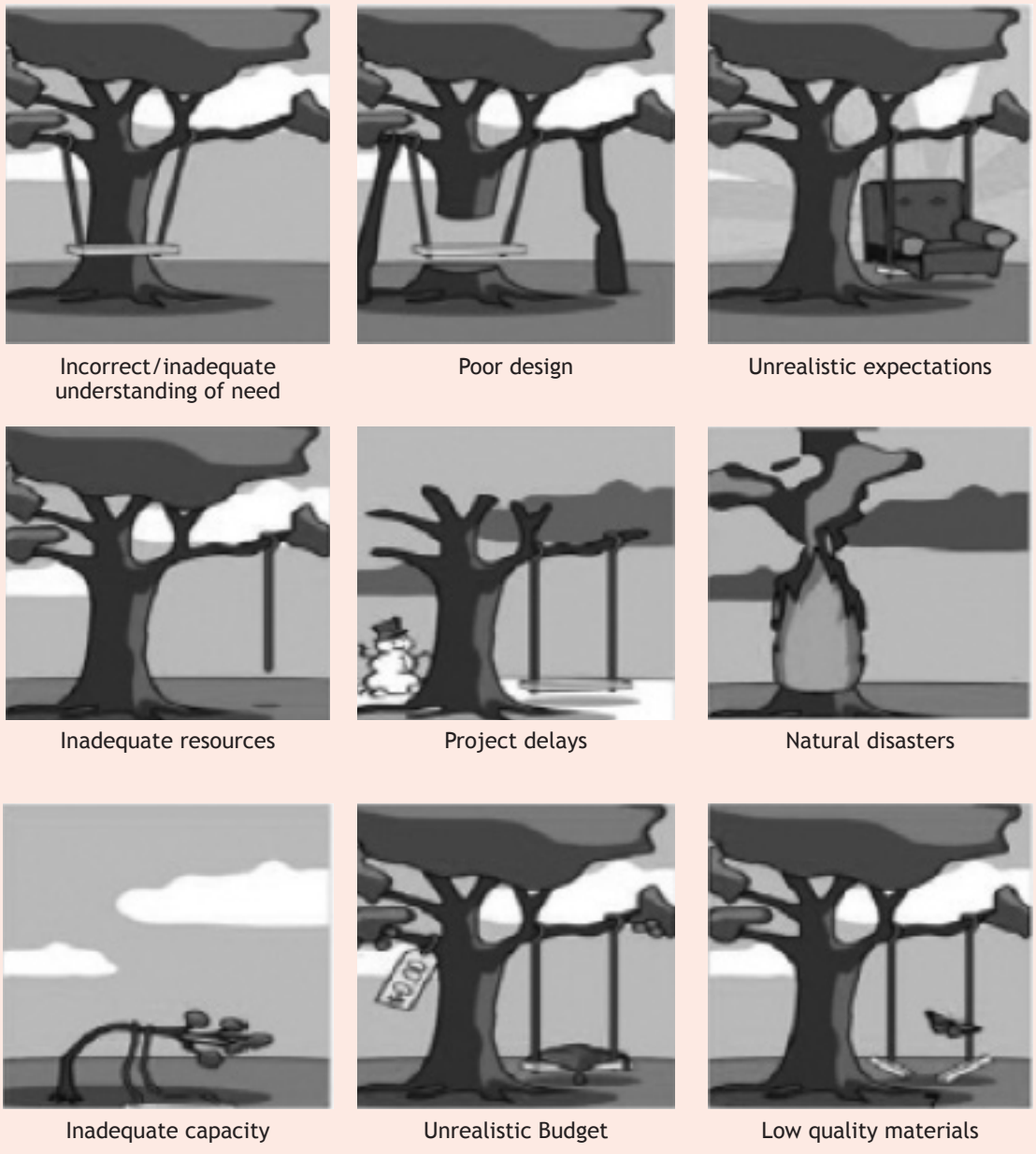
This judgement, however, mainly in terms of quantity, namely the execution of planned activities and budget absorption. If we try to examine the implementation quality or the achievement of project performance indicators at output, outcome, and goal level, it will be much more apprehensive.

Consequently, those six projects require approximately 30-70% additional time to complete the entire project activities and achieve the expected results. Although and time extension is one of a good solution, however, such experiences will affect PMI accountability to society and donors or other stakeholders.

What makes project/program become challenging or even fail?

This graphic serves as illustration of just some of many challenges that could threaten the success of a project/program.

Diagram 2. Illustration of Project/Program Failure Causes



The illustration above express various situations that can occur due to poor project/program management. List of those challenges in the illustration above is not a comprehensive picture because many other unexpected factors that may occur.

For example: internal dynamics within the implementation team, lack of support from senior management/board members, monitoring system is not in place, accurate and timely information is not available, unreliable vendors, limited support from stakeholder, political, security, and economy instability.

Therefore, project/program management competence is vital to anticipate and address those various challenges, obstacles, and problems as mentioned above.

Required competences of a project/ program manager or PMI Head of Office

It is not over stated if we say that the lives of millions of people often depend on the ability of development or humanitarian organizations to deliver results effectively and efficiently. Therefore, PMI existence is expected to increase the wellbeing of communities it serves.

While in fact, project/program management is rarely regarded as a major/ vital strategy to improve the organizational performance. Generally, the development/humanitarian organizations (including PMI) tend to focus on technical programmatic areas.

In PMI, for example, there are many technical training provided to increase its personnel technical capabilities, such as first aid, assessment, emergency response, restoring family links, relief distribution, water and sanitation, public kitchens, as well as temporary shelter.

There are many personnel in PMI both staff and the head of the offices were given responsibility to manage project/program, while they actually do not have extensive experience and skills in management.

Lack of skills and expertise of projects/programs management are often the major roots of difficulties or even failures to achieve the intended results. However, too often that failed projects/programs are chalked up as the victims of circumstances that were “out of project/program team control.” While this explanation might be valid at times, too often it is used as an excuse of why project/program fails to meet its objectives. Manager and team fails to acknowledge that risks could have been better anticipated, analyzed, and actively managed.

Project/program management is combination of science and art. If those two are not adequate then will cause ineffective project/program management and implementation in its attempt to achieving the expected results and objectives. Head of office or project/program manager is a very strategic position for organizational or program management. Therefore, a head of office or project/program manager must have the following competencies.

You are never given a wish without also being given the power to make it true.
You may have to work for it, however.

-Richard Bach

Table 1. Description of Project/Program Managers (Head of Office) Competencies

Areas of competency	Competency description
Leadership/ Interpersonal	***Head of office or project/program manager able to:*** ✓ Communicate vision, mission, and expectation to those people he/she leads ✓ Envision the "big picture' of organization's portfolio ✓ Promoting 'buy in' from stakeholder (both internal and external) ✓ Communicate proactively ✓ Listen actively to collate ideas/aspiration/inputs ✓ Motivate team members, including volunteers to achieve goals
Personal/Self-Management	***Head of office or project/program manager:*** ✓ Have organizational skills, especially in non-profit/development/ humanitarian sector ✓ Attention to detail to ensure the quality ✓ Analytical, logical, and rational thinking ✓ Self-discipline, including good time management.
Technical competency	***Head of office or project/program manager able to:*** ✓ Develop objective based work plan ✓ Proactively manage project/program activities and its results ✓ Identifying all required activities for project/program success ✓ Manage overall schedule to ensure work is on time ✓ Monitor and evaluate the project/program progress ✓ Identify, monitor, manage, and resolve risks and issues during the project/program implementation ✓ Produce high quality reports and disseminate them proactively to all stakeholders ✓ Establish and implement logistic systems and assets management. ✓ Ensure the project/program quality meeting the standard
Understand development/ humanitarian sector	***Head of office or project/program manager:*** ✓ Understand development/humanitarian sector values, principles, and paradigms ✓ Understand the different stakeholders involved ✓ Understand the complexity of development/humanitarian sector environments ✓ Work effectively with an array of implementing partners ✓ Cope with pressure which may arise from environment/ stakeholders ✓ Exhibit cultural sensitivity

This reference book, however, will not discuss all of the above areas of competence, but technical competencies to manage a project/program. PMI works often difficult and therefore competent head of office and staff to manage the organization and its programs in a professional manner is essential.

Section I

INTRODUCTION TO PROJECT/PROGRAM PLANNING

1 Introduction to Planning

1.1. Defining Terms in Planning

Before a more in depth discussion on Planning, Monitoring, Evaluation, and Reporting or project/program management, we need to understand a few key terms that will be used in this book. Thus, we can understand the strategic plans, operational plans, projects, programs, activities, and tasks consistently in one context.

Table 2. Explanation of Key Terms in Planning

Strategic Plan	
is high level planning which produced through a planning process of deciding where an organization wants to get to and why, then choosing from the different courses of strategies to ensure the best chance of getting there. It usually covers the long-term period roughly a minimum of five or ten years.	**Example** ✓ PMI Strategic Plan for 2014-2019 ✓ IFRC 2020 Strategy ✓ Long Term Government Planning
Operational Plan	
is the process of determining how the objectives spelt out in the strategic plan will be achieved "on the ground". This is done by identifying or refining more detailed objectives at each goal or objectives in the strategic plan. These objectives can then be grouped and organized into "work plans", "programs" and "projects". Operational plan usually covers the short term (between a year up to three years).	**Example** ✓ PMI Operational Plan 2015-2019 ✓ PMI NHQ/Province/District work plan for 2015
Program	
is a set of coordinated projects implemented to meet specific objectives within defined time, cost and performance parameters.	**Example** Examples include a health programme consisting of HIV and AIDS project, Community Based Health and First Aid project, a Disaster Management programme consisting of a Resilient Community project, a Disaster Prepared School, and Post Command Development project.

Project	
is a set of planned and coordinated activities implemented to meet specific objectives within defined time, cost and performance parameters. Projects aimed at achieving a common goal form a programme.	**Example** Community Based First Aid project to expand the reach of first aid in a region or a Disaster Risk Reduction project to increase awareness of disaster preparedness and response measures. These projects would consist of various activities, like those described below.
Activity	
is a combination of several tasks required to be done to deliver product/result/services. To be well done, an activity is needed to be planned in detail.	**Example** Training for Disaster Response Team, health promotion/ education, disaster drill, organizing a community meeting, developing communication materials, providing orientation for volunteers, or organizing the distribution of relief supplies.
Task	
are the simplest actions that make up activities.	**Example** Examples of tasks for a training include preparing training materials, sending invitation to participants, arranging venue, preparing assignment letter, checking a training toolkits, printing participants manual, and purchasing stationary.

PMI personnel, especially in some areas, prefer to use “program” for a project because of project has a “less positive” connotations. A ‘project’ often perceived with “a lot of money”. Hence, with the explanation above, PMI personnel are expected to understand the definition of programs and projects clearer and can use these terms appropriately.

In this reference book, project and program will be written as “project/ program” which means that the discussion provided applies to both, but does not intend to equate the notion of both.

1.2. Project/Program Cycle

For development project/program to succeed, it is critical that the full array of project management competencies be applied in a balanced way through the entire life of the project/program. To this end, many development organizations have developed project/program life cycle diagrams which they use to identify the phases through which their project/program pass from beginning to end. The cycle describes assessment, planning, implementation, monitoring and evaluation. Together, these cycle phases identify the logical sequence of activities that accomplish the intended goals or objectives.

Project/program life cycle diagrams can vary considerably, however, their objectives are the same. By grouping activities into a project/program life cycle sequence, the project/program manager (head of office) and the core team can:

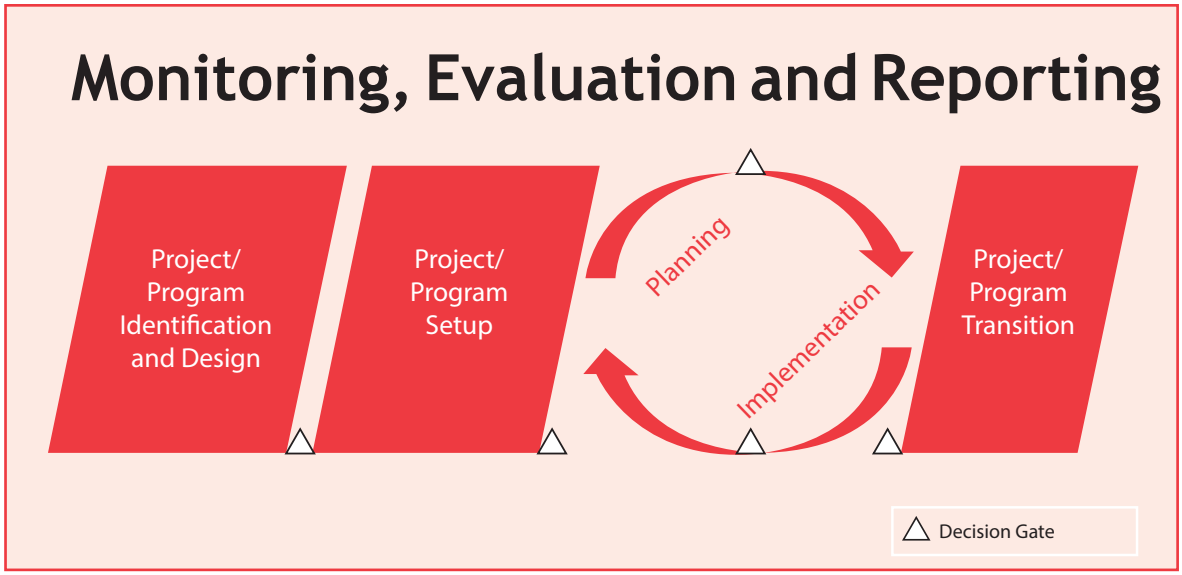
- ✓ define the phases that connect the beginning of a project/program to its end.
- ✓ identify the processes that project/program teams must implement as they move through the phases of the project/program life cycle.
- ✓ illustrate how the life cycle or phases can be used to model the management of project/program.
- ✓ model how projects work within an environment of 'constraints', including time, resource, and scope; where changes to any one constraint will result in consequential changes to the other parameters.

This reference book adopts the phase model in the PMD Pro Manual developed by INSIDE NGO[1] to help managers and core team to understand those four items above easier. This model is not meant to replace any specific project/program life cycle model, instead, its purpose is to provide a balanced and comprehensive project/program phase model that covers the entire life of the project/program.

1 INSIDE NGO is a professional institution that have developed various guidelines for project/program management in development sector, one of them is A Guide to Project Management for Development Professionals.

Too often, development organizations, such as PMI, have placed an especially strong emphasis on project Design, Monitoring and Evaluation, but this emphasis has sometimes overshadowed the importance of other phases in the life of the project/program. Clearly, strong design and M&E is necessary. However, it is not sufficient to guarantee project/program success. This is has to be changed by commit to investing similar levels of resources and effort in all the phases in the life of the project/program. Following diagram includes all phases of a project/program.

Diagram 3. Project/Program Cycle



Within the phase model in the above diagram, there are six phases take place in a project/program life period. These phases will be briefly explained and will be discussed further in detail.

Project/program identification and design phase

Identification Phase - It is process to understand the current situation and to define whether not a project/program is needed. At this phase, PMI identify needs, explore opportunities, and analyze the organization capacity and environment through an initial assessment. Initial assessment is conducted by identifying key factors, which affect the current situation including issues, and it causes, needs, interest, capacities, and challenges from each of existing stakeholders. Identification phase is done through initial assessment, analysis (SWOT analysis, Stakeholder Analysis, Problem Analysis, and Objective Analysis).

Design Phase is a process to design project/program framework by determining its intended objectives, inputs, and activities required to achieve them, indicators to measure its achievements, and key assumption which could affects the project/program success. At this phase, PMI start to develop a frame for project/program work plan or logical framework (log frame).

The ultimate product of this design phase is description of work plan that is in line with PMI Planning and Reporting Guideline. In addition, the result could be a project/program proposal, which articulates log frame, means of implementation (strategies and activity components), detail implementation plan, M&E plan, and estimated budget and required resources.

Project/program Setup

It is during this phase that a project/program is officially started. Ideally, there are three things needed to be prepared.

First, prepare a project/program charter or a document provides a high-level description of a project/program, such as objectives and expected results, budget and time line, number of beneficiaries, potential risks, tolerance or acceptable change, as well as the project/program management structure. This document is important to ensure common understanding among all organizations entities and stakeholders towards the project/program.

Second, the project/program management structure along with specific tasks and functions of each team member. Thus, the division of roles and responsibilities clearly understood by all parties.

Third, project/program launching (informal or formal) to acknowledge the beginning of a project/program. This activity is often referred to as “start-up”. While this activity is ceremonial, but it is important to be done, especially to ensure that key stakeholders have a consistent understanding of the PMI works (projects/programs). Therefore, PMI can obtain necessary support during the project/program implementation.

Project/program Planning

Based on the initial proposal or work plan, at this Planning phase, team will develop a activity implementation plan which is detail and comprehensive. During the design phase, work plan often contains key activities, while in this phase those activities will be detailed into a set of tasks required to be done within a narrow time line (for instance in weekly basis). This Planning stage will cover scope, time, and resources, stakeholders, and risks management.

This plan will be used as guidance for project/program team to undertake all activities and works which are required along the project/program implementation. This planning not only done at once, but iterative. It means that this work plan will be revisited periodically, and adjusted when needed. Therefore, project/ program planning and implementation remain relevant to the existing needs and context. At the end, this phase will produce “Project/Program Detail Implementation Plan” which is details and comprehensive.

Project/Program Implementation

The day-to-day work of project/program implementation is to lead and manage the application of the project/program implementation plan. In this phase, head of office or project/program manager leading the team, dealing with issues, managing the team and creatively integrating the different elements of the project/program work plan.

During the implementation, various activities are undertaken to achieve the expected results and objectives. Implementation guidelines are usually specific for each project/program area, such as water and sanitation, first aid, organizational development, or emergency response. Therefore, such detailed project/program specific implementation guidelines can be found in PMI resources.

Project/Program Monitoring and Evaluation

Monitoring is a routine collection and analysis of information to track progress against set plans and check compliance to established standards, and it helps identify trends and patterns, adapt strategies and inform decisions for project/program management. Monitoring plan and its mechanisms should be designed at the design and planning phase to allow adequate time, resources, and personnel to collect data related project/program's progress. This progress report can inform decision making on whether a project/program needs to be changed or not, or need to be adjusted to its operating context. In essence, monitoring occurs continuously to determine progress and identify corrective actions if there is a mistake or a significant deviation from the original plan.

Evaluation is "an assessment, as systematic and objective as possible, of an ongoing or completed project/program including policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, developmental efficiency, effectiveness, impact and sustainability of a project/program. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process by both project/program team or donor. Evaluation inform the planning process, whether to continue the similar project/program in wider area (replication) or modifying the means of implementation of the same project/program in the same area or elsewhere.

End of Project/Program Transition

At this stage, the team will implementing all the transition activities that need to occur at the end of a project/program. Such activities include communicating deliverables/results with stakeholders, including beneficiaries, identifying important lessons learned and experiences, and completing the administrative, financial, contract, closure activities, etc.

Note, in particular, the small triangles that appear in several places on the phase model. These are called 'Decision Gates'. As project/program progress through the six phases, the team must periodically make sure that the project/program is still contributing to the changes and producing the results that were intended. If this is not the case, team should consider to revisit the project/program strategy, or to identify activities that are needed to be added or reduced.

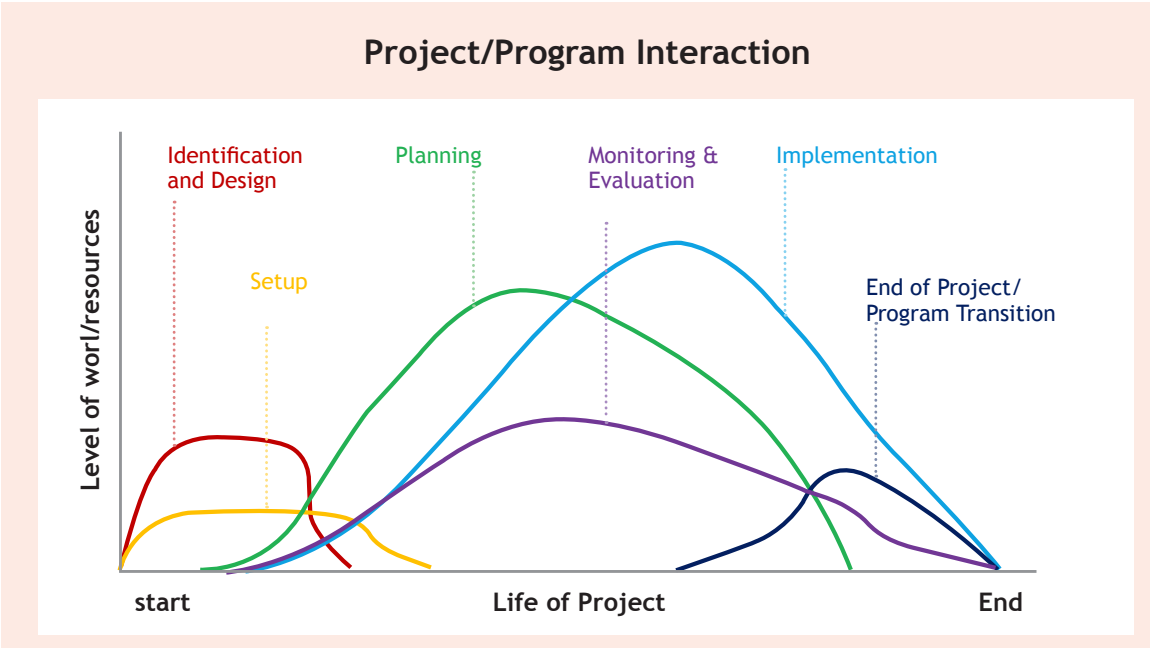
Further, the team need to ensure that the project/program's continuation is justified or, if needs have changed, to possibly even cancel or terminate the project/program.

The six phases model gives the impression that the phases are discrete and sequential. While in reality, they interact and overlap.

For example:

- ✓ Already in the project/program identification and design phase, extensive works is being completed to prepare implementation plan and M&E plan.
- ✓ Monitoring is taking place throughout the project life; while evaluation takes place in the midterm or at the end.
- ✓ Throughout the implementation, activities will take place to ensure efficient closeout when the end of project/program transition phase arrived.

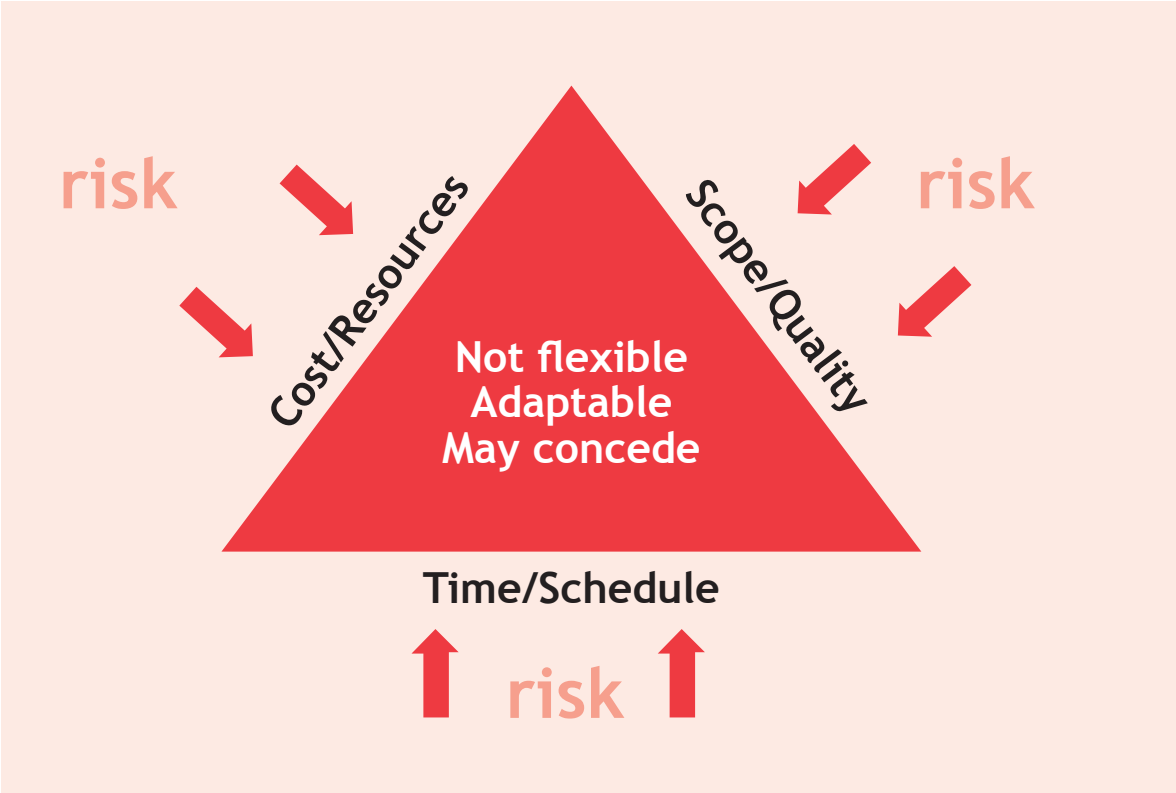
Diagram 4. Project/Program Phase Interaction



1.3. Constraints in Projects/Programs

The following diagram illustrates the interaction clearly; it shows how the phases overlap with other phases.
In addition to understand project/program cycle or phases, a manager or head of office should aware of project/program constraints. These constraints often called “Triple Constraints” which is explained further.

Diagram 5. Project/Program Constraint Triangle



Scope/Quality - What are the products or services that the project/program will produce and what is the work required to produce these deliverables?

Cost/Resources - What money, materials and effort are available to deliver the project/program’s product/services and to complete the comprehensive work of the project and meeting the expected quantity and quality?

Time/Schedule - What is the amount of time required to complete the components of the project/program?

It is the task of project/program manager (or head of office) to ensure that the triple constraint triangle stays in balance. As you could see that each of the constraints is connected to the others. Whenever one of these constraints is restricted or extended, the other constraints will also need to be extended/increased or restricted/reduced.

The manager needs to understand the relationships and trade-offs that exist between each of the constraints. The three basic classifications for the constraints are:

- ✓ **Inflexible** – indicating that the constraint is critical and must be constrained. For instance, money cannot be added or reduced.
- ✓ **Adaptable** – indicating that the constraint is negotiable, but should be optimized as much as possible. For instance, when it is possible, time could be added or scope could be reduced.
- ✓ **May concede** – indicates a constraint where trade-offs can be made in order to manage the inflexible constraint or optimize the adaptable constraint, or in other word: 'optimize the constrains which is adaptable. For instance, scope (in quantity or quality; a target for example) could be adjusted to be achieved in a time interval which is not flexible.

By clarifying the classification of each of the constraints, the project/program manager can enter into discussions with all project/program stakeholders to frame a dialog and to drive a discussion on setting priorities. It is important to get this priority trade-off established and agreed to by all stakeholders before the project/program started. It is also important to agree on how far the tolerance and flexibility could be made in the future. Trying to negotiate this trade-off after the project/program is launched is often difficult or impossible.

1.4. Levels of Planning

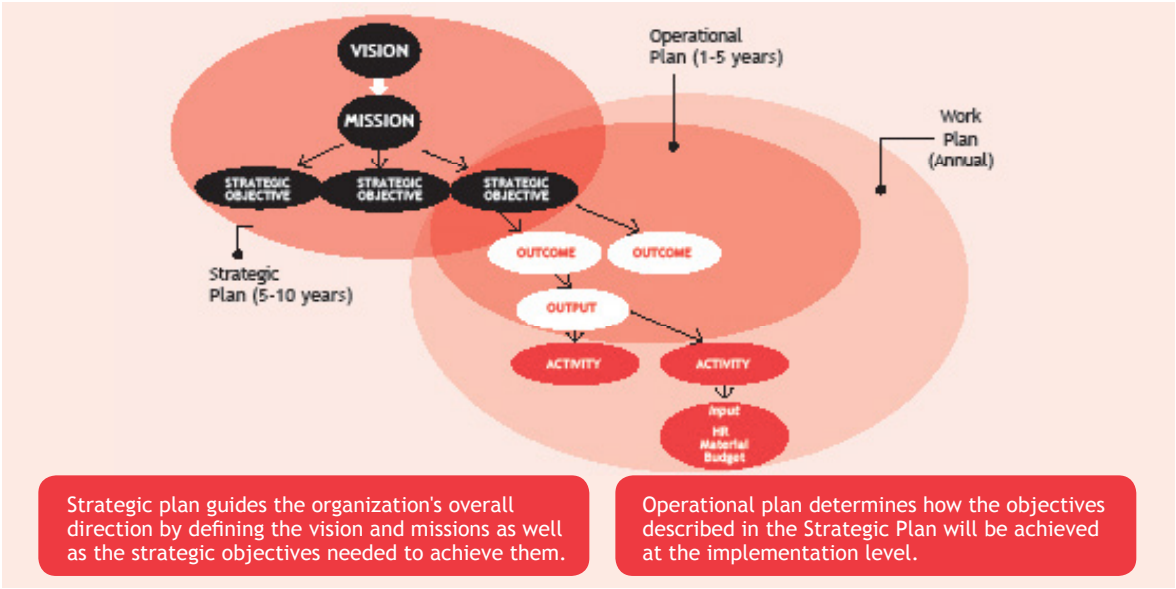
Planning consists of **determining** solutions to an **unsatisfactory** situation by identifying the results that will best address identified problems and needs, and the **actions and resources** required to achieve those results. **It is the foundation of good performance management and accountability.**

Planning can also be seen as a process of choosing from the different courses of action available and of prioritizing the steps to take in order to change a particular situation for the better. Usually, time and resources (material, financial, human) are limited. Therefore, prioritization has a direct consequences on an organization's ability to improve or resolve a problematic situation. This is why planning is so crucial, especially in an organizations with limited capacity.

Frequently, planning is considered a difficult exercise, complicated and inaccessible or a matter reserved for specialized technicians with specific qualifications. However, in reality, we plan all the time in our daily lives: planning for weekend activity, organize a party or a trip? In these and many other aspects of our lives, we have to plan what we want to do and with whom, which steps to follow and what we need to get things done.

Although almost anything can be planned, the ways in which we make plans and implement them are not always the same. Different levels of planning have to be established according to the aims of the planning process. In the International Federation of Red Cross and Red Crescent, including PMI, a distinction is made between "strategic" and "operational" planning. Both are integral parts of the overall process of setting priorities and targets for the organization.

Diagram 6. Strategic Plan and Operational Plan Scheme



1.5. Strategic Planning

Strategic planning is the process of deciding where an organization wants to get to and why, then choosing from the different courses of action available to ensure the best chance of getting there.

It helps an organization to define a clear way forward in response to emerging opportunities and challenges, while maintaining coherence and long-term sustainability. The strategic objectives should be linked to prioritized sectors of intervention based on the capacities of the organization and other stakeholders and should include a time- frame and outline evaluation mechanisms.

One of the key functions of the strategic plan is to guide and influence the development of more detailed planning at the operational level. Therefore, a strategic plan is a key reference for project/program managers when designing, implementing and evaluating its performance. It usually covers the long term planning (roughly a minimum of four to ten years).

1.6. Operational Planning

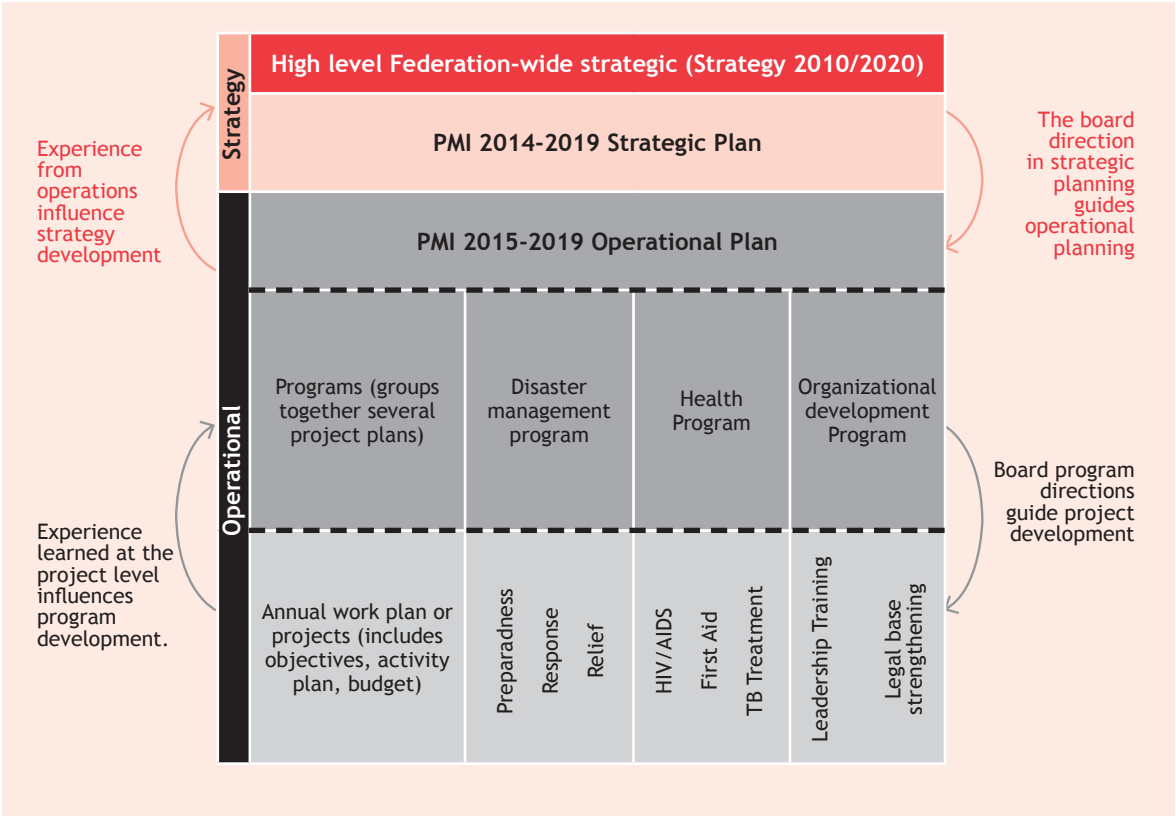
Operational planning is the process of determining how the objectives spelt out in the strategic plan will be achieved “on the ground”. This is done by working through a series of steps, identifying or refining more detailed objectives at each level, linked to the objectives in the strategic plan.

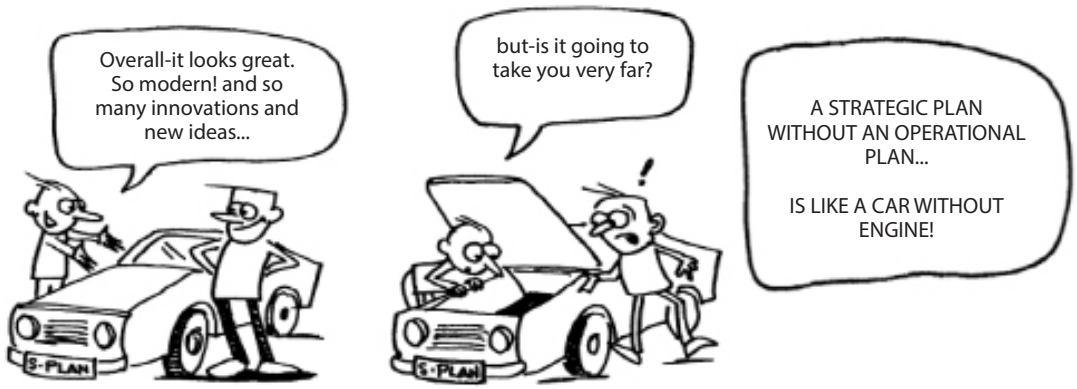
These objectives can then be grouped and organized into “work plans”, “programs” and “projects”. Operational planning usually covers the short term (between one year to five years).

In order to translate strategic objectives into practical results, the required actions need to be planned (in a work plan), along with their costs (in a budget), how the work will be funded and who will carry out the work (resource mobilization plan).

The relationship between strategic and operational planning is also a cyclical process, with the experience from operational planning being used to inform strategic planning, and strategic planning then informing the general direction of operational planning. Operational plans are often made up of several "programs", which are in turn made up of several "projects". Likewise the relationship of strategic plan and operational plan, program also informs the projects implementation. On the other hand, projects implementation inspires program development.

Diagram 7. Relationship between Strategic Planning and Operational Planning



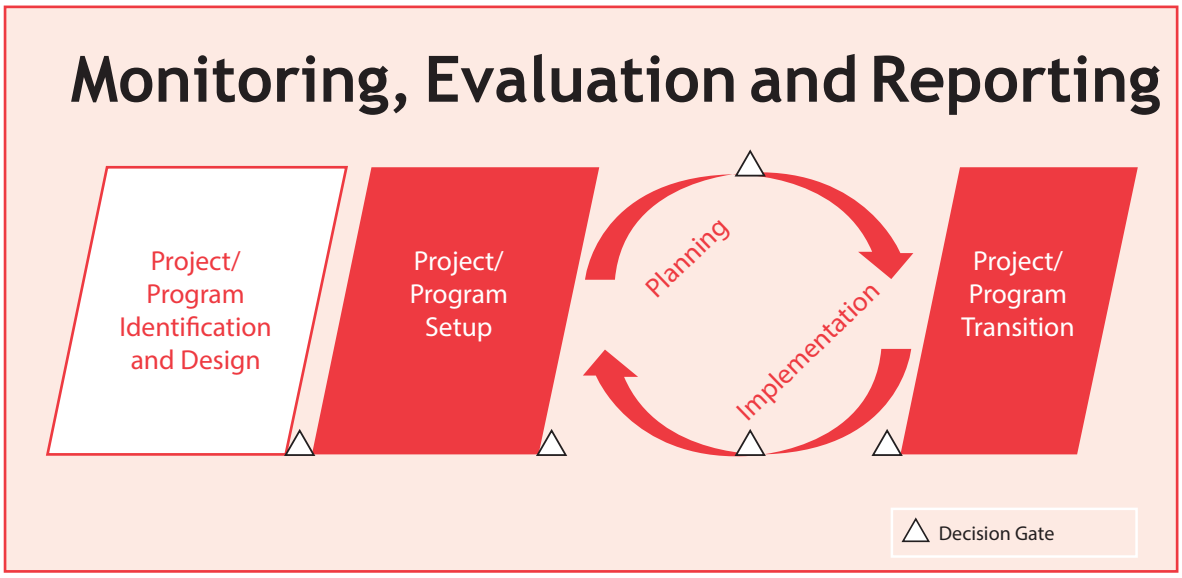


Both of these plans should be inspiring, specific, integrated, concise, rational, logic, and measureable.

Section II

PROJECT/ PROGRAM CYCLE

2 Project/Program Identification Phase



2.1. Initial Assessment

All projects begin as an idea – a need or opportunity that is assessed, analyzed, and ultimately developed into a project/program. It is during this process that we begin answering the critical question **'are we doing the right project/program?'** Get it wrong here, and the project/program will be wrong for a long time – even if all of the work of the project is planned and implemented well. Get it right, and you may be half way there.

During the identification and design phase, time, resources, and efforts are invested to define needs, explore opportunities, analyze the project/program environment, cultivate relationships, build trust, develop partnerships and design a project/program to address the problem in the targeted areas.

Therefore, this phase should be done correctly, otherwise, scopes, time and resources estimation in the project/program design will be mistaken. Once a project/program has been implemented, it will become much harder to make any changes to those three parameters. Therefore, it is important that a project/program manager (head of office) gather and analyze data to inform decision making during identification and design phase.

2.1.1. Collecting Data

Identifying project/program needs

As part of this broad exploration process, PMI head of office and staff will need to collect data that identifies **organizational and community needs** in the potential intervention area. This data collection must be done through triangulation of source and method to obtain objective and accurate result.

One way to triangulate the process of needs identification is to use an approach introduced by American sociologist, Jonathan Bradshaw. He believes that needs assessments should explore four types of need in a community and that the presence of all types of needs would indicate a "real" need. With this approach, the **'real' need could be identified correctly**. Following is the four category of social need.

a. **Normative needs** - compare the current situation to a set of professional or expert standards (such as physicians, nutritionist, engineers, public health professionals, disaster expert, etc.). For example, a sanitation expert might indicate that rates of fecal matter in household water are above the standard established by the ministry of health; shelter construction should meet Public Works' standard; under five baby growth should meet the standard by nutritionist; baby should get complete basic immunization before celebrating their first birthday based on World Health Organization (WHO) standard.

b. **Comparative needs** - compare the current situation with the situation of others. One of the most common uses of this approach has been the comparison of people's access to resources. For example, diarrhea cases in higher in the villages with insufficient sanitation facilities compare to villages which has them; flood impact is more severe in village which has no early warning system compare to other villages with well function early warning system; ability to provide sufficient blood product in Blood Transfusion Unit (BTU) in District A compare to BTU in District B.

c. **Felt needs** - focus on the thoughts and dreams of the community itself. What the people themselves believe should be the priority. A felt need is likely to be subjective and could be better described as a 'want'. Felt need is necessarily affected by the knowledge and expectations of the individual, which may be unrealistic and/or unaffordable. For example, community wants to build meeting point building in every sub village.

d. **Expressed needs** – are inferred by observation of the community's actions. Community members often indirectly show that they need something and we could observe their actions. For example, mothers willing to go to the public health center which is far away to vaccinate their babies, long queue to health services, community start to identify waste disposal points, community start to agree upon early warning sign for disaster.

Normative needs often become the top priority and then the comparative needs. When these needs are not met, it would tend to create problems in the future. Identifying felt and expressed need could be as a way to confirm whether the first two needs is real. With this approach, PMI and the community will be able to identify the real needs to be effectively addressed.

2.1.2. Types of Data Collected during Assessment

The data collection process, however, is not limited solely to defining needs, but also to fully understand the project/program context and environment. Therefore, the project/program team will need to collect data regarding a number of areas, including, but not limited to data related to:

- ✓ Organizational capacities, experiences, successes, weaknesses
- ✓ Local stakeholders capacity (government, community, other institution)
- ✓ Community strengths, opportunities and vision
- ✓ Biological/physical environment
- ✓ Organizational networks (PMI partners)
- ✓ Infrastructure (system, facilities)
- ✓ Legal, policy and political institutions
- ✓ Social and cultural conditions

In each of these areas, there are three types of data that may be collected:

- ✓ **Secondary data** – is data that is collected not specifically for the project/program we intended to design. Information available through published and unpublished sources, including literature reviews, surveys, evaluations, assessments, reports from NGOs, UN agencies, international organizations and government offices. Secondary data (both quantitative and qualitative) can be very cost effective and should be the first sources accessed for assessment data. Unfortunately, access to secondary documents is often limited and care is needed when interpreting secondary data.

Sometimes selective primary data collection will be necessary to verify the reliability and relevance of secondary data to the specific context, or to obtain deeper, more specific information.

- ✓ **Primary quantitative data** – primary data is data that is collected specifically to be used for a project/program design. In situations where secondary sources do not provide sufficient assessment information, PMI can collect data via quantitative assessment approaches (surveys, questionnaires, tests, standardized observation instruments) that focus on information that can be counted and subjected to statistical analysis.

- ✓ **Primary qualitative data** – In contrast to quantitative data approaches, qualitative approaches seek to capture participants' experiences using words, pictures and objects (and even non-verbal cues provided by data providers).

Combining secondary and primary data as well as both qualitative and quantitative methods is the best way to gather a more comprehensive and accurate (high quality) information.

Regardless the type or methods or approach you use to collect data, before starting the data collection, you need to ask 'how will this data be used?' If there is no acceptable answer to the question, do not proceed. Time and resources are too valuable to be wasted in useless exercises.

Regrettably, many assessment exercises have collected extensive data which have produced large documents that often sit on the shelf "collecting dust." These documents are a poor use of resources, can be an intrusion on the lives of stakeholders, and create false expectations that could damage important partner and/or beneficiary relationships.

As a conclusion on data collection, you must gather data effectively, by:

- ✓ collect only the data that you need
- ✓ using secondary data as much as possible,
- ✓ triangulate the sources or methods.

The time is always right to do what is right.

-Martin Luther King, Jr.

2.2. Analyzing Data

After data collection during the initial assessment, it will be analyzed to consider the needs, interests, resources and capacities, desired objectives/ results, inputs and activities required to achieve them, indicators of success, as well as assumptions that can affect the success of the project/program.

The aim of the first steps in the analysis stage is to understand in more detail the information gathered during the assessment phase. It is often a transitional step between initial assessment and design. The conclusions and recommendations of the assessment should be used as the basis for a more detailed analysis of the problems to be tackled. If the information collected appears to be inaccurate, incomplete or biased, it may be necessary to redo some of the assessment steps, using the relevant methodology and tools. It is therefore useful for the people who carried out the initial assessment to participate in this stage of the planning phase.

Tools for analysis

Situation analysis requires tools to summarize, compare, prioritize and organize data. Many different tools can be used – those provided here are examples only and are not necessarily the best tools to use in every situation.

Box 1. Minimum Criteria for Situation Analysis

Whatever tool is used for situation analysis, you need to ensure the following things:

- ✓ Board members, staff, and volunteers, **including people the project/program aims to help**, should participate during the analysis process.
- ✓ The analysis result covers organizational capacity assessment and analysis of stakeholders/ potential partners
- ✓ The opportunity to decide project/program implementation strategy is given to those who analyze the data as well as allow room for creativity, to plan the changes needed to improve the situation
- ✓ Gather both **qualitative and quantitative data**, as well as **objective and accurate information**

A tool is only useful if used at the right time and in the right way. This manual proposes three tools to analyze the situation:

1. **SWOT analysis** – a tool with a wide range of uses, including, as suggested here, to assess the capacity of the implementing agency or team.

2. **Stakeholder analysis** – to assess the problems, interests and potential of different groups in relation to the conclusions of the assessment

3. **Problem tree analysis** – to get an idea of the main problems and their causes, focusing on cause-effect relationships

The above tools can be supplemented or replaced by other tools, as long as the minimum criteria are met.

2.2.2. SWOT Analysis

A common tool used to analyze the situation before designing a project/ program is the "SWOT analysis". This can be used to facilitate participatory group discussions to identify and compare strengths, weaknesses, opportunities and threats related to different aspects of the situation being analyzed.

"Strengths" and "Weaknesses" are taken to be factors **internal** to an organization and "Opportunities" and "Threats" to be **external** factors. An alternative is to define "strengths" and "weaknesses" as current factors and "opportunities" and "threats" as future factors.

SWOT exercise can be used to analyze organizational capacity, capacity in the community or simply general social factors in relation to the issues identified in the assessment. Through SWOT you can also identify opportunities from the outside that can **support the project/program success.** Instead, using SWOT, you can also identify weaknesses and threats that could **hamper the implementation** or achievement of expected results and objectives.

If an implementing team uses the SWOT analysis to look at the capacity of the organization to act on the issues identified in the initial assessment, some of the key questions to be answered would be:

1. **What capacities PMI has** today? For instance: number of staff, board members, volunteers, district or sub district, financial capacity, related experiences, its relationships with donors and partners.

2. **Is PMI's surrounding environment** (political/economic situation, culture, history, traditions, etc.) favorable to project/program implementation?

3. **How could PMI benefit from the project/program** for its long-term development (for instance: system improvement, capacity-building component, personnel competency and professionalism)?

4. **What are the risks related to the project/program implementation** for the organization (PMI) (i.e. side effects, hidden costs in the short and long term, work load, additional staff, logistics to sustain in the long term, public image/perception, etc.)?

The following **Table 3** provides a **brief example** of a completed SWOT analysis of the PMI District B, reflecting on **its capacities in relation to the disaster risks reduction** identified in an initial assessment report.

Table 3. Example of a SWOT Analysis of PMI District B

Strength	Weaknesses
✓ Good knowledge of the vulnerability in District B ✓ Have involved communities in its routine activities ✓ Good experience in disaster response and preparedness, especially in some of sub districts ✓ Have trained and skilled volunteers in disaster risk reduction ✓ Good links with the International Federation and other National Societies	✓ Post command system is not function and lack of personnel's skills. ✓ Little influence over local government structures ✓ No experience in training other institutions on preparedness and response ✓ Limited fund for community based programming.
Opportunity	**Threat**
✓ Good links with schools through Youth Red Cross ✓ Funding and technical assistance are available from the International Federation and other National Societies ✓ Local DM Agency has just launched Community Resilient programming. ✓ Many donor have high interest with DRR issues	✓ Lack of political will from local Government ✓ Communities may not be interested/ willing to engage on disaster risk reduction activity ✓ Emerging local NGO working on disaster management.

Steps to conduct organizational SWOT analysis

1. Discuss: "What are the strengths and weaknesses within the PMI that could affect the problems we seek to address?"
2. Discuss: "What are the opportunities and threats outside the organization that could affect the problems we seek to address?"
3. Record the answers in the SWOT analysis matrix.
4. Discuss: "What do these results tell us?", "What decisions should we take?" and "Are we ready to proceed? If so, what needs to be done first? If not, what needs to be done before we can proceed?"

2.2.3. Stakeholder Analysis

A "stakeholder" in this context is a person or group of people who have an interest in the project/program that is being planned. **Stakeholder analysis is a technique used to identify and assess the interests of the people, groups or institutions who may significantly influence the project/program's success.**

The overall aim of stakeholder analysis is to ensure that **the project/program takes place in the best possible conditions**, by aligning it realistically with the needs and capacities of the stakeholders and their resources. Therefore, the stakeholder analysis ideally would be carried out in a participatory session with PMI staff, volunteers, board members, and representatives of potential stakeholder groups such as related local government officials, including the beneficiaries.

One way to conduct this analysis is by drawing up a comparative table. First, **the stakeholders must be identified**. In the example given in Table 3, the stakeholders are categorized as follows:

a. **Institutions** that will potentially be involved in the project/program, such as Participating National Society, IFRC, United Nations agencies, government ministries, etc.

b. **Target groups,** for example vulnerable groups or potential beneficiaries, such as mothers, schools students, teenage and PMI volunteers.

c. **Others,** for example various associations, local groups, schools, local NGOs, community leaders, the media, etc.

Second, the problems, interests, needs, potential, interaction and other relevant factors are identified and analyzed for each stakeholder. Below is the detail explanation.

a. **Problems:** What are the key problems identified in the assessment and affecting the stakeholder in question? For instance, how is the high vulnerability of the community will affect the Local DM Agency? If the vulnerability to disaster is increase, Local DM Agency will definitely have larger responsibilities to improve the community resilience.

b. **Interests:** What motivates the stakeholder group? For example, the Local DM Agency has high motivation to roll out its tasks and responsibilities in order show its institutional performance.

c. **Potential:** How can the stakeholder group contribute to resolving the issues identified? Their potential could be strong capacity, knowledge, high level of commitment, voluntarism, idealism, free time, etc. For example, the Local DM Agency may have more funds for DRR programming, it may have well-functioning disaster command post, and good infrastructures.

d. **Interaction:** How can the implementing team relate to this group? Which channels of communication can be used? For instance, PMI could communicate or coordinate with the Local DM Agency through coordination meeting, regular reporting, emergency response report.

e. **Others' actions:** Is any other association, organization, group, etc. already implementing a project/program or action that targets the selected group? If so, identify them and their actions to avoid any overlap, as well as to establish the basis for a possible collaboration and to save effort and resources. For example, Education District Office may release and promote DRR curricula for school.

Ideally, the whole exercise would be carried out in a participatory session with representatives of potential stakeholder groups, including potential beneficiaries, PMI staff and volunteers, and government officials. The effective use of participatory planning methods and group facilitation tools can help ensure that the views and perspectives of different stakeholder groups are adequately represented and understood.

PMI should be able to recognize its strength and weakness and at the same time are fully aware of opportunities and anticipate threats.

Table 4. Example of Stakeholder Analysis Matrix

Factors	Community leaders	Women groups	Schools Students	Local DM Agency
Problems	Have some responsibility to ensure the safety of the community	Lack of information and skill in disaster preparedness	Vulnerable to disaster and health risks	Have some responsibility to ensure the safety of the community
Interest	Want to ensure safer community	Want to get a better understanding of disaster preparedness	Want to be better protected from disaster risks and impact.	Want to demonstrate improvements in community safety
Potential	Knowledge of the local situation and power relations.	In-depth knowledge of the community (weather and harvest patterns) and have regular group activities.	Keen to learn, creative, and willing to participate in passing on messages	Resources (personnel, materials, and funds)
Interaction	Through monthly local committee meetings and weekly meeting of community leaders.	Through monthly women's group meetings	Through Youth Red Cross activity at school	Through stakeholder meeting (DRR Forum); Disaster related report and DRR event.
Other's actions	Also work with the local NGO "Disaster Relief Action" and several church groups.	Some groups have relations with local Woman Welfare Groups	Many children attend scouts and masque group activities.	Collaborate with other government working units in disaster response.

Individually we are one drop, together we are an ocean.

-Ryunosuke Satoro

2.2.4. Problem Analysis (using Problem Tree)

A **"problem"** is defined here as **"an unsatisfactory situation that may be difficult to cope with"**. Problem analysis is a critical stage of project/ program planning, as it guides all subsequent analysis and decision-making on priorities.

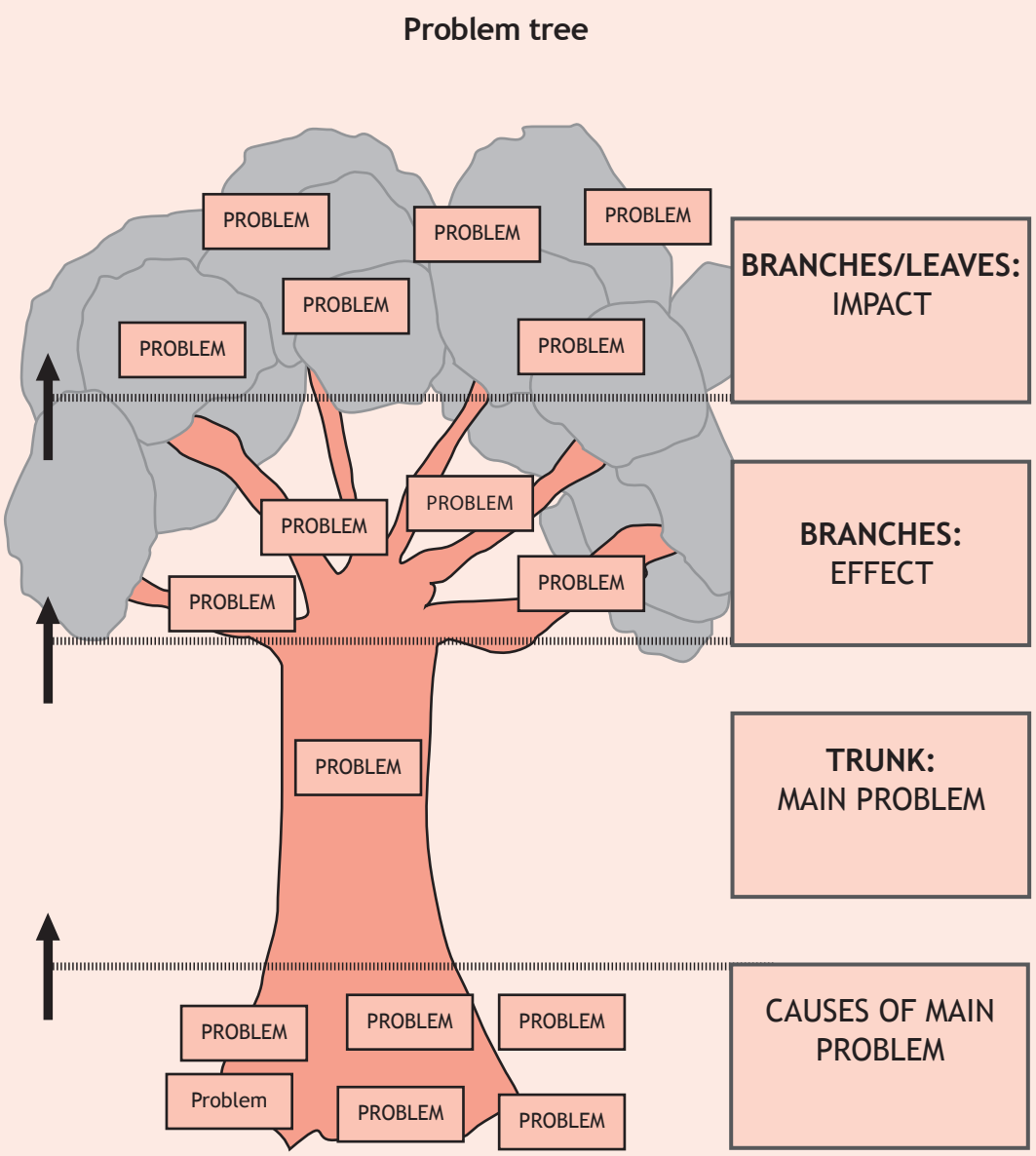
Problem analysis can be defined as the thorough study of one or more problems (identified during the initial assessment stage), to identify their causes. Through problem analysis, team could understand the issues and identify alternatives solutions to addressed them, or in short to decide **whether and how to tackle them.**

Merely listing and ranking problems does not provide for a sufficiently deep analysis of the situation. The aim of problem analysis is **to structure, summarize and organize the initial findings of an assessment in order to arrive at a clearer understanding of the situation under analysis.** It involves identifying the negative aspects of an existing situation (i.e. "problems") and then identifying the immediate and underlying causes. By identifying the causes of a problem, it is possible to start to identify possible solutions that will address the problem.

A variety of tools can be used to support problem analysis. One commonly used tool is the **"problem tree"**. This visual method uses the analogy of a tree to facilitate the analysis of the problem(s). The exercise produces a summary picture of the existing negative situation, for example with the main problem as the "trunk", the causes of the problem as the "roots" and the effects of the problem as the "branches".

The "problem tree" produced by the exercise should provide **a robust but simplified** version of reality. A problem tree **cannot and should not** contain or explain the complexities of every identifiable cause-effect relationship.

Diagram 8. Problem Tree Scheme



- ✓ The "problem tree" should describe a robust but simplified f reality.
- ✓ A problem tree cannot and should not contain or explain the complexities of every identifiable cause-effect relationship
- ✓ Problem tree should serve as brief overview of unsatisfactory situation.

How to create a problem tree

Creating a problem tree should ideally be undertaken as a participatory group exercise, including, wherever possible and relevant, the people the project/program seeks to help.

During the process, it requires pieces of paper or card on which to write individual problem statements, which can then be sorted visually into cause-effect relationships.

A detailed example of a problem tree is depicted in diagram 9 and 10 at page 44 and 45. The example looks at the type of problem tree that could be developed when investigating the reasons why in Eastern District capacities to reduce the effects of disaster are low.

To build a problem tree, follow the step-by-step procedure below and adapt it to the specific needs of the group.

Step 1: Brainstorm the problems that participants consider to be priorities based on the initial assessment.

Either this step can be completely open or no preconceived notions as to what participants' priority concerns/problems might be or more directed by specifying a "known" high priority problem or objective based on a preliminary analysis of existing information during the assessment.

Step 2 : From the problems identified through the brainstorming exercise, agree on the main or core problem.

This is a vital part of the process and requires a strong consensus of the group. During the process, group members should check they have correctly identified the main problem and that it is a relevant one for their work.

Write the core problem on a post-it note or piece of card and place it in the middle of the wall or floor. This constitutes the trunk of the tree. To simplify the process, it is normally best to focus on **one main problem at a time.**

Step 3: Begin to establish a hierarchy of causes and effects.

- ✓ **Identify the causes of the main problem** by asking "why?" until you can go no further. Some problems may have more than one cause. Problems directly causing the main problem are placed underneath the main problem. These are the roots.
- ✓ **Identify the effects of the main problem** by asking "what happens then?" until you can go no further. Some problems may have more than one effect. Problems that are identified as direct effects of the main or core problem are placed above the trunk. These are the branches.

Step 4 : Connect the problems with cause-effect arrows clearly showing key links.

Step 5: Review the diagram.

Check through the problem tree to make sure that each problem logically leads to the next. Ask participants: Are there important problems that have not been mentioned yet? If so, specify the problems and include them in an appropriate place. (See Diagram 10 for a detailed example of a completed problem tree.)

Step 6: Consolidate the problems.

At this stage, it may be useful to group problems that appear many times in the tree and remove some of the layers of the problem tree. This will help you to focus on the most immediate causes and effects of the main problem identified.

Step 7: Make a copy of the diagram.

Copy the problem tree onto a sheet of paper to keep as a record, or take a picture of it

Tips in creating a problem tree

As described above, a problem tree should be clear and concise. Therefore, you need to arrange them carefully. Here are some tips in creating a Problem Tree.

Table 5. Tips to Create Problem Tree Statements

Incorrect	Correct
✓ No big balloons or big vague concepts, (e.g. no infrastructure)	✓ Be precise, e.g. there is no paved road from village A to city center.
✓ No absent solutions because it will block the alternatives, (e.g. we have a lack of money and thus children don't go to school)	✓ School fees are not affordable
✓ No formulation of interpretations, (e.g. the government is lazy)	✓ The government does not issue licenses

Keep in mind that the process is as important as the product. The exercise should be treated as a learning experience and an opportunity for different views and interests to be expressed.

If you know the actual problem (its cause and effect) then you will likely to be able to solve it.

Diagram 9. Example of Problem Tree for a Sanitation Project

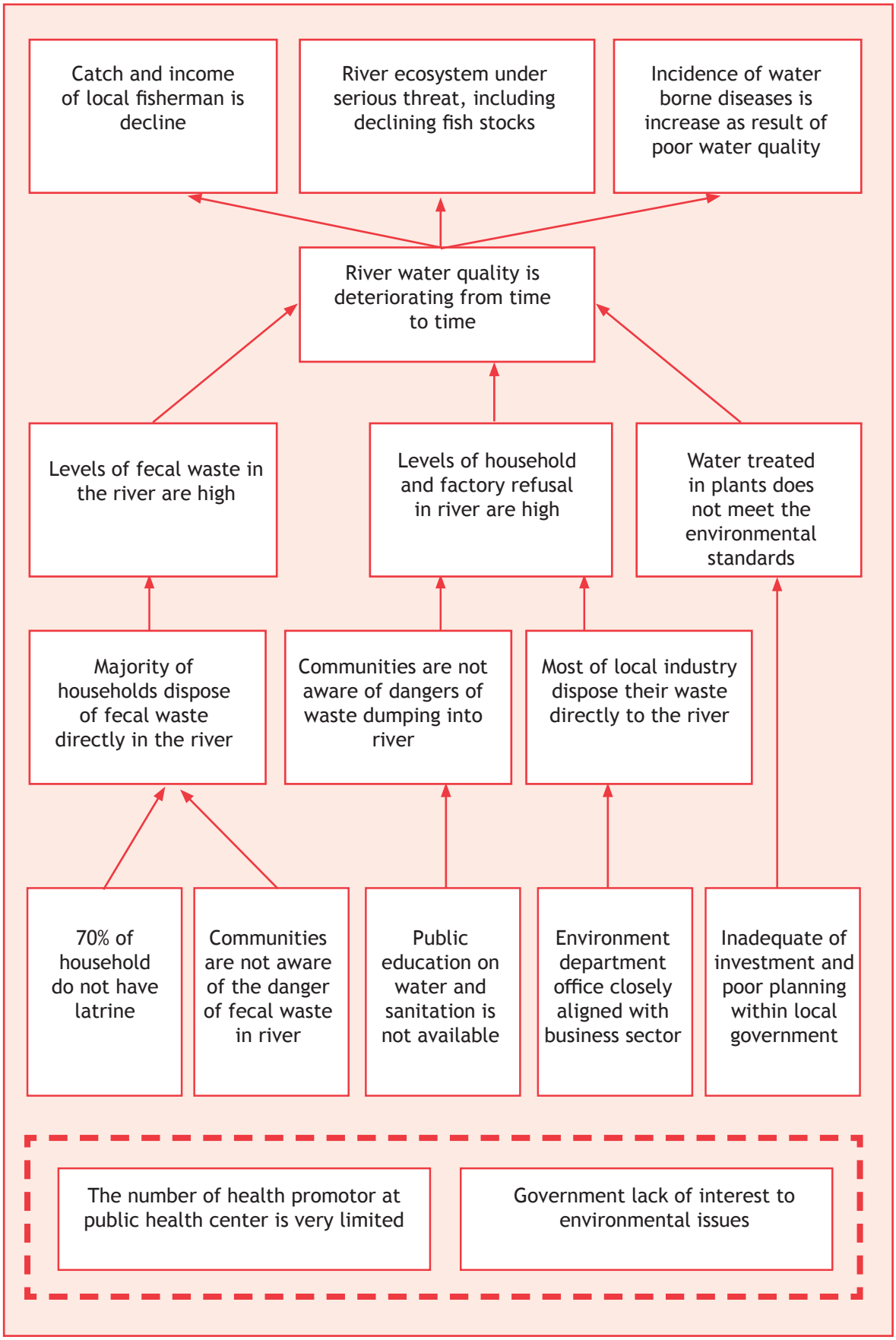
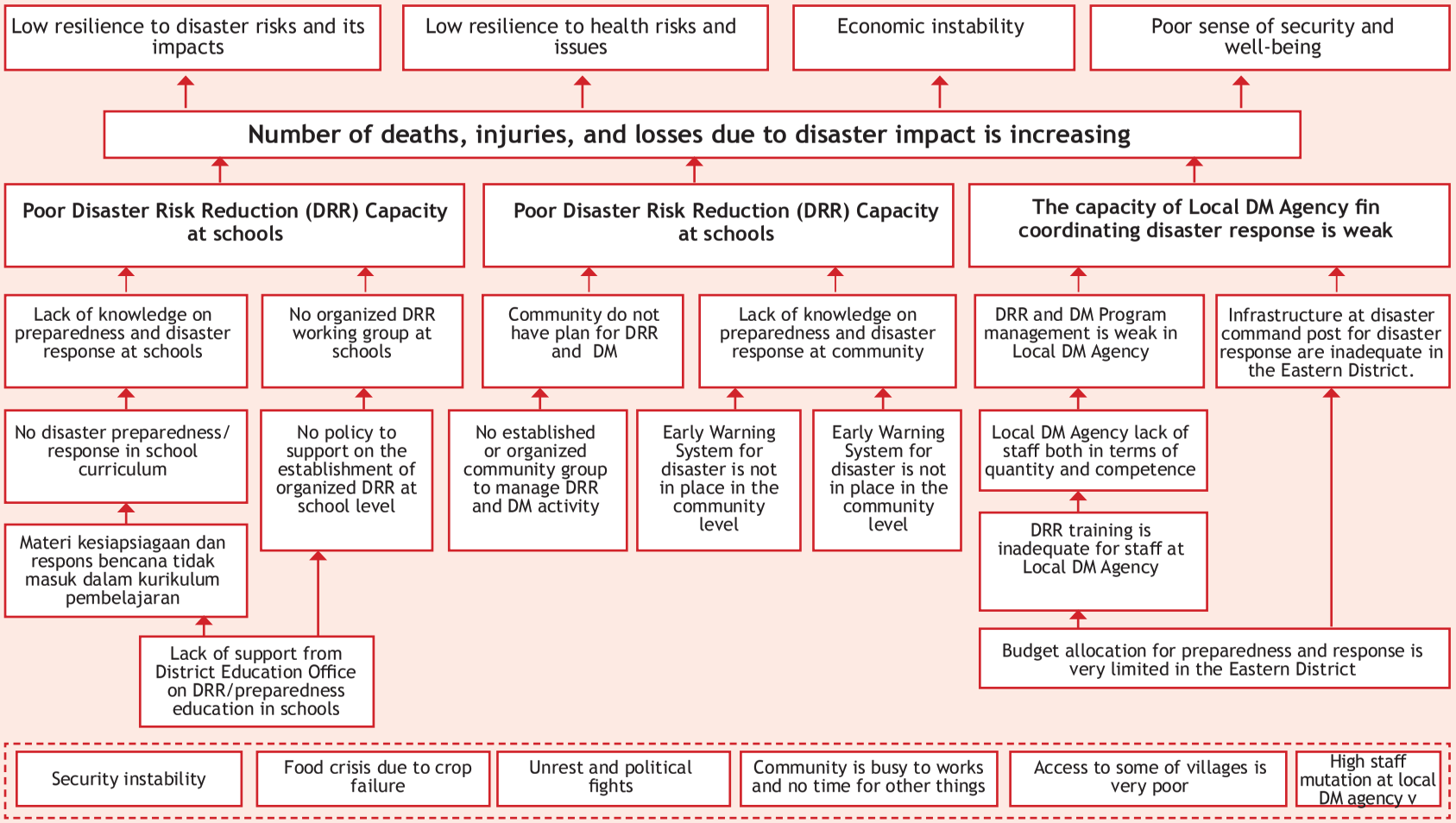


Diagram 10. Example of Problem Tree (Disaster Risk Reduction and Disaster Management)



2.2.5. Objective Analysis (using Objective Tree)

An objective is an intended result that a project/program sets out to achieve. This is the stage at which you begin to define the **results** you want to achieve at different levels, such as **goal, outcome, and output**. The aim of the exercise is to define the desired future situation for all the identified problems, so that you can later identify those that the PMI can realistically tackle. It is again critical to conduct the process in a **participatory** way, involving the main stakeholders, including representatives of the people whom the project/program aims to help.

Objective tree is a common method of developing, identifying and selecting objectives **based very closely on the problem tree**. As with the problem tree, the objectives tree should provide a simplified but robust summary of reality. The objectives tree is a tool to aid analysis and the presentation of ideas to addressing a range of clearly identified priority problems.

An objective tree will help you and team to:

- ✓ analyze and present objectives/ideas/solution to address problems in the problem tree.
- ✓ demonstrate and describe the situation in the future if all the identified problems were remedied.
- ✓ identify possible objectives (intended results) and verify the hierarchy between them, start from highest level result (goal) until the lowest level (output).
- ✓ illustrate and verify the causal (means-ends) relationships through a diagram
- ✓ establish priorities by:
  - » assessing how realistic the achievement of some objectives may be and
  - » identifying additional means that may be required to achieve the intended results

How to create and use an objective tree

Step 1: Create an objective tree based on problem tree

Turn each of the problems in the problem tree into positive statements by reformulating the negative situations as desirable positive situations, based on the needs that arise from the problems. An objectives tree is created by looking at the needs arising from the problems, the needs being the link between the problems and the objectives. Those needs are become a bridge between problems and objectives. Notice how the following problem statement needs are converted into an objective statement (in the box below).

Problem ▶	KEBUTUHAN ▶	TUJUAN
Poor disaster management capacity in communities	Means to mitigate risks and effects of disaster	Community capacity to prepare for and respond to disasters is improved.

Step 2: Check the logic (the cause-effect relationships) to ensure that the objective makes sense.

Will the achievement of the lower-level objectives help achieve the higher-level objectives?

Step 3: Modify the objectives, if necessary, by:

- ✓ revising the statements
- ✓ adding new objectives, if these seem to be relevant and necessary to achieve the objective at the next level up
- ✓ removing objectives that do not seem suitable or necessary

There may be some causes near the bottom of the tree that are very general. They cannot be turned into objectives that can easily be addressed by a project/program. Instead, they act as external factors which will worsen the identified problems and could affect the project/program success. Therefore, those factors are needed to be considered and assessed **to verify the feasibility of the project/program.**

Diagram 11. Example of Objective Tree for a Sanitation Project

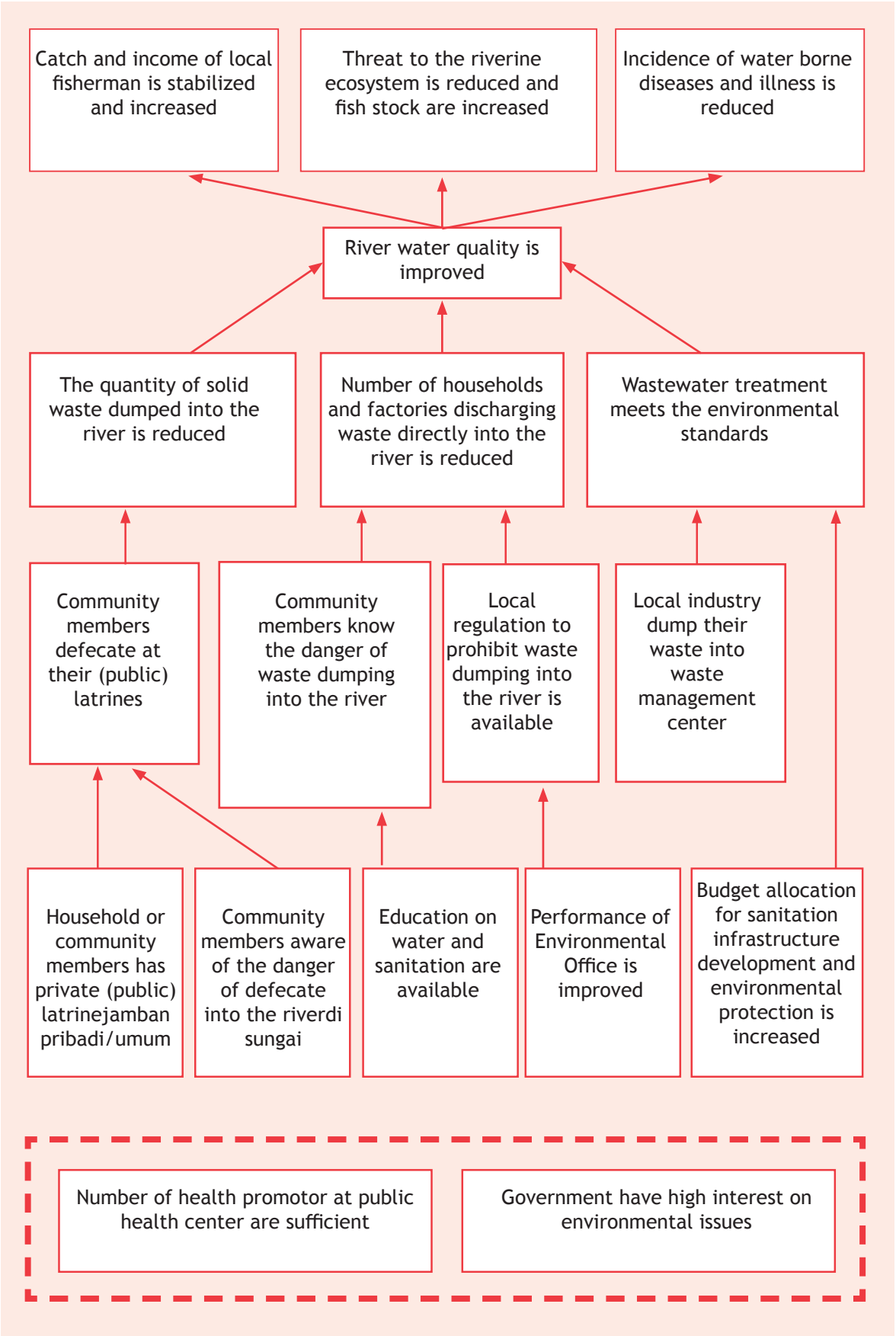
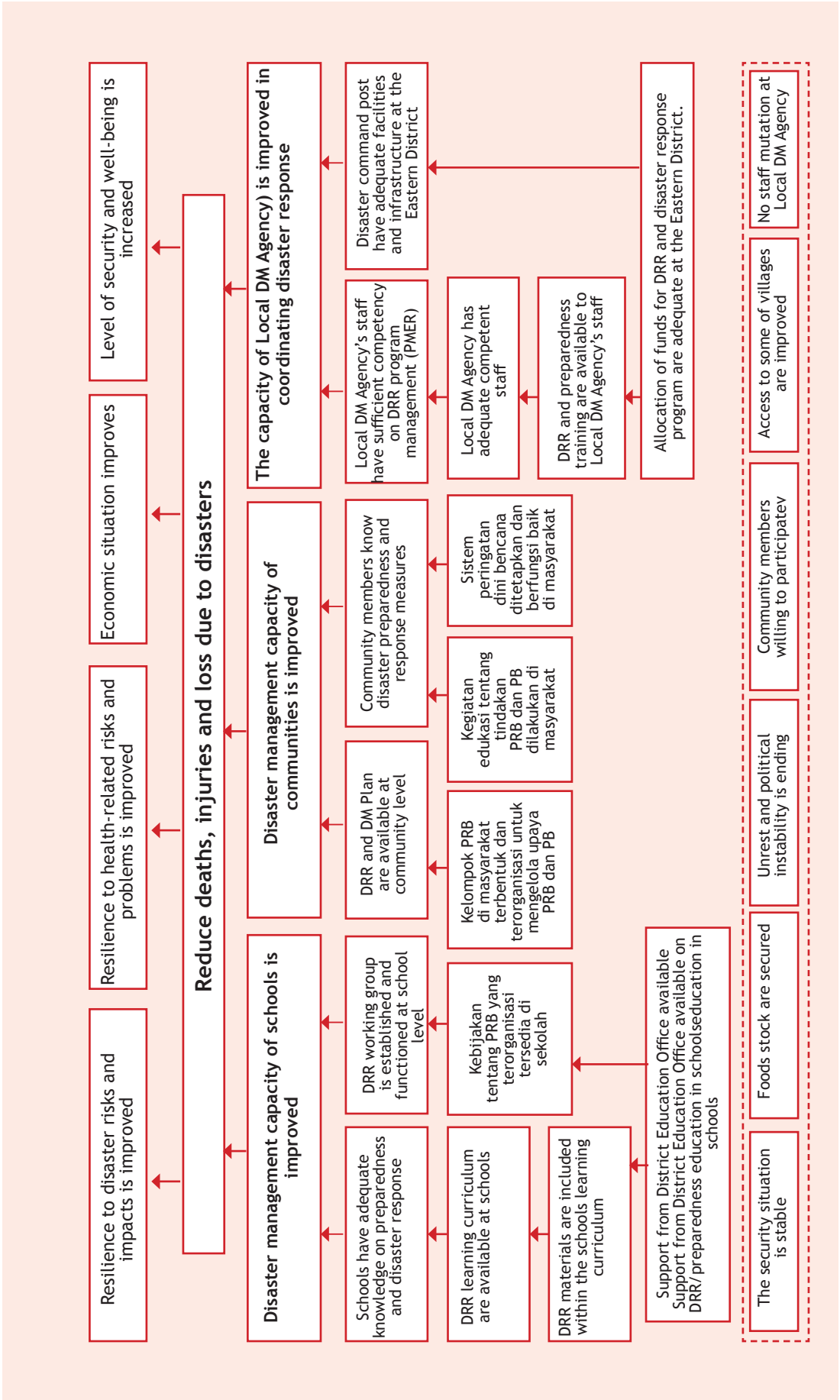


Diagram 12. Example of Objective Tree (Disaster Risk Reduction and Disaster Management)



2.2.6. Selection of Objectives

Once the objectives tree has been created, it provides a set of overall potential objectives for the project/program. However, PMI often cannot solve all of the problems as limited resources, time, or even the suitability to the organizational mandate. PMI will therefore need to focus on one or a few specific areas in the objectives tree.

This analytical stage is in some respects the most difficult and challenging, as it involves synthesizing a significant amount of information and then making a complex judgement about the best implementation options to address the identified problems. In practice, a number of compromises often have to be made to balance different stakeholder interests, the demands of the population, and practical constraints such as likely resource availability. There are two main steps are suggested to select objectives.

Step 1: Define potential solutions/objectives.

Look at the objectives tree and group objectives together to define broad potential "solutions or objectives". This is done by looking at which objectives are directly linked to each other in a cause-effect relationship.

Often you will not able to address all problems, prioritize them according to your organizational capacity

During the earlier analysis stage, the potential merits or difficulties of different ways of addressing the problems may well have already been discussed. These issues and options must now be looked at more closely to determine the likely scope of the project/program before more detailed design work is undertaken.

Step 2: Select the most appropriate solution.

Based on the set of solutions identified in the objectives tree, the team will now need to weigh up the different options available and choose the most appropriate one for the implementing team. This will then determine the scope of the project/program. You can do this by considering a range of following questions:

- ✓ Which objectives are compatible with the PMI or RC/RC's fundamental principles, mandate and policies?
- ✓ Which combination of objectives does PMI has the capacity to address effectively?
- ✓ Are other organizations/institution already addressing the problem?
- ✓ Constraints and risks: How vulnerable is the project/program to external factors?
- ✓ How can local ownership of the project/program best be supported, including how can you take into account respect for local culture and strategies?
- ✓ What is/are the most cost-efficient option(s)?

What will PMI not do?

One useful way of deciding which objectives to tackle is to consider the following factors:

- ✓ if there have been some (many) organization/institution addressing the problems
- ✓ Are unlikely to success of the (high risk to fail)
- ✓ Are of relatively small importance in achieving the main objective

Within the previous example of objective tree, there are some key "filters" which can be used to determine what the PMI cannot or should not seek to tackle are:

a. Constraints and risks: how vulnerable is the project/program to external factors?

In the Objective Tree, external factors that cannot be controlled by the project/program but are expected to remain positive are:

- ✓ people in the community willing to participate in the activities
- ✓ access to the villages is possible (road quality sufficient)
- ✓ local political leaders support the project/program implementation
- ✓ the political and security situation remains stable

b. Capacity, mandate and experience of different organizations

Also in this example, objectives that are important to achieving the main identified objective but will be undertaken by other organizations are as follows:

- ✓ the local government established strong disaster response structures
- ✓ disaster post command at Local DM agency are well equipped.
- ✓ National DM Agency implement capacity building program to local DM agency.

In this example, the assessment information showed that although there was an identified problem of the local government disaster response structures being weak, it also identified that the National DM agency and local government already had an extensive disaster response capacity-building program in place to address the issue in their respective districts/cities.

In addition, providing guidance to local DM agency offices is not something in which the PMI has expertise neither it aligned with organizational mandate and therefore PMI would not get involved in these issues

c. Existing capacities and opportunities in community

What can the affected people do themselves? It is essential to look at existing capacities within the community, in line with the participatory approach and ethical responsibility that underpin PMI works and services. In addition, building on existing capacities will normally help ensure the sustainability of results and enhance community resilience. In the example given here, the majority of the objectives identified are related to working with communities to build on their existing capacities.

Diagram 13. Example of Objective Selection for a Sanitation Project

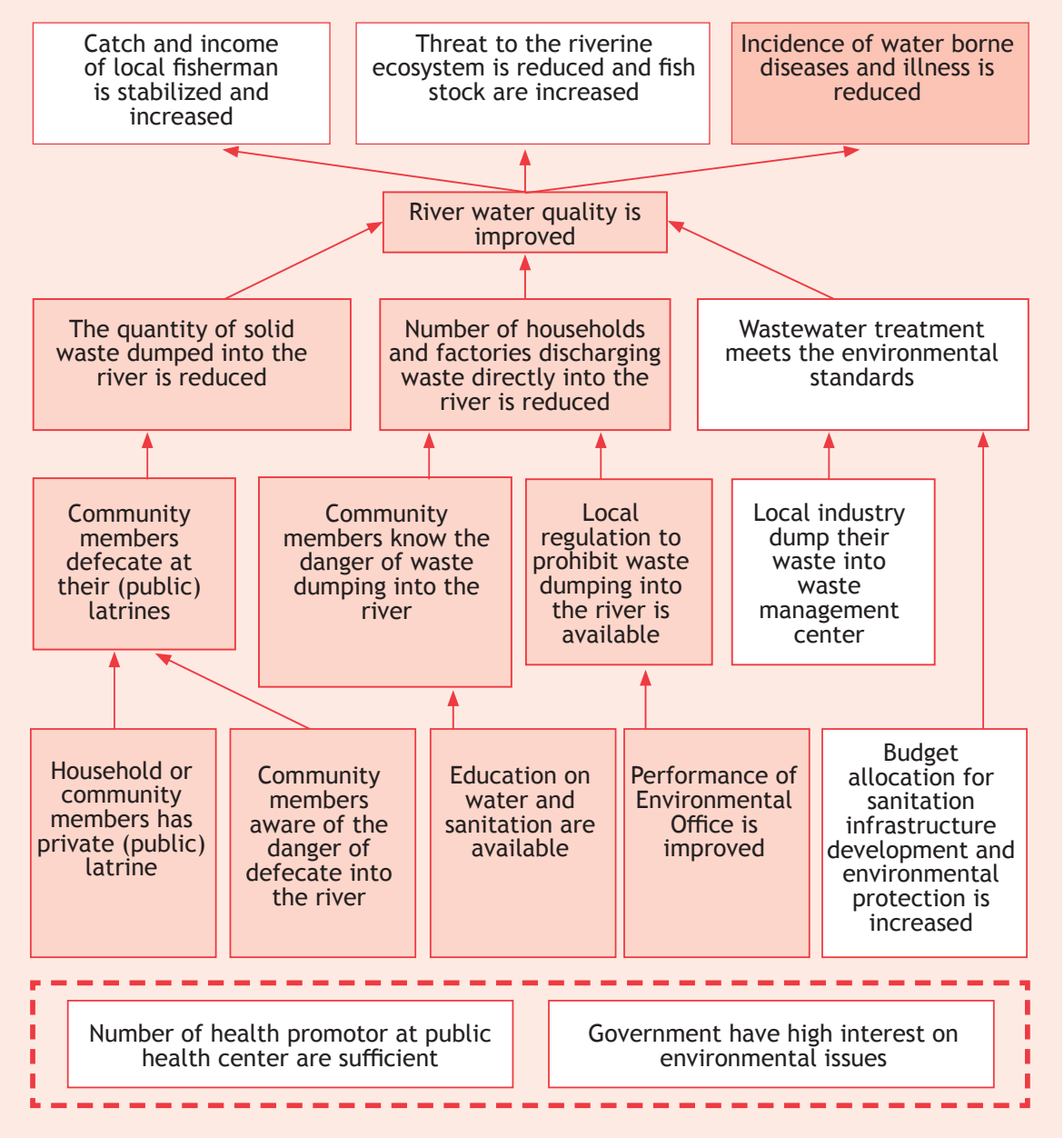
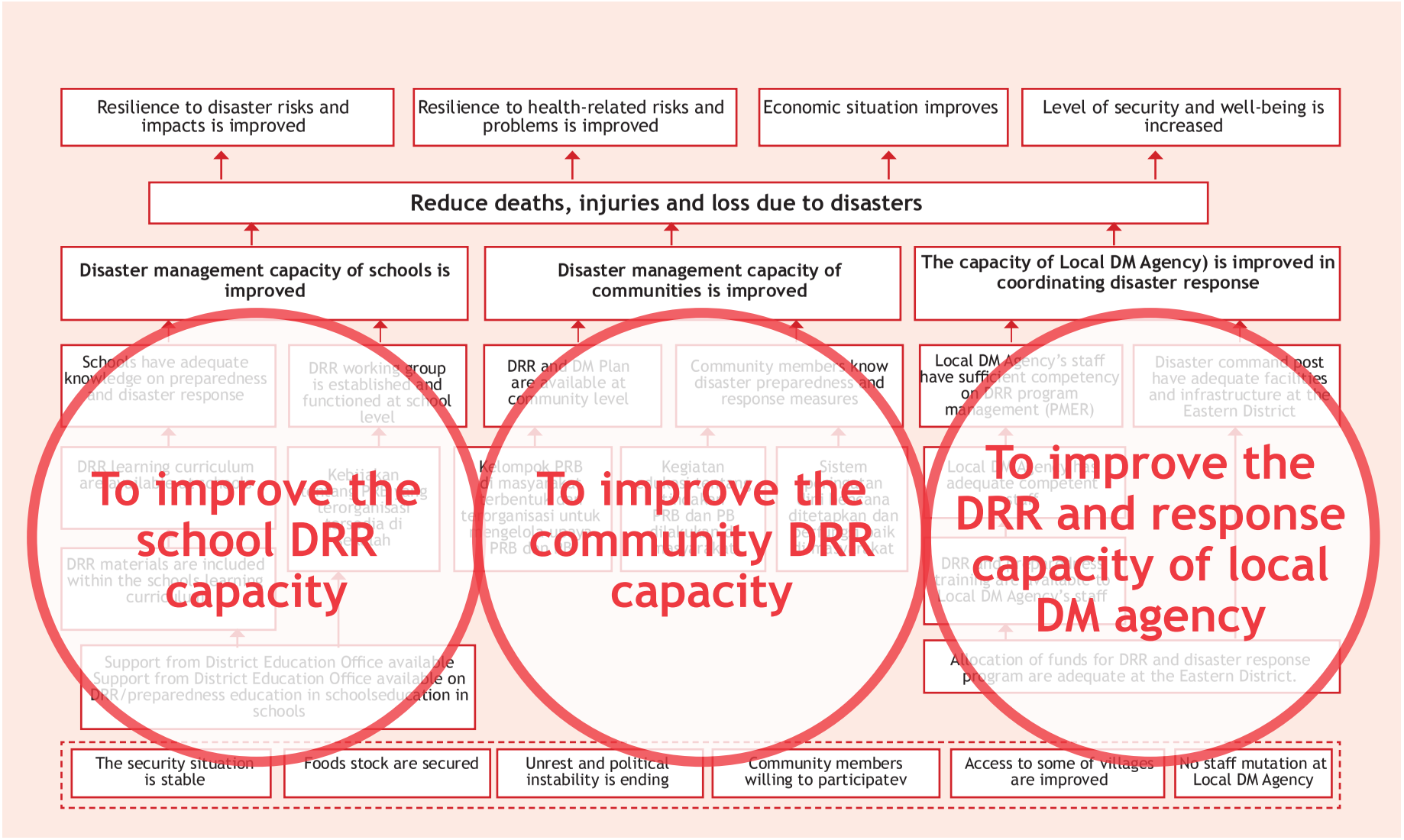


Diagram 14. Example of Objective Selection (Disaster Risk Reduction and Disaster Management)



The following matrix is an example to select objectives presented in the above diagram. For each of criteria being measured, put score from one to five; where 1 is the lowest score and 5 is the highest score. If the solution/ objective meet the criteria in the statement (first column), then the score is higher, and vice versa.

Table 6. Example of Objective Selection Matrix

Criteria to select the objectives (give 1 for the lowest score and 5 for the highest)	School capacity building	Community capacity building	Local DM agency capacity
1. This solution/objective are compatible with the PMI (RC/RC) fundamental principles, mandate and policies.	5	5	1
2. PMI and team have the capacity to implement this solution/objective effectively.	4	3	2
3. There are no other organizations already implement this solution/objective	4	4	1
4. This solution/objective are not vulnerable to external factors that may fail it.	4	3	1
5. This solution/objective are acceptable by local community and stakeholders and respect the local culture	5	4	2
6. What is/are the most cost-efficient option(s)?	4	4	2
Total	**26**	**21**	**9**

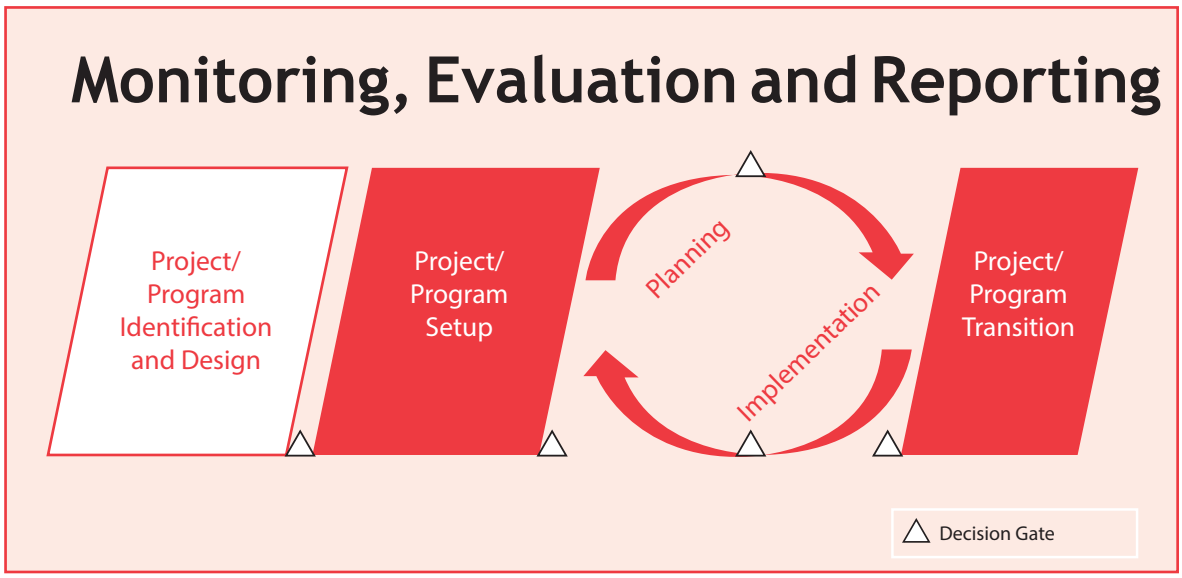
Furthermore, based on the conclusions of the above matrix and PMI SWOT analysis as well as the stakeholder analysis, which have been done before, following is the decision made.

- ✓ The project/program implementing team (DM team of PMI Eastern District) decides to carry out a disaster management program with two components, combining two groups of objectives – "**school** capacity building" and "**community** capacity building".
- ✓ The third possible group of objectives ("**local government** capacity building") is excluded because it is being handled by other actors (e.g. the provincial government and National DM Agency) and because PMI does not have the same **expertise or mandate** in this area as it does in community and school based work.
- ✓ The **external factors** that the project/program cannot address are identified for the moment as being risks but will be looked at again in more detail in the design phase and will be treated as **assumptions** to be monitored, anticipated, and advocated (if necessary).

Thus the process of objectives selection method, then now you are ready to begin the project/program design phase.

Without a clear objective, you would be just like a gyroscope, spinning so fast, without actually moving from one place to another.

Project/Program Design Phase 3



During the design phase, you could revisit the objectives and intended results of the project/program in order to ensure that the statements are clear, precise, logic, complete, and measurable.

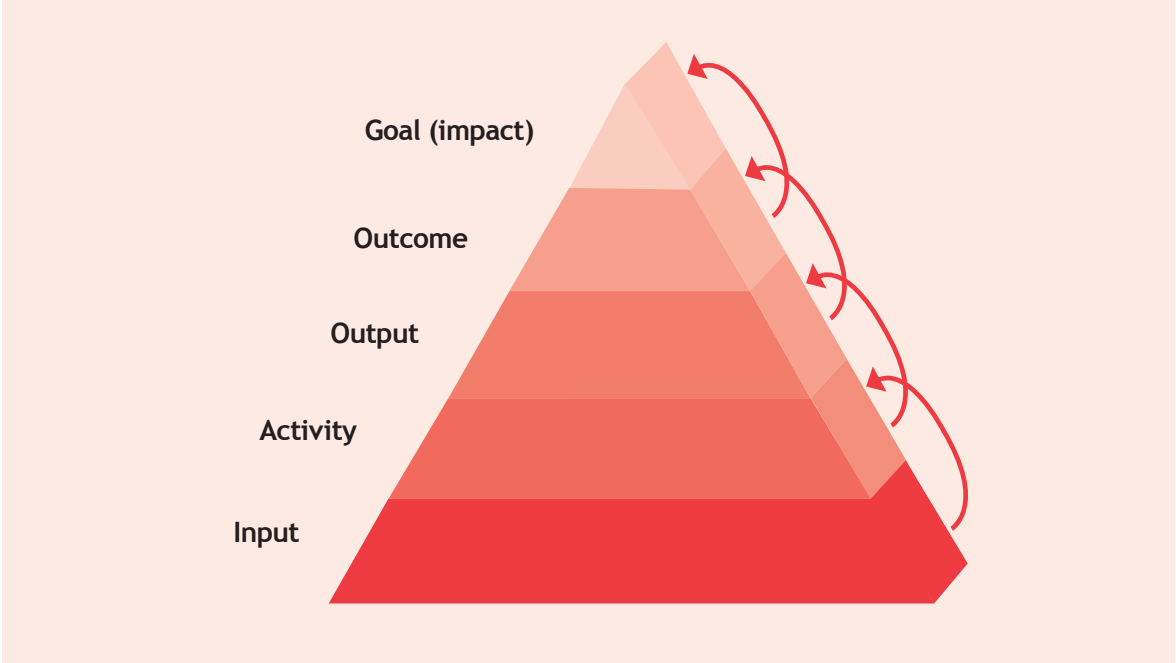
3.1. Defining Results and Objectives

"Results" are defined as **"the effects" of actions, and can be intended or unintended, positive or negative"**. The intended results that a project/ program sets out to achieve are often referred to as **"objectives"**. They are used as the basis of planning. Therefore, a work plan should be based on objectives, instead of list of activities.

Results or objectives can be split by levels of increasing significance, sometimes referred to as the "results chain" or "objectives hierarchy", as shown in Diagram 15.

The objective hierarchy diagram below can be read as follows

Diagram 15. Objective Chain Hierarchy



With sufficient input, the activities **can** be conducted. One or several activities will **deliver** one output. Furthermore, some of the output will **enable** to achieve an outcome. Finally some outcomes will ultimately **contribute** to achieve the final goal.

The different levels of results /objectives are developed according the information generated during the analysis phase and organized in a summary table or other structure, called a **logical framework (log frame)** matrix.

3.2. Logical Framework (Logframe) Matrix

The logframe matrix consists of a table with four rows and four columns, in which the key aspects of a project/program are summarized. It sets out a logical sequence of cause-effect relationships based on the results chain/ objectives hierarchy which was selected as priority. Briefly, **the log frame is a summary of project/program design**; where by reading it through, one can understand what is it intended to attain, measures of success, means of verification, required assumptions to ensure the project/program success.

There are a variety of formats used for logframes, and it is important to have a clear and common understanding of the different terms used. Table 7 shows the format, terminology and definitions that this manual recommends for use in the International Federation of Red Cross and Red Crescent, including PMI.

The logframe is used not only for project/program design, but also as the basis for implementation, monitoring and evaluation. It is a living document, which should be consulted and altered throughout the project/program's life cycle, indeed with strong rationale and proper consultation with stakeholders.

The logframe **DOES NOT** show every detail of a project/program. Further details, such as the proposal, budget and activity schedule, can be provided in other documents such as proposal. The following table defining logframe's elements.

Table 7. Definitions of Logical framework (Logframe) Terminology

Objectives (What we want to achieve)	Indicators (How to measure change)	Means of verification (Where/how to get information)	Assumptions (What need to be happened)
Goal The long-term results that projects/program seeks to achieve. PMI only contributes, not entirely depend on PMI but may be contributed by factors outside the PMI project/program.	**Impact indicators** Quantitative and/or qualitative criteria to measure progress against the goal.	How the information on the indicator(s) will be collected (can include who will collect it and how often).	External factors beyond the control of the project/program, necessary for the goal to contribute to higher-level results.
Outcome(s): The primary result(s) that an intervention seeks to achieve, most commonly in terms of the knowledge, attitudes or practices of the target group	**Outcome indicators** Quantitative and/or qualitative criteria to measure progress against the outputs	As above	External factors beyond the control of the project/program, necessary for the outcomes to contribute to achieving the goal.
***Output* (Luaran):** Hasil langsung dari kegiatan seperti barang, layanan, dan hasil langsung lainnya yang akan mewujudkan pencapaian *outcome*.	**Outcome indicators:** Quantitative and/or qualitative criteria to measure progress against the outputs	As above	External factors beyond the control of the project/program, necessary if outputs are to lead to the achievement of the outcomes

3.3. Designing Objectives

At this stage, the draft objectives selected from the objectives tree should be transferred to the logframe and further refined if necessary in order to design a complete set of objectives for the project/program.

In developing a log frame, **first of all**, fill in the objective column, then specify the assumption required to achieve them and check whether they are realistic or not. **Second**, fill the indicators column with SMART indicators and define its means of verification.

All "objectives" statements should be simple, clear that describes "the long-term results that a project/program seeks to achieve". When doing so, you also need to pay attention to the semantic in order to differentiate goal, outcome, and output. If not, it is likely to be missed understood. **Semantic is an important things to be carefully thought.** Following are some of rule of thumbs in writing objectives statement.

- ✓ **Goal** is written in active and directive sentence, such as to reduce, to increase, to strengthen.
- ✓ **Outcome** is written in result sentence, as if it is already happened. For example, increased, strengthened, declined, well functioned, etc.
- ✓ **Output** is written in a passive sentence, for example "available, trained, distributed, established, used, developed, etc.
- ✓ **Activities** is written in active sentence, for example, "to train, to educate, to promote, to distribute, etc.".

Goal

The "goal" is a simple, clear statement that describes **"the long-term results that a project/program seeks to achieve, which may be contributed to by factors outside the project/program".** It should reflect the ultimate aim of the project/program, i.e. the conditions to be changed. It relates to the highest level of results, those over which you have least control.

For instance, the goal of a mother/child nutrition project could be: "Reduce infant mortality associated with poor nutrition in target communities". There are factors that may contribute to reducing infant mortality other than the nutrition project. Other health projects/programs such as immunization campaigns or the construction of health clinics can have an impact on reducing infant mortality. Livelihood projects which increase household income can also contribute to the reduction of infant mortality.
Often, the goal may be developed from the main objective set out in the objectives tree. The goal may also be taken from a lower-level objective in the objectives tree, especially if the main objective that was originally identified was at a very high level (e.g. "improve the overall well-being of the community".)

"Impact" is often used primarily to refer to the actual long-term results brought about by the project/program, whether positive or negative, primary or secondary, direct or indirect, intended or unintended. Impact refers to the same level of long-term results as the goal, but the goal refers to the intended positive results of the project/program only.

Example of Goal Statement

Reduce deaths and injuries related to disasters in the Eastern District.

Outcome

"Outcomes" are **"the primary result(s) that a project/program seeks to achieve, most commonly in terms of the knowledge, attitudes or practices of the target group".**

The achievement of the outcome(s) should **contribute directly** to the achievement of the overall goal. Outcomes are the intended medium-term effects of a project/program's outputs. You have less control over outcomes than outputs.

The outcomes will often be developed from the next level down in the objectives tree. **The goal and outcomes of a project/program are often taken directly from an organization's strategic plan or operational plan and influenced** by it.

This process of could help you to **validate the relevance of the wider strategy** to the particular context in which the project/program is being developed. One or more outcomes can be adopted, depending on the context of the project/program.

Example of Outcome Statement (1)

The capacity of communities to prepare for and respond to disasters is improved

Output

"Outputs" are **"the tangible products, goods and services and other immediate results that lead to the achievement of outcomes".** They are the most immediate effects of an activity, the results over which you have most control.

The outputs should describe **all the results that need to be achieved in order to achieve the outcome(s)**, no more, no less. Normally, the key outputs can be developed from the objectives statements at the next level down of the objectives tree, but it is necessary to verify whether there are any missing or unnecessary outputs.

Example Outputs Statement (for outcome 1)

- ✓ **Disaster Management Plans are developed by Community Disaster Management Committees.**
- ✓ **Early warning systems are established to monitor disaster risk.**
- ✓ Communities' are educated on measures to prepare for and respond to disasters

Generally inputs and activities are not included in the log frame, or only the major activities and inputs are included. Logframe should describe the logic of the objectives from lower level to the higher level.

Activities and inputs will be more detailed and completely provided within the project/program implementation plans. However, if you decide to include some activities and a key input into the logframe, here are some examples that you can learn.

Activities

"Activities" are **the collection of tasks to be carried out in order to achieve the outputs** -the day-to-day actions that need to be carried out in order to achieve the project/program outputs and, by extension, the outcome(s).

Example Activities for Output 1.1

1.1.1 Organize 10 community planning meetings.
1.1.2 Train DRR peer facilitators and professional trainers.
1.1.3 Develop disaster management awareness materials.

Inputs

The inputs/resources are the materials and means needed to implement the planned activities. This concept includes the required personnel (number and profile), equipment, facilities, technical assistance, funds, contracted services, etc.

Example of Input

Space to hold meetings, trainers/peer facilitators, training materials, funds, etc.

Verifying the logic relationship "if - then"

The first column of the logframe matrix summarizes the "means-end" logic of the proposed project/program. When the objectives hierarchy is read from the bottom up, it can be expressed in terms of:

IF adequate **inputs** are provided, **THEN activities** can be conducted.
IF the activities are undertaken, **THEN outputs** can be produced.
IF outputs are produced, **THEN** the **project outcome** will be achieved.
IF the **project outcome** is achieved, **THEN** this should contribute to the **goal**.

If reversed, we can say that:

IF we wish to contribute to the **goal**, **THEN** we must achieve the **project/ program outcome**. **IF** we wish to achieve the **project outcome**, **THEN** we must deliver the **outputs**. **IF** we wish to deliver the **outputs**, **THEN** the specified **activities** must be implemented. **IF** we wish to implement the specified **activities**, **THEN** we must be able to source the identified **inputs**.

3.4. Assumptions and Risks

"Assumptions" in the logframe are external factors which are important for the success of the project/program but are beyond its control. They should also be **"probable" - reasonably likely to occur, not certain or unlikely.**

In a DM project/program, for example, the early warning system will function properly if government agency (such as: National DM Agency, Meteorological and Climatology Agency, or Volcanology Agency) able to provide accurate and timely disaster forecasts. Another example, on immunization project, the availability of adequate vaccine in quantity and quality from Biofarma Company certainly would be as prerequisite to increase the immunization coverage. In the Resource Development project, company's interest to cooperate with PMI will affect the diversification of resources particularly from private sector.

Other examples of external factors outside the control of the project include political and economic changes, war/civil disturbance, and the actions of other actors, such as public agencies, private organizations and civil society organizations.

Assumptions are important to identify because they help check whether the proposed objectives are reasonable and well informed or based on unrealistic optimism or poor initial assessment. The identification of assumptions is a "reality check" for the potential for success of a project/program and may lead to the modification of the objectives (goal, outcome, output) and their indicators.

It is important to monitor assumptions during the life of the project/program, in order to make decisions about how to manage them. For example, on a coastal DRR project, if an unexpected drought occurred when PMI plan to plans coastal vegetation, the implementing team would have to consider how to find alternative water sources. In the case of factors even further beyond the project/program's control - such as the disease outbreak or worsening of civil unrest - the project team would have to consider scaling down or even closing the project.

There are a number of approaches to identifying which assumptions which should be monitored during the project/program. The process may seem complicated at first, but as you become more familiar with designing logframes, it will become more straightforward. The following six steps are recommended to assist in the identification of assumptions, followed by two examples illustrating how the steps are applied to two potential assumptions, of which one is an actual assumption

Steps to identifying assumptions

Step 1: Identify critical external factors/risks.

This is typically done during the initial assessment phase or analysis stage of the planning phase, e.g. through the problem analysis, SWOT analysis or other such tools. It may also be done by looking at each objective in the logframe and asking what may prevent it from being achieved.

Step 2: Restate the external factors/risks as assumptions - i.e. statements of the positive conditions needed for the project/program's success.

Assumptions identify potential problems or risks (at the soil of the problem tree) that can hinder or block the achievement of objectives, but they are restated as the conditions needed for the success of the project/program (see above on the difference between assumptions and risks).

> **An assumption** describes a risk as a positive statement of the conditions that need to be met if the project/program is to achieve its objectives.
>
> **A risk,** "the security situation gets worse", can be written as the assumption, "the political and security situation remains stable". Risks are often identified during the initial assessment stage and restated as assumptions during the design of the logframe.

Step 3: Align the assumptions with specific objectives.

Each assumption should be linked to a specific objective in the logframe - they are conditions which need to hold true in order for the achievement of one level of result to lead to the next. For example, the assumption "*community members actively participated*" applies for the output "*Disaster drill conducted in village level*".

An "if-and-then" test helps to identify the correct assumption at the correct level, for example:

- ✓ **IF** "village volunteers are trained on preparedness and disaster response"
- ✓ **AND** "village volunteers remain active and not moved from the targeted village" hold true,
- ✓ **THEN** the outcome "the capacity of target communities on disaster preparedness and response is improved" will be achieved.

In some instances, a general assumption may apply to all objectives, such as: "*The political situation remains stable allowing for project/program implementation*". It is best to list such a global assumption at the goal level, with the understanding that such an assumption would also affect all the objectives below that if it did not hold true.

Table 8. Examine the Vertical and Horizontal Logical Relationship "If; And; Then"

Examine the Vertical and Horizontal Logical Relationship "If; And; Then"

Project/program description	Indicators	Means of verification	Assumption
IF Goal	THEN		Assumption hold true
IF Outcome	AND THEN		Assumption hold true
IF Output	AND THEN		Assumption hold true
IF Activity	AND		Assumption hold true

If the objective hierarchy is read from bottom up, the logic is:

- ✓ IF adequate inputs are provided, AND assumptions hold true, THEN activities can be undertaken.
- ✓ IF the project is implemented, AND assumptions hold true, THEN output can be generated.
- ✓ IF output is generated, AND assumptions hold true, THEN outcome of the project/program will be achieved.
- ✓ IF outcome of the project/program is achieved, AND assumptions hold true, THEN will contribute to the goal achievement.

Step 4: Check that the assumption is indeed important.

Excessive assumptions can complicate the project/program design/logframe. Therefore, it is important to limit assumptions to only those that would threaten the project/program's success if they did not hold true.

For example, for the output "*Transitional shelter kits are distributed* ", it is unnecessary to list as an assumption that "Public transport is functioning in the area" if shelter kits would be distributed by PMI vehicles or collected by people on foot.

Step 5: Check that the assumption is indeed outside the control of the project/program.

It is important to avoid listing as an assumption something that the project/program should address itself. For example, in the context of a DRR promotion project, "People are receptive to disaster preparedness messages", may not be a good assumption when the project team can recruit appropriately trained staff or volunteers to consult the target population to design and market disaster preparedness messages that people will be receptive/interested to.

Step 6: Check that the assumption is "probable".

An assumption that should be included in the logframe and monitored is one that is "probable", i.e. an important external factor that will most likely hold true, but there is still a reasonable chance that it may not. Due to this element of uncertainty, it is important to monitor the external factor during the project/program implementation, in order to take action to address it if necessary.

External factors which are **"certain"** or **"unlikely"** require different action. *An important external factor that is **certain** to hold true should not be listed as an assumption*. It is certain the positive condition will happen, so no action needs to be taken.

If it is impossible to modify the project/program to address an external factors which is unlikely to hold true (i.e. a high risk), it may mean that the project/program is not viable and needs to be re-examined.

Table 9. How to Determine Assumption

Steps:	Two examples of potential assumptions for a sanitation project	
1. Identify critical external factors/risks.	Community members do not consistently using latrines	Government interest on environmental programming is low.
2. Restate the factor as an assumption – a statement of the positive condition needed for success.	Community members aware of the importance of using latrines consistently every day	Government have high interest on environmental protection.
3. Align the assumption with the specific objective.	Outcome level: IF we achieve the outcome "the river water quality is improved" AND the assumption " Community members aware of the importance of using latrines consistently every day" hold true THEN we will contribute to the goal achievement "to reduce the incidence of the water borne diseases"	Outcome level: IF we achieve the outcome "the river water quality is improved" AND the assumption "Government have high interest on environmental protection." hold true THEN we will contribute to the goal achievement "to reduce the incidence of the water borne diseases"
4. Check that the assumption is indeed important.	Yes - Community members aware of the importance of using latrines consistently every day – are important to maintain the good quality of river water.	Yes - Government have high interest on environmental protection will affect the protection of river ecosystem.
5. Check that the assumption is indeed outside the control of the project/program.	**This is not included in the logframe as an assumption** because the project can control this by, for example: ✓ designing activities and objectives that will educate community; and ✓ facilitate the construction of public/private latrine to easy the access to sanitation facilities	While the project may be able to anticipate the government interest on the environmental protection, however, it is outside of its control.
6. Check that the assumption is probable.	This is not listed as an assumption because it can be controlled (as shown in Step 5).	**This is included in the logframe as an assumption** because there is a reasonable chance that government interest on the environmental protection is low, although not certain or very unlikely. Therefore the government interest on the environmental protection should be monitored during the project implementation.

3.5. Indicators

An indicator is a unit of measurement that helps determine what progress is being made towards the achievement of an intended result (objective). Indicators set out what information to collect in order to answer key questions about the progress of n project/program.

Indicators can be **quantitative** (e.g., numbers, percentages) or **qualitative** (e.g., level of understanding and quality of implementation). It is best to use a combination of both when possible. The indicators must be able to answer key questions about the progress of the project/program:

- ✓ How much did we do? How many resources did we use to get there? (*efficiency*)
- ✓ Are we accomplishing the intended output and outcome? (*effectiveness*)
- ✓ How do the people we are seeking to help feel about our work? (*relevance and appropriateness*)
- ✓ Is the project/program responding to real needs? (*effectiveness, relevance and appropriateness*)
- ✓ Is the work we are doing achieving its goal? (*impact*)
- ✓ Will the benefits to the population be long-lasting, even after the project/program has finished? (*sustainability*)

The information on the indicators collected during the monitoring and evaluation. Then it will be used to assess progress and guide decision-making through the project/program implementation. The information can also help lessons to be learned from a project/program in order to build on successes and avoid repeating mistakes.

Indicators criteria

Based on the explanation above, indicators should be able to measure progress, impact/effectiveness, efficiency, relevance, sustainability, and processes of a project/program. As a unit of measurement, indicators must meet the criteria of “SMART”.

SMART is a well-known formula to verify the quality of indicators. All indicators should meet the following criteria to be accurately and reliably measured project/program progress and achievements:

Box 2. SMART Criteria

SMART (Specific, Measurable, Attainable, Relevant, Time-bound):

- ✓ **Specific:** The indicator clearly and directly measures a specific result for the objective it is measuring; only measuring one thing, NOT two or more and not ambiguous.
- ✓ **Measurable:** The indicator is unambiguously specified so that all parties agree on what it covers and there are practical ways to measure the indicator.
- ✓ **Attainable:** The measurement of the indicator is feasible and realistic, within the resources and capacity of the project/program, and the data are available.
- ✓ **Relevant:** The indicator provides appropriate information that is best suited to measuring the intended result or change expressed in the objective.
- ✓ **Time-bound:** The indicator specifies the specific timeframe at which it is to be measured.

The same criteria can be used to develop indicators. For example, for the outcome **"The capacity of communities to prepare for, respond to and mitigate disasters is improved"**, the indicator topic would be: "Practice of disaster preparedness measures".

In order to make this indicator accurately and objectively verifiable, elements meeting the SMART criteria are added.

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Table 10. Example of SMART Indicator Criteria

SMART criteria	Indicator topic: Practice of disaster preparedness measures
Add Specific quality	People who practice disaster preparedness measures **identified in the community disaster management plan.**
Add Specific area/target group	People with age > 17 years old in the **Eastern District** who practice disaster preparedness measures identified in the community disaster management plan.
Add measurable quantity	People with age > 17 years old in the **Eastern District** who practice >= 5 disaster preparedness measures identified in the community disaster management plan.
Make sure the information is **Achievable**	Information can be collected through a household survey.
Make sure the information is Relevant	Practicing preparedness measures" is relevant to "prepare for disasters".
Make **Time-bound**	People with age > 17 years old in the **Eastern District** who practice >= 5 disaster preparedness measures identified in the community disaster management plan within **2 years of project implementation**.
Set target after baseline has been established	**80%** of people in participating communities in the **Eastern District** who practice 5 or more disaster preparedness measures identified in the community disaster management plan within 2 years of **project implementation.**
Final indicator statement	**80% of people in participating communities in the Eastern District who practice 5 or more disaster preparedness measures identified in the community disaster management plan within 2 years of project implementation.**

Indicator weight

Indicators also has its weight, in terms how difficulty to achieve them as well as how ease the measurement will take place. The higher objectives then its indicator is increasingly weighty and often times it takes a greater effort to collect its data.

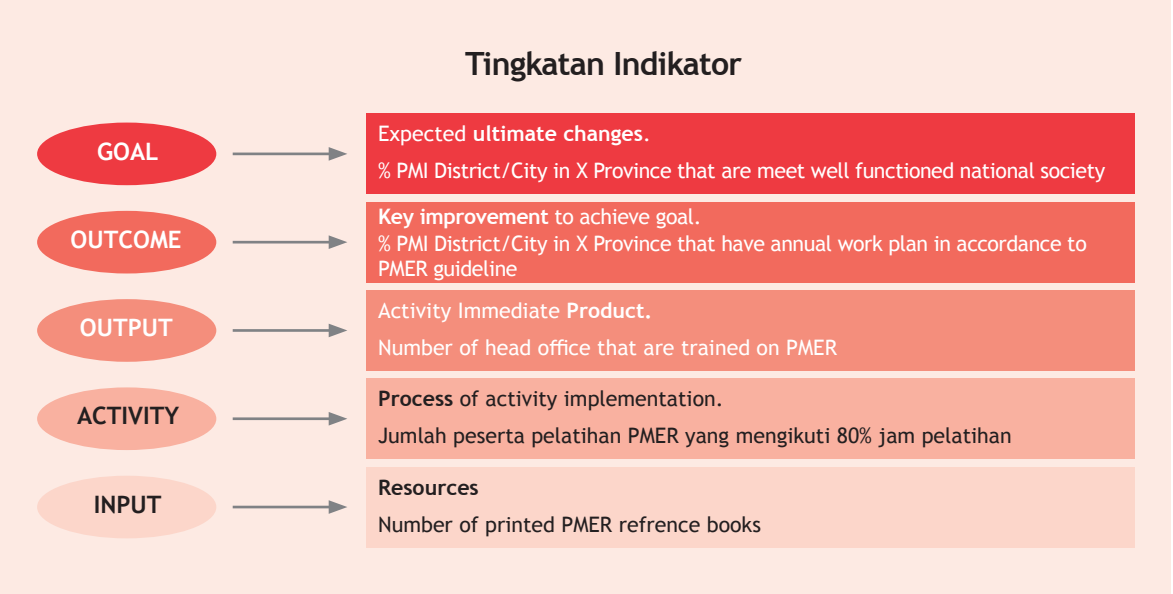
It is usually easier to accurately measure process and output indicators than outcome indicators, such as changes in behavior. The higher levels of the indicator hierarchy require more analysis and synthesis of different information types and sources.

This affects the data collection methods and analysis during the monitoring and evaluation phases, which in turn has implications for staffing, budgets and timeframe.

The following levels of indicators, ranging from the input to the goal.

- ✓ Input indicators measure the resources for activities (money, human resources, time, and materials).
- ✓ Activity indicators measure the implementation process.
- ✓ Output indicators measure the direct results of activities.
- ✓ Outcome indicators measure the key changes needed to achieve the goal.
- ✓ Goal indicators measure final expected changes.

Diagram 16. Levels of Indicator



How to define the indicators

Step 1: Clarify the objectives.

Review the precise intent of the objectives and make sure you are clear on the exact changes being sought by the project/program. Good indicators start with the formulation of good objectives that everyone agrees on.

Step 2: Develop a list of possible indicators.

Usually, many possible indicators can be readily identified, whether from the experiences of similar projects/programs or it can be particularly useful to refer to international industry standard indicators for a similar project/program.

Step 3: Assess the possible indicators and select the best.

In refining and selecting the final indicators, you should set a high standard and be practical. Data collection is expensive, so select only those indicators that represent the most important and basic dimensions of the results sought.

Basically there are various sources of indicators that have been tested by international standards, and is used widely in the world, for example from government programs (ministries), the UN, and donors (such as USAID, AusAID, the Hyogo Framework of Action / HFA, and IFRC).

During program/project development, you should use standardized indicators instead of creating new indicators when **not** needed. Typically, there is indicators list/bank/register, along with its definition, calculation, and means of verification. These information will be very useful and helpful to do proper indicators measurement.

PMI has developed a list of indicators (called **Indicators Registry**) for the Strategic Plan and Operational Plan 2014-2019 which has accommodated all programs, sectors and services. Furthermore, those indicators were created specifically for each level of PMI office, starting from the headquarter, provincial, and district/city.

When designing a project/program or work plan, you should refer to the PMI indicator register, choose and determine which indicators are relevant to achieve within a certain period of time.

When identifying and determining the indicators, it is also important to consider how will the required information carefully collected, stored, and analyzed. This topic will be discussed in the next section.

Example of improved indicators to be SMART-er

Example 1.

Goal : To improve the quality of Primary School in the A District.
Indicator : **Students are better** by 2015 at District A.
Feedback : Not Specific; Not ***Measurable***.
Correction : **Percentage of 6th grade of primary school** at District A who **passed the final exam** by 2015.

Example 2.

Outcome : Youth's knowledge on HIV & AIDS in increased.
Indicator : % youth study about AIDS.
Feedback : Not Specific, Not ***Time-bound***, Not specific area.
Correction : % of youth with **17-25 of age** at District A able to mention at least 5 ways to prevent HIV transmission **by the end of 2015.**

Example 3.

Outcome : Condom use is increased.

Indicator : Number of people using condom during the last risky sex by the end of the project.

Feedback : Not *attainable* (it is very difficult or not impossible to collect this information accurately).

Correction : Percentage of respondent who report that they/their spouse using condom during the last risky sex by the end of the project.

Example 4.

Goal : To increase the immunization coverage for baby in District A.

Indicator : Number of mother who kept her baby's immunization card by the end of 2014.

Feedback : Not Relevant.

Correction : % of under one year baby have received all basic immunizations by the end of 2014.

Example 5.

Outcome : Road access facilities in District A is functioned.

Indicator : Number of kilometer of the road construction that have been completed and the bus route in District A has been established.

Feedback : Not Time-bound, Not Specific ("Mixed Indicator").

Correction : Number of kilometer of the road construction that have been completed and ~~the bus route~~ in District A ~~has been established~~ by the 18th months of the project.

Traps to avoid when identifying indicators

Indicator is a measurement or a sign or an evidence of an achieved objective/result expected in a project/program.

Table 11. Traps during Identifying Indicators

Traps	How to avoid it
Selection of too many indicators Having long lists of indicators that nobody ever measures.	Be realistic! Indicators only need to capture what is necessary for monitoring and evaluation and to be realistic in terms of data collection. One to three indicators per objective statement are usually sufficient.
"Re-inventing the (indicator) wheel" Designing indicators when good ones already exist.	Look for international or industry standard indicators, e.g. indicators developed by UN agencies (such as for the Millennium Development Goals) or for DRR programming from National DM Agency or Hyogo Framework or the Demographic and Health Surveys, which have been used and tested extensively.
Labor-intensive indicators Selection of overly complex indicators requiring labor-intensive data-collection and analysis	Check if there are secondary indicator sources. It may be cost-effective to adopt indicators for which data have been or will be collected by a government ministry, international agency, etc.
Irrelevant indicators Selection of indicators that are activities or results statements or indicators which do not directly measure the objective.	Make sure you can answer "Yes" to the following questions: ✓ Is this statement a criteria or measurement by which we can demonstrate progress? ✓ By measuring this indicator, will we know the level of progress?
Imprecise indicators Indicators that are not specific so they cannot be readily measured	✓ Keep the indicators as simple, clear and precise as possible (see SMART criteria). ✓ For example, it is better to ask how many children have a weight/height ratio above malnourishment levels than to enquire generally whether the household suffers from malnourishment.
Low-level indicators Over-concentration on indicators which measure only outputs or activities.	✓ Although indicators at the output level are easier to collect and are useful for project/program management, they do not show the project's/program's progress or impact. ✓ It is important to have a few key indicators at output, outcome and impact levels.

3.6. Means of Verification

The "means of verification" are the ways in which information will be collected on the indicators to monitor and evaluate the progress of the intervention. For example, body temperature is an indicator of health, a thermometer provides the information.

The means of verification should be defined at the same time as the formulation of the indicator. This is especially important as it helps to test whether or not the indicator can be realistically measured at all, and within a reasonable amount of time, money and effort.

If the means of verification imply that it is much too expensive or complicated to collect information on a particular indicator, consider whether it should be replaced by an indicator that is easier to measure, which may be an **indirect (proxy) indicator.**

For example, it can be very difficult to measure real increases in income in a community, as it is not possible to have access to individuals' bank statements. However, changes can be more easily measured in household assets (number of new vehicles or improved housing) in the community through focus group interviews or even observation, which gives a good indirect measure of the levels of income in that community.

Steps to determine the means of verification

Step 1: Define the sources of information.

Normally this would state from where the information to measure the indicator will be collected, whether through primary research (reports or other information gathered from special studies, surveys, observation, focus group discussions (FGD) and HVCA's[3] result and/or secondary research, i.e. available documentary sources (e.g. administrative records, other organization/institution's reports, official statistics, etc.).

Sometimes, only the sources of information can be identified in the initial planning stage. The next step will be completed in more detail when designing the project/program monitoring system.

3 Hazard, Vulnerability and Capacity Assessment

Step 2: Identify the data collection methods.

In addition, the means of verification can specify **how the information will be collected.** If this is not done at this stage, it can be carried out when designing the project/program monitoring system.

Identifying the data collection methods can include:

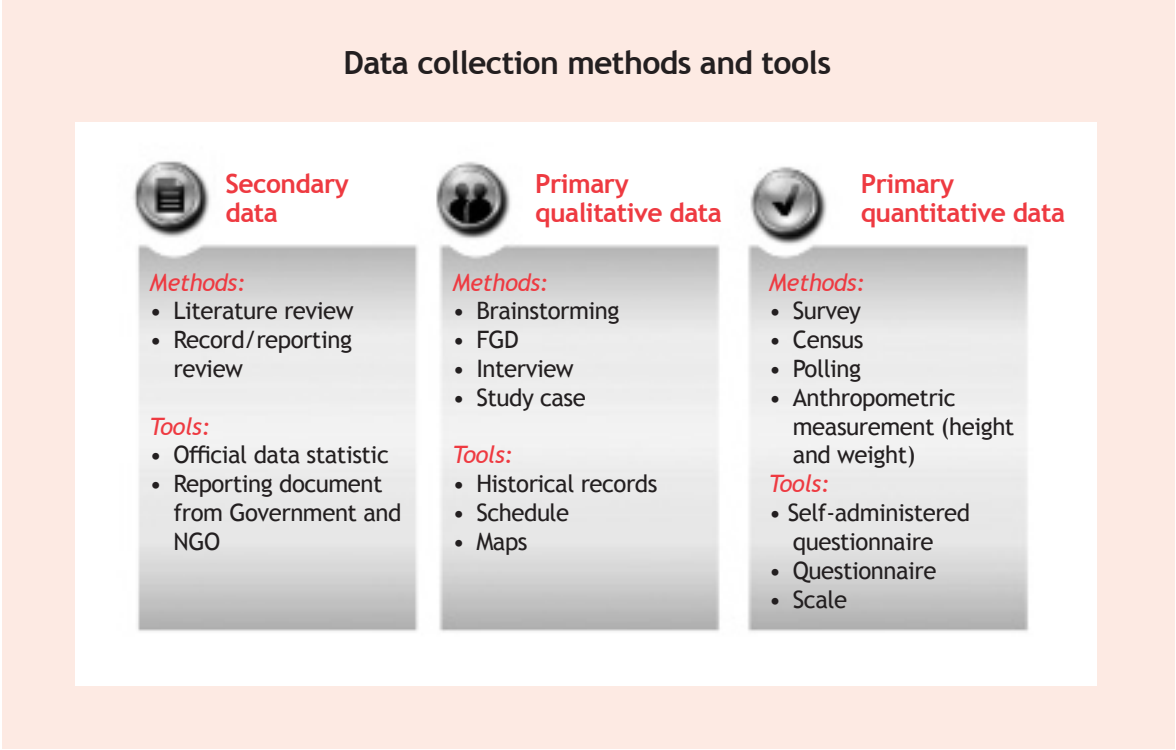
- ✓ Consulting secondary research sources (as listed above).
- ✓ Specifying which primary research methods will be used (as listed above).
- ✓ For more detail, one can also include the following information – although this would more commonly be specified in a monitoring and evaluation plan: who will participate in the data collection (e.g. contracted survey teams, the district health office, the project/program management team, volunteers, etc.). When/how regularly, the information will be provided (e.g. monthly, quarterly, annually, etc.) How the data will be analyzed

At the end, you should consider whether the collection of information will be possible with current capacities. If the required information cannot easily be collected with existing capacities, this should be discussed carefully. Can the required information be collected through existing systems or by improvements to existing systems? If important information is not already being collected, additional time and costs should be budgeted for in the overall project/program plan.

3.6.1. Data collection tools

You should be able to distinguish between methods and tools. Method is “the how to get the data”; while the tool is “tool”. Here is an example of wide range of data collection tools, both primary and secondary data; as well quantitative and qualitative. You need to remember that using a combination of quantitative and qualitative data is the best way to provide high quality information.

Diagram 17. Types of Data Collection Methods and Tools



After those four steps of preparing a logframe is finished, you will then have a complete logframe matrix, as in the example given in following Tables 12 and 13.

Logframe describes what you want to achieve/produce with clear performance indicators;

Logframe is a basis to develop a proposal/work plan as well as to conduct M & E

Table 12. Example of Sanitation Project Logframe Matrix

Objectives	Indicators	Means of Verification	Assumptions
Goal Reduced incidence of diseases caused by low quality of river water by preventing waste disposal into river.	1 # of incidence of diseases caused by low quality of water in target areas at the end of project. 2 Concentration of E. coli bacteria fulfilled the national sanitation standard at the end of project.	✓ Disease incidence records in the Health Office ✓ E. coli measurement records in the Environmental Office	✓ No epidemic outbreaks occurred. ✓ No severe natural disaster occurred. ✓ Support from government exists.
Outcome 1. Behavior of target community to defecate in latrines improved.	1.1 % of surveyed respondents claiming that all of their family members defecate in latrines every day at the end of project.	Survey using questionnaires	✓ Latrines are available. ✓ Education is effectively conducted. ✓ Local government issues prohibition of defecation in rivers.
Output 1.1. Latrines are available in every household.	1.1.1 % of household owning latrine at the end of the second year of project.	Village volunteer monitoring record	-
Output 1.2. Communities are educated on healthy lifestyle, including on defecation in latrines.	1.2.1 % of community members joining health promotion.	Attendance record	-
Output 1.3. Regulation on prohibition of defecation in rivers is disseminated by village apparatus to community members.	1.3.1 # of target village issuing prohibition of defecation in rivers and the surroundings.	Village Regulation Document	-
Outcome 2. Community knowledge on prevention, transmission, and treatment of diseases caused by low quality of water increased.	2.1 % of surveyed respondents able to mention prevention methods for 3 diseases caused by low quality of water. 2.2 % of surveyed respondents able to mention home treatment methods for diarrhea.	Survey using questionnaires	✓ Community interest and participation are high. ✓ Support from village/ local government exists.
Output 2.1. Communities are educated on clean and healthy lifestyle.	2.1.1 # of household receiving volunteer visit every quarter. 2.1.2 # of village holding mass promotion every six months.	Volunteer activity record	-
Output 2.2. Education materials in form of brochures and posters are equally distributed to target community.	2.2.2 # of brochures or posters distributed to target community within the first year of project.	Logistic/inventory record	-

Table 13. Example of Disaster Preparedness Project Logframe Matrix

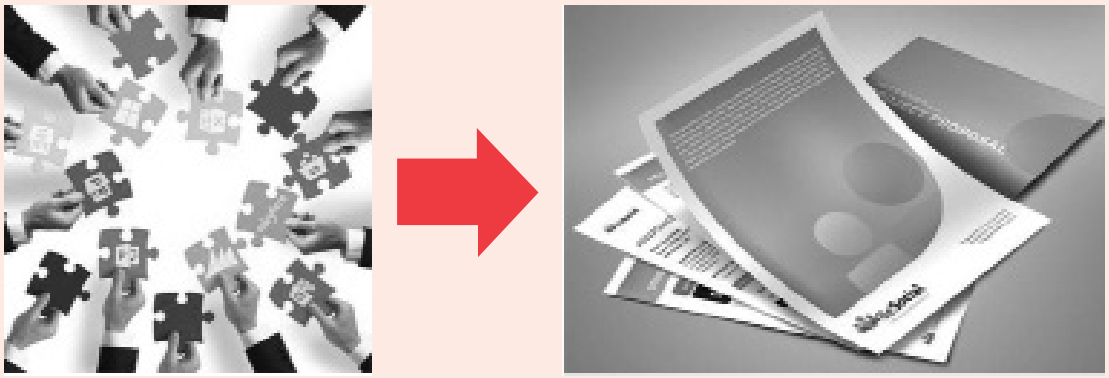
Objectives	Indicators	Means of Verification	Assumptions
Goal **Reduce deaths and injuries related to disasters in the Eastern District.**	1. Ratio of deaths caused by disaster to number of people exposed to a disaster in the Eastern District after the first year of project.	Eastern District Disaster Management Agency statistics	✓ No major unexpected epidemics, serious civil unrest or "mega-disaster" occur. ✓ Local government support to DRR-DM initiatives exists. ✓ The political, security, and economic situation remains stable.
	2. % of injuries caused by disasters in the Eastern District after the first year of project.	Post-disaster assessment	
Outcome 1 **The capacity of communities to prepare for and respond to disasters is improved.**	1.1. % of surveyed respondents in target village who practice 5 or more disaster preparedness measured identified in the community DPM plan at the end of project.	Baseline and endline household survey	✓ People in the community actively participate in building the capacity of disaster preparedness and response. ✓ Village apparatus are committed and provide consistent support.
	1.2. % of target village with identified response mechanism in place after the second year of project.	Village emergency plan document	
Output 1.1. **Target villages develop Disaster Risk Reduction Plan and Village Emergency Plan.**	1.1.1. # of target village that has a Disaster Risk Reduction Plan in the first year of project.	Village Disaster Risk Reduction Plan document	-
	1.1.2. # of target village that has tested Emergency Plan in the first year of project.	Village emergency plan simulation checklist	-

Objectives	Indicators	Means of Verification	Assumptions
Output 1.2. **Communities' awareness of measures to prepare for and respond to disasters is improved.**	1.2.1. % of community members aged >17 years old in target villages who participated in at least one DRR education/promotion activity during the life of project.	Promotion attendance list	-
Output 1.3. **Early warning systems to monitor disaster risks are established.**	1.3.1. % of target village with an early warning system in place in the second year of project.	Focus group discussions (FGD)	-
Outcome 2. **The capacity of schools to prepare for and respond to disasters is improved.**	2.1. % of target schools that have passed the criteria of disaster prepared school in accordance with the standard from the Ministry of Education after the second year of project.	Ministry of Education assessment document or disaster prepared school certificate	The political and security situation remains stable allowing school-level actions to be carried out.
	2.2. % of target schools that have successfully conducted one disaster simulation every year.	Simulation assessment checklist	
Output 2.1. **Disaster Management Committees are formed in target schools.**	2.1.1. % of Disaster Management Committees (at least 2 teachers, 2 parents, 2 students) who conduct regular monthly meetings in the first year of project.	Meeting minutes	The trained teachers remain in their job for at least one year.
			Principals and teachers are committed to support activities.
Output 2.2. **School Disaster Management Plans are developed in target schools.**	2.2.1. # of target schools that have a Disaster Risk Reduction plan after the first year of project.	Copy of School DRR Plan	-
Output 2.3. **Disaster Risk Reduction lessons are included in the curriculum.**	2.3.1. % of students in target schools who have received disaster preparedness and response education after the first year of project.	School DRR education activity reports	-

3.7. Developing Project/Program Proposal

After a logframe is completed, the next step is to develop project/ program proposal or a work plan. A proposal normally contains the following information.

- ✓ **Background** (initial assessment results which rationalize why particular problems need to be addressed through a project/program)
- ✓ **Summary of analysis** (SWOT analysis of PMI, stakeholder analysis and problem analysis, objectives analysis, objective selection)
- ✓ **Summary of the objectives**, such as goal, outcomes, outputs, implementation strategies, key activities.
- ✓ **Description** of the target areas, number of beneficiaries, required human resources, duration of implementation, and funds or other resources needed.
- ✓ **Proposed** Implementation Plan and Budget.
- ✓ **Logframe and M & E Plan** is usually attached to the proposal.



Developing a proposal: writing down the analysis result of the needs, capacities, stakeholders, logframe, activity plan, and budget into a concise document (10-30 pages) to seek for funding and approval.

You can also read some of proposal examples to develop a good proposal. Several examples of the proposal format has been provided **in the Annex 9 on page** 230. The quality of a proposal is not depending of its length, but the content should be comprehensive, concise, dense, clear, and rational.

One of the key in developing a good proposals is scope planning (i.e.: products/results and activities) and comprehensive required resources as explained below.

3.7.1. Determining Project/Program Scope

The American baseball legend, Yogi Berra, famously said, **"If you don't know where you are going, you will wind up somewhere else."** Similarly, to the project/program scope, if you do not know are the expected result and how to deliver them, you will never success. That is why scope management is so important to successful project/program

Recognizing the subtle yet significant difference between two elements of the scope of the project, let us examine those two definitions more closely:

- ✓ **Product scope describes the deliverables of the project/program.** A complete definition of product scope will be an unambiguous, comprehensive description and **specification** of the products/services which are to be delivered. The level of detail provided in the product scope should be sufficient to counter any potential future disagreement about what was intended. Product scope is beneficiaries-oriented, meaning that its definition must meet certain standard.

- ✓ **Project/program scope describes its overall works.** A complete definition of project/program scope provides a comprehensive and detailed description of **the work** that must be completed to deliver the expected deliverables. Project/program scope is provider-oriented, meaning it depends upon what the implementing team decides will be the most appropriate way to deliver the project/program scope.

Once the implementing team has defined the product and project/product scope, the head of office or manager should review the definition of scope for the following:

- ✓ **Completeness** - does the team know exactly what it is being asked to deliver?
- ✓ **Ambiguity** - will different stakeholders have the same understanding of what is being asked for?
- ✓ **Resources** - are the resource requirements understood and defined?
- ✓ **Agreement** - has the team agreed on the deliverables?
- ✓ **Viability** - is the team capable of producing the agreed deliverable?
- ✓ **Acceptance** - has everyone (team and stakeholders) agreed what constitutes an acceptable product?

Both of these components are critical to project/program success and need to be managed diligently. **In the absence of a clear scope definition,** the following problems may arise:

a. **Unclear expectations:** Ambiguity in scope leads to confusion among stakeholders with regard to **what to expect** - and **what not to expect** - from the project. A clearly identified scope helps stakeholders share a common understanding of the benefits of the project/program and the work required to successfully deliver its outcomes and outputs. Stakeholders need to be 100% clear about the scope so as to ensure that they do not have incorrect or unrealistic expectations about what products/services will be delivered.

b. **Inaccurate estimates:** Errors in scope definition often result in project/program that have failed to identify all the work required to complete it. Conversely, poorly developed scope can result in unnecessary work being included in the project/program. These scoping errors can cascade, resulting in errors in budget and time estimates. These estimate failures can result in schedule slips and, finally, cost overruns, and the quality is compromised.

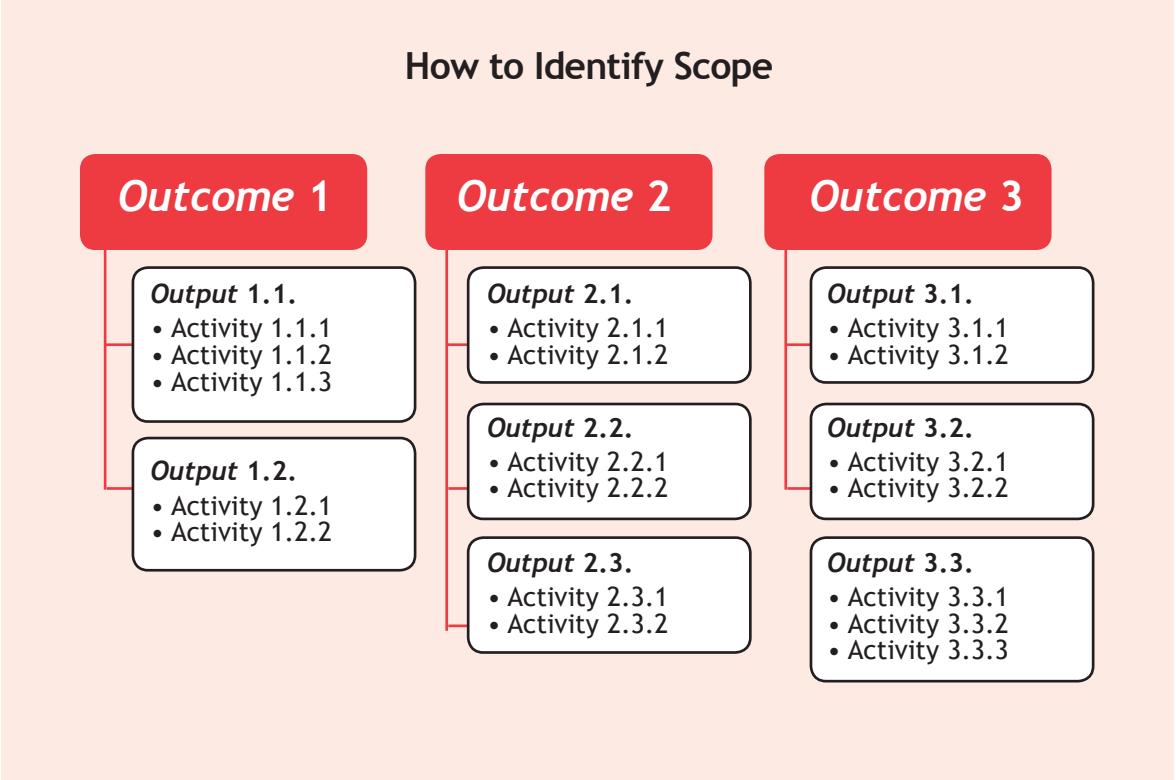
c. **Scope Creep** – The purpose of defining scope is to clearly describe and gain agreement on the boundaries of the project/program deliverables and its works. Failure to control these boundaries leads to a scope creep– a principle cause of project delays and potentially "never ending" project/program.

Defining product/project scope

First, you need to refer back to the log frame and then identify all the outputs under each outcome. Furthermore, for each output, identify all activities required to produce it. Sometimes, to produce one output, you need to do more than one activity.

Make sure that you have identified all the activities required to produce each of output. Afterwards, the identification of those activities will inform the proposed implementation schedule and budget. The following diagram illustrates how to identify the project/program scope.

Diagram 18. Example of Scope Identification Diagram



3.7.2. Developing Proposed Implementation Plan

After identifying and understanding the project/program scope comprehensively, the next step is to develop an implementation plan.

Have you ever experienced a project/program with schedule challenges? What was the problem? Did the project/program allocate insufficient time to complete the deliverables? Were key project/program tasks delivered late? Was the project schedule based on estimates of resources (labor, machinery, other?) that were not realistic?

Delivering projects on time is one of the biggest challenges faced in project/program management. To successfully manage time, project/program managers require the ability to develop accurate schedules and to implement them accordingly. The first step in successful time management is schedule planning which is realistic and systematic.

Table 14. Example of Proposed Activity Implementation Schedule

Activity	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Activity 1.1.1												
Activity 1.1.2												
Activity 1.1.3												
Activity 1.2.1												
Activity 1.2.2												
Activity 2.1.1												
Activity 2.1.2												
Activity 2.2.1												
etc.												

3.7.3. Developing Proposed Project/Program Budget

PMI usually rely on public support, individual or organizational donors, government to fund its programs and they expect donations to be well managed to deliver expected results. PMI also have an obligation to the communities and partners they serve, being responsible to ensure that resources obtained on their behalf are used in an optimal manner in order to maximize impact. In some of PMI Provinces and Districts, it is often to find a work plan without a realistic budget plan. Even if they have the budged, it is usually in lump sum by activity and without a clear plan on spending (time frame of budget absorption). Therefore, excess or shortage of budgets is often the case. Every project/program manager or head of the office should comprehensively knowledgeable on the definitions, objectives, and benefit of a good budgeting, and also skilled to effectively develop the budget.

Budget is a description of the project/program's financial plan that includes a list of project/program cost estimates. As is the case for all components of the project/program plan, the key to accurate budgets is assuring that they are comprehensive and detailed. To exercise prudent financial management of the project/program, the head of office/project/program manager will need to develop skills in these three areas:

- ✓ Developing budgets
- ✓ Identifying cost estimates
- ✓ Monitoring budgets and expenditures

Budgeting objectives:

- ✓ to rationalizing resources and provide limits on the amount of funds that need to be sought and used,
- ✓ to enhance the work plan, as with the budget, it is more clear and concrete,
- ✓ to accommodate, analyze and decide any proposals related to finance.

Benefits of budgeting:

- ✓ to ensure that all activities are directed to achieve its objectives,
- ✓ as tools to assess the budget utilization (over or under expensed),
- ✓ to create a sense of responsibility to the employees,
- ✓ to avoid waste of resource (increase the efficiency).

Developing activity-based budgeting

There is a saying: "Set your mission first, then money will follow!" This is true, you have to plan your mission in advance, then the money will come. This is the principle of objective-based planning or activity-based budgeting. Activity based budgeting focuses on identifying costs of activities that take place, including direct and indirect work.

There are some of approaches that you could use in developing a project/ program budget. Generally, **activity based budgeting is more realistic** than other budgeting approaches, as it involves understanding how much activities will actually cost. If a project/program manager is able to develop a complete (both comprehensive and decomposed) list of activities along with cost estimates for activities, then a budget will prove accurate.

While there are a number of possible activity based budget formats that add details such as account, codes, donor codes, and unit costs -- they all have two similar requirements:

- ✓ have a complete list of activities during scope planning.
- ✓ describe what will be needed to accomplish each activity and estimate how much each will cost.

Approaches in budget development

Budget estimation are normally developed through a combination of the following three techniques:

- ✓ **Top-Down Estimates** ➔ start with a global estimate for the cost of a project/program and then assign a percentage for that total to different phases or work packages of the project. The percentages assigned to the components are generally identified by individual(s) who have previous experience on similar projects.

- ✓ **Bottom-Up Estimates** ➔ do not start with a global estimate of the cost of the project. Instead, tasks are estimated and "rolled up". In this model, the estimates are solicited from the people who have knowledge of the field reality (project/program implementing team).

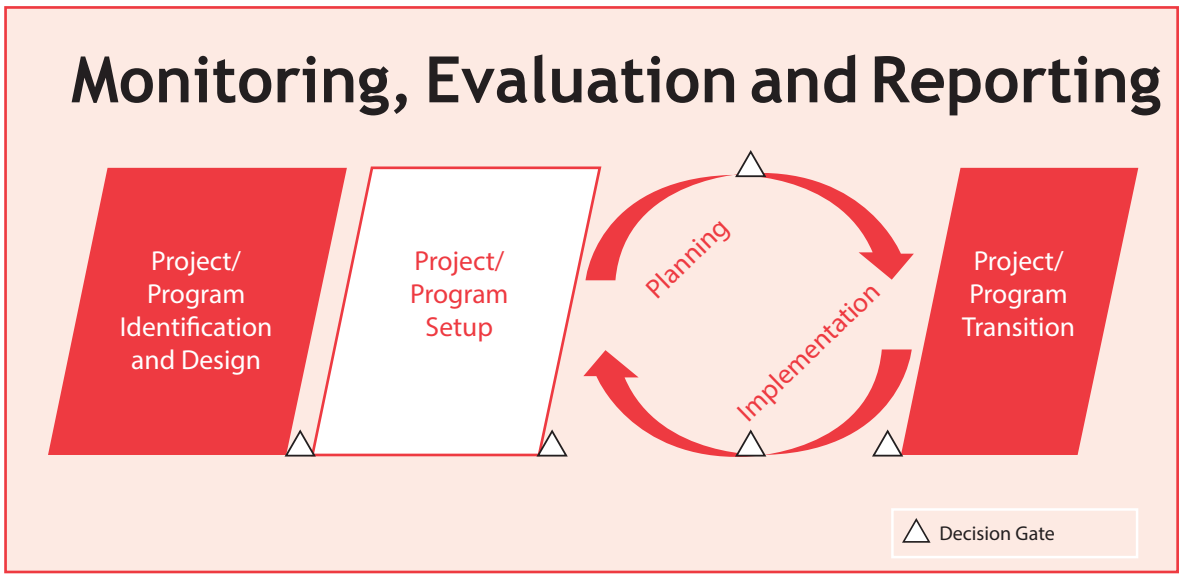
- ✓ **Parametric Estimates** ➔ uses a statistical relationship between historical data and other variables (for example, square footage in construction, meters of road, etc.) Parametric estimates tend to be used for projects and project components that produce concrete outputs (for example, infrastructure building, road construction translation services, etc.)

You can develop activity-based budget with combination of those three approaches. Meanwhile, for the budget's format, you can customize with the format that has been used in the PMI or whichever provided by the government or donors.

By following the steps described in the identification and design phases, you will have a proposal or a work plan which is ready to be proposed to the board members, donors, or government. A work plan or proposal will be assessed carefully to secure approval for funding and implementation.

A work plan or a proposal should be LOGIC, CONCISE, AND CLEAR. The aim of proposal/work plan development is to obtain approval and to secure funding.

Project/Program Set Up Phase 4



Once the proposal or work plan as well as the proposed budget have been approved, the implementing team **MUST NOT** immediately carry out activities without good preparation phase. Every successful project/program begins with a thoroughly planned and implemented set up phase.

The objectives of the project/program set up phase include:

- ✓ establishing the project/program governance structure.
- ✓ officially authorizing the start of the project/program.
- ✓ communicating the project/program launch to all key stakeholders

The benefits of the project/program set up phase include:

- ✓ ensure the **support** of decision makers to the project/program,
- ✓ **authorize** or give a **"green light"** to the implementation team to start the activity; recruiting and hiring staff / volunteers; use of resources,
- ✓ provide **clarity about the commencement of the project/program.**

If you don't attack the risks, the risks will attack you!

-Unknown/Anonymous

4.1. Establishing the Project/Program Management Structure

Without clear accountability, a project/program will not be successful; and problems arisen will not be resolved properly. A robust governance structure clarifies:

- ✓ **Authority:** Who has the power to make decisions and within what tolerance levels;
- ✓ **Accountability:** Who is accountable for the success of the project/program?

The responsibility of the project/program governance structure would be to:

a. ensure organizational commitment and accountability all PMI organization entity to the project/program; the board members, staff, as well as volunteers;

b. decide on proposed project/program changes including scope, budget, calendar or others;

c. oversee the project/program, providing resources, direction and insight as necessary;

d. monitor the ongoing viability of the project/program, making decisions to terminate the project/program if necessary;

e. support and advise the project/program manager on the management of the project, especially on issues that extend beyond the span of control of a manager or head of office;

f. ensure that the organization “owns” the process and results of the project/program.

4.2. Developing Project/Program Charter

"Project/Program Charter" is a document that provides a high-level description of the project/program and which is signed by the PMI board members (and donors). The contents of the Project/Program Charter can vary, but usually includes statements regarding the:

a. **Project/program purpose/objectives** – including a statement of the need the project/program will address.
b. **Project/program deliverables** – articulating the scope of the project/program, including its goal, outcomes, and major outputs.
c. **High-level project/program estimates** – including a high-level statement of: activities; schedule; budget; and a preliminary list of the roles and skills required to perform the necessary work.
d. **Project/program risks** – identifying potential problems/risks that the project/program might encounter.
e. **Project/program tolerances** – articulating project tolerances regarding project deliverables, schedule, cost and risks.
f. **Project/program change control** – establishing an exception handling process for when the project/program exceeds a tolerance in any of these areas.

An example of Project/Program Charter is provided in Table 15 in the following page. Once developed and signed, it is important that it not be put on a shelf and forgotten. The project charter is extremely useful document that can be used to accomplish the following objectives:

- ✓ to officially authorize the start of project activities and the use of resources for project/program implementation;
- ✓ to ensure that there is shared understanding of the project/program parameters among key project/program stakeholders and sponsors (both internally and externally);
- ✓ to document a shared commitment to the objectives of the project/program and the resources/activities required for project/program success.

Table 15. Project Charter

SAMPLE OF PROJECT/PROGRAM CHARTER (HIGH LEVEL INFORMATION)	
Title	Indonesia Wonogiri Integrated Health – Disaster Risk Reduction Project
Location	Wonogiri District of Central Java Province, Indonesia
Sector(s)	Health and Disaster Risk Reduction
Donors	American Red Cross and Spanish Red Cross
Part I. Executive Summary	
The project is intended	to address health and disaster risks, issues, and impacts in the community level through community-based approach by mobilizing volunteers and utilizing the capacity of the society.
The project's mission	is to strengthen PMI's capacity to improve knowledge and practices of community members towards resilience.
The project's benefits	to the organization is to obtain lessons learned on how the integration could be possibly carried out in a better (or the best) enabling environment, methods, approaches, and strategies.
The project's goal	is towards resilient community through the integration of DRR into CBHFA/Health Programming through capacity building for the community and PMI in Wonogiri.
Outcome 1	PMI Wonogiri Branch, Central Java Chapter and targeted communities' **capacities to deliver and manage** Integrated Health-DRR projects are improved.
Outcome 2	The **knowledge and practices** of target communities, including school students, to address **priority health issues** and prevent diseases are increased.
Outcome 3	The **capacity and safe practices** of targeted communities, including school students to prepare for and respond to future **disaster impact** are increased.
Outcome 4	The **partnership** between PMI and local authorities to develop, deliver, and sustain an Integrated Health-DRR project is strengthened.
Part II. Project Definition	
The project's scopes are	✓ Organizational capacity building ✓ Volunteer mobilization ✓ Education to community ✓ Hazard Vulnerability Capacity Assessment at the village level ✓ Development and implementation of DRR plan at the village level ✓ Development of contingency plan at the village level and district level. ✓ Establishment of early warning system ✓ Disaster simulation at the village and district level. ✓ Strengthening of Disaster Command Post (Posko) ✓ Regular coordination with local stakeholders
The project's timeframe is	April 12, 2012 – December 31, 2014 (33 months)
Project's major milestones	✓ Preparation, start-up, and dissemination of information ✓ Baseline survey ✓ Capacity building ✓ Implementation of community and school level activities ✓ Annual review ✓ Endline survey and evaluation ✓ Final reporting

Project budget	USD 300,000 (USD 150,000 from American RC and USD 150,000 from Spanish RC)
Project Beneficiaries	✓ Direct: 116,850 in 30 villages and 30 schools ✓ Indirect: 726,370
Resources available	✓ Human resources (project staff at all level; Branch's volunteers; Village volunteers) ✓ CBHFA and DRR related guidelines ✓ IEC materials for reprinting
Quality requirements are	✓ Timely and complete activity completion ✓ Scientific baseline survey data collection and analysis ✓ Robust Hazard, Vulnerability, and Capacity Assessment ✓ Successful disaster drills (simulation) ✓ Functioning Early Warning System ✓ Functioning Disaster Command Post ✓ Increased knowledge in Health and DRR priority topics ✓ Change into healthier and safer practices ✓ Complete and timely activity and financial report
Assumptions made	✓ Strengthened leadership and improved project management capacity ✓ PMI in various levels have high interest and buy-in to the integration of DRR and health ✓ High retention and commitment from volunteers both et the branch and village level ✓ High interest and participation from community members ✓ Continuous support from relevant stakeholders ✓ Available qualified staff ✓ Available materials (IEC, Tools, Guidelines, Equipment, etc.)
The project's constraints are	Time: 33 months to cover 4 Health Topics including Non-Communicable Diseases (NCD) and identified DRR topic in each 30 village, given this project is piloting to the DRR-Health Integration; NCD; and mobile phone data collection(Rapid Assessment with Mobile Phone/RAMP) are relatively short.
	Budget: USD 300,000 – is very limited to cover all project components in 30 villages; involving 600 village volunteers; 4 staff at Wonogiri Branch; and 1 staff at PMI NHQ.
	Scope: due to time and budget constraint and on the other hand having various project components, the project scope should be limited and compromised (i.e. length of training duration; reduced required materials; length or intervention). Therefore, the quality of product should be tolerated to some extent.

Part III. Risk Assessment

Risk	Probability	Potential Impact	Steps to Manage Risk
Inefficient project management at PMI NHQ (Project PIC)	High	Severe	Replacement of PIC
Insufficient fund availability	High	Severe	Seeking for other additional resources (SRC; IFRC; ARC; cost-sharing with PMI); eliminating several secondary activities; reprioritizing project activities.

Delayed NCD materials	High	Moderate	Rescheduling NCD roll-out; closely coordinating with IFRC to immediately provide the materials; and seeking for NCD materials from the Ministry of Health (MoH).
Under absorption of SRC fund	Low	Moderate	Scenario of cost coverage (SRC 80% VS ARC 20% from 2013 to March 2014). Closely monitoring financial performance, particularly in the last two quarters (Oct '12 to Mar '13).

Part IV. Project Organization

Team Member Name	Duty Station	Roles and Responsibility
Dewi Ariyani dewi_ariyani@pmi.or.id	PMI NHQ	Project PIC ✓ Managing and coordinating project implementation ✓ Providing technical guidance to field team ✓ Conducting M&E and complying to reporting requirements ✓ Providing guidance to project team
Herry Firmansyah herry_firmansyah@pmi.or.id	PMI NHQ	Finance PIC ✓ Budgeting, cash transfer ✓ Fund control, also financial analysis and reporting
Warjo msjojobtn@yahoo.com	PMI Wonogiri	Project Coordinator ✓ Managing daily operation in project implementation ✓ Supervising Finance Staff and Field Coordinators ✓ Coordinating with team and stakeholders ✓ Conducting M&E and complying to reporting requirements
Lanny Yusnita yusnital@amredcross.org	ARC	Senior Health Officer ✓ Providing technical support to field team ✓ Conducting M&E and complying to reporting requirements
Rahmat Saleh saleh@amredcross.org	ARC	Finance Manager ✓ Budgeting, cash transfer ✓ Fund control, also financial analysis and reporting
Merry Turnip merry@amredcross.org	ARC	MER and Health Coordinator ✓ Providing management and technical advisory to field team ✓ Ensuring M&E activities run well

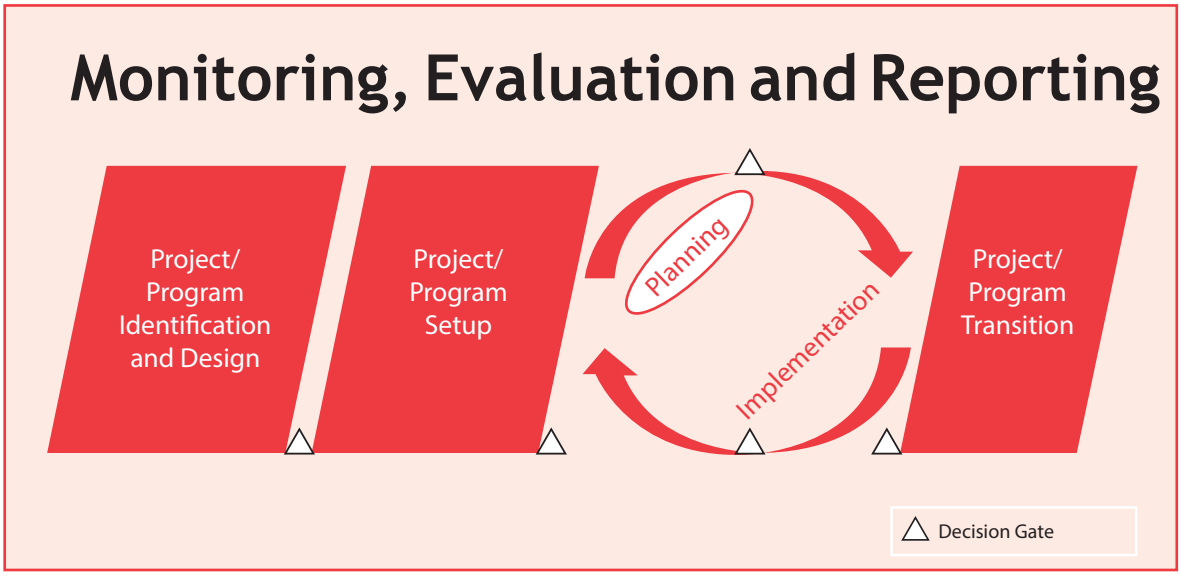
4.3. Communicating the Project/ Program Launch

One of the principle objectives of the project/program launch activity is to communicate the project/program start to many stakeholders including the local government, beneficiary communities, NGOs or any organization working in the project/program. In PMI, this launching usually named "Start Up", with the following purposes:

- ✓ to formally acknowledge the beginning of project/program;
- ✓ to ensure that key stakeholders have a consistent understanding of the project/program;
- ✓ to introduce stakeholders to the project/program

All PMI entities (volunteers, staff, board members) and the key stakeholders should understand PMI work plans/programs so that they can provide the required support for success.

5 Project/Program Planning Phase



This project/program planning phase differs significantly from the planning of the work plan/project/program during the identification and design phase. At the design phase, a project/program proposal or a work plan contains an extensive level of detail related to logframe, proposes implementing schedule and strategy, budget, and M&E plan, etc.

Implementation Planning in this section is a **VERY DETAILED** planning of all project/program activities of proposal or work plan that has been approved.

It is important, however, **NOT TO confuse the project proposal, the project logical framework, or other documents** developed during project identification and initiation phases with this project/program planning phase.

The Implementation Planning **DIFFERS** significantly from these other documents in terms of the format, purpose, audience, level of detail, participation, timing, and schedule constraints.

The following Table 16 outlines differences between the two documents in terms of their purpose, format, and level of detail.

Table 16. Project/Program Proposals vs. Detailed Implementation Plan

	Project/Program Proposal	Project/Program Implementation Plan
Purpose	To obtain **approval and funding** for the project/program, emphasizing clear, concise communication of ideas that 'sell' the project/program for funding.	To ensure that the project/program **arrives on time, on scope and on budget,** and according to established quality parameters.
Format	Format is often determined by **donor requirements or agency stakeholders** responsible for investment decisions.	Format is determined by **the project/ program team.**
Level of detail	Often **limited** level of detail.	**Very** detailed.
Participation	Often written by **a small team** as a result of time constraints that limit Participation.	Opportunity exists to expand **participation** to include an array of stakeholders, including experts and technical advisors.
Audience	Focused on **donors and stakeholders** who distribute resources.	Focused on the needs of **the team** implementing project/program activities.
Timing and Schedule	Often written under **tight time constraints,** sometimes months (or even years) prior to implementation.	The opportunity exists to revisit proposals to further develop/revise/ update plans at the beginning of project/ program implementation or at key benchmarks **in the life cycle.**

Nevertheless, while there are considerable differences between the purpose, process and content of a project/program proposal and a project/program implementation plan, many development organizations use the proposal as an implementing plan. This is especially the case where the proposal format is based on donor-driven requirements that result in proposals that approximate to project plans in terms of length and level of detail.

However, you should be aware that using proposal directly to implement a project/program is **A VERY DANGEROUS ACTION!** A more detailed planning process is required periodically (iterative) according to the progress of implementation.

Keep in mind that a logframe and project/program proposal is developed for a different purpose. Even the most expansive project/program proposals to describe its prospect to donors, they are **not designed** to guide the implementing team to implement the project/program.

The format and elements of project/program detail implementation plans will vary according to the organization, donor and even the type of the project/program itself. However, regardless of the format of the document, all project/program detail implementation plans should be sure to address the principles of project/program management:

- ✓ Implementation Planning is Balanced!
- ✓ Implementation Planning is Comprehensive!
- ✓ Implementation Planning is Integrated!
- ✓ Implementation Planning is Participatory!
- ✓ Implementation Planning is Iterative (not only once)!

5.1. Implementation Planning is Balanced

Remember! There are six phases of project/program that should be balanced to ensure that **all** the activities, budget and calendar required to conduct the work associated to **each** of these phases is performed.

Obviously, the implementation plan will include the information required to complete the work in the implementation phase. It is also important, however, that the plan include the blueprint required to conduct the work necessary to manage the other phases of the project/program as well, including:

Planning for project/program set up

By the time the detailed implementation plan is developed, most of the set up activities are already complete. However, do not forget that the project/program governance activities that were initiated in the Set Up Phase need to be **maintained** through the life of the project/program. This could mean, for example, planning the calendar and budget for regular meetings of the board members, implementing team, and project/program stakeholders.

Planning for project planning

Project plans are not static. As a best practice, plans should be revisited on a regular basis and updated to reflect the most recent monitoring data available. If this is to happen, however, the practice of revisiting the project plan needs to include opportunities and resources for the team and key stakeholders to revisit the plan to ensure it is appropriate, accurate and realistic.

Planning for project/program implementation

Clearly, the implementation planning will take up the majority of the planning document, including all the activities and each of specific task required. However, during the implementation, many things need to be planned and prepared to ensure smooth implementation as well as to uphold the quality.

Planning for project/program monitoring and evaluation

Activities related to monitoring and evaluation are critical to project/program success. However, these activities need to be mapped out in the project/program plan to ensure that the quality.

Critical questions the plan should address include “Who is responsible for collecting data, processing monitoring data, analyzing data, documenting results and communicating messages?” “When will these activities take place?” “How will data be used?” “Will there be an evaluation? If so, when and of what kind?” “What resources will be required to complete the evaluation?” These will further discussed in the following M&E section.

Planning for project/program transition/closing

What steps need to be taken at the end of the project/program? What activities need to take place for administrative and contract closure? Will the project/program be phased over to other stakeholders? If so, what investments need to take place to ensure the handover is successful? These all should be well planned.

5.2. Implementation Planning is Comprehensive

In addition to being balanced, the project/program implementation plan should comprehensively address all of the work required to ensure its success. A comprehensive project plan will include all the planning elements required to deliver **the direct as well as the indirect work** required to achieve the intended results. More specifically, the comprehensive project/program plan will include details concerning each of the following elements of project/program management:

Diagram 19. Elements of a Comprehensive Project/Program Management

Project/program scope management planning

How will the project/program scope (its products, services and the work required to deliver these results) be managed and controlled throughout the life of the project/program?

Project/program time management planning

What processes and tools are to be used to estimate the time requirements of the project/project and how will project/program calendars be managed through its implementation period?

Project/program justification management planning

What is the need the project/program will address and are the resources consumed by the project/program (money, time, organizational reputation, effort) contributing effectively and efficiently to contributing to the realization of that benefit?

Project stakeholder management planning

Who are the individuals, groups and institutions whose interests might be positively or negatively affected by execution or completion of the project/program? How will these stakeholders be engaged through the life of the project/program?

Project risk management planning

How will the manager identify, analyze, monitor and manage project/project risks?

Project resource management planning

What processes and systems exist for acquiring and managing equipment and materials, for managing finances, and for managing human resources? What logistics benchmarks need to be met in order for the schedule to succeed?

Project/program coordination planning.

The project/program implementation plan should also provide a blueprint of how the different stakeholders will work together. What are the norms for collaboration? Are roles and responsibilities clear? How will the project/program team update stakeholders? What communication mechanisms will be used? Who is responsible for communications?

5.3. Implementation Planning is Integrated

Remember the project/program Constraint Triangle? One of the principle messages of the triangle imagery is that those constraints are connected, making it impossible to change one without affecting the others. This dynamic continues in the context of the project/program implementation plan.

Each of the elements of the project/program implementation plan is connected to the others, such as:

- ✓ Decisions related to the budget depend on choices that are to be made related to the scope.
- ✓ Decisions related to the calendar depend on choices that are to be made related to logistics.
- ✓ Decisions related to communications depend on choices that are to be made related to human resources.
- ✓ Decisions related to monitoring depend on choices made related to risk.

This list provides only a few examples of the many relationships that exist in a comprehensive project/program implementation plan. What these examples underscore, however, is the importance of ensuring that all of these areas are integrated in the implementation plan.

5.4. Implementation Planning is Participatory

Participation and participatory processes are encouraged and prioritized during each phase of the project/program life cycle. However, during the identification and design phases, it is not unusual to find situations where the project/program proposal development process only included a limited amount of stakeholder participation. While this is an undesirable scenario, it is often attributable to a number of reasons:

- ✓ **Project proposal development timeframe are often limited**. Often, donors give organizations only a month or two between the release of a funding opportunity and the submission date of the proposal (in emergency contexts this timeframe can be as short as 24 hours).
- ✓ **Project Proposals are often developed by small teams of people.** Given that the audience of proposals is usually the stakeholders that have authority over funding decisions (board members, government, donors), the proposal development team is often more focused on how best to 'sell' it. Therefore a proposal often developed by people who are best at writing and navigating the proposal submission process.
- ✓ **Proposals are not intended to serve as comprehensive planning documents.** While a certain level of medium to high-level detail is included in the proposal, often the details of the project/program are not worked through until the implementation plan is developed. Therefore, it is not the best practices to use the proposal directly for project/program implementation

For all these reasons, it is important that the project teams take advantage of the opportunity that the implementation planning process offers to engage stakeholders more extensively.

Participation in the planning process has multiple advantages, including:

- ✓ Stakeholders have skills and knowledge that can be leveraged when developing accurate estimates regarding budgets, time requirements, levels of effort, and other resources required for completing the work of the project/program.

- ✓ Stakeholders are often in the best position to identify potential project/program risks and make plans to mitigate their impact.

- ✓ New staff and/or partner staff can benefit from improved project orientation when they participate in planning activities. These activities help ensure a common understanding of the outcomes and outputs of the project/program.

- ✓ Stakeholders involved in the project/program planning process are more likely to assume leadership, ownership and buy-in of project implementation activities.

5.5. Implementation Planning Is Iterative

Throughout the project/program, it is important to treat the implementation plan as a 'living' document, not one that is static and unchangeable. The project/program phases used in this manual expressly represents the project planning phase as part of a loop with the implementation phase and the monitoring, evaluation and reporting phase. Together, these three phases continually provide insights and learning that informs and updates the project/program implementation plan.

Over time, changes to the implementation plan help provide detail on schedule, costs, and resources required to meet the defined project scope. This iterative process of providing increasing levels of detail to the implementation plan over time.

Rolling wave planning can be especially helpful in situations is changing very rapidly (for example, operating in high risk or emergency contexts). Rolling wave planning, however, is not limited exclusively to emergency contexts, but also to the annual work plan to ensure that the work still relevant. In addition, the iterative planning serve as decision points to decide whether to revisit and decides to continue or to terminate the project/program.

Finalizing the project/program activity and work scope

The **Work Breakdown Structure** (WBS) is the principle tool that managers use to define project/program scope in detail comprehensively. The WBS is a hierarchical decomposition of the work of a project/program. Put simply, the WBS arranges the Project/program scope in an outline or hierarchy of 'work packages'. The format of the WBS normally assumes one of two styles:

The **graphic format** provides an easy-to-read visual layout of the relative levels of the work of a project/program. This image allows partners and staff to see the relationships between elements of the WBS and how smaller components roll up into larger ones. Furthermore, the graphic format can be easily developed in a group setting using **sticky note papers** that are easy to move from place to place. For presentation purposes, this format also facilitates adjusting the depth of detail that is appropriate for various audiences. An example from Sanitation Project is provided below.

Diagram 20. Work Breakdown Structure (WBS) for Sanitation Project (flow chart)

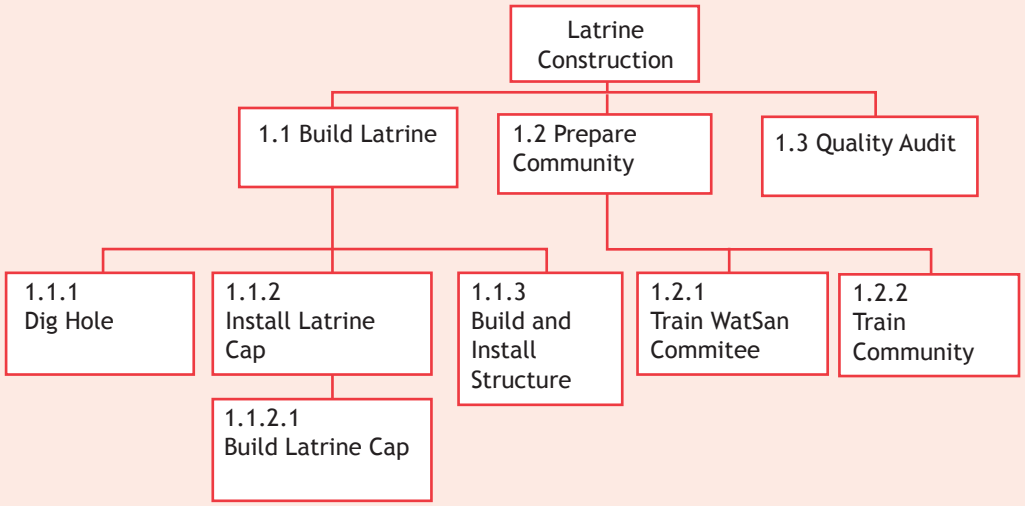


Diagram 21. Work Breakdown Structure (WBS) for Sanitation Project (linear format)

1.0 Reducing Fecal Waste Volume
- 1.1 Monitoring
  - 1.1.1 Baseline Survey
    - 1.1.1.1 House with Latrine
    - 1.1.1.2 House without Latrine
  - 1.1.2 Quality Survey
    - 1.1.2.1 Sampling after 6 mounth
    - 1.1.2.2 Annual sampling
    - 1.1.2.3 Kunjungan lapangan
- 1.2 Public awareness campaign
  - 1.2.1 Material Preparation
    - 1.2.1.1 Identifying messages
    - 1.2.1.2 Producing materials
    - 1.2.1.3 Publishing materials
  - 1.2.2 Running Campaign
    - 1.2.2.1 Distributing print material
    - 1.2.2.2 Radio announcement/ advertising
    - 1.2.2.3 Classroom program

1.3 Latrine construction
- 1.3.1 Pre-construction preparation
  - 1.3.1.1 Plan approved by ministry
  - 1.3.1.2 Engineering specification approved
  - 1.3.1.3 Plan approved by Enviromental Board
  - 1.3.1.4 Ground water study
- 1.3.2 Homeowner preparation
  - 1.3.2.1 Stakeholder involvement
  - 1.3.2.2 Approval by homeowners
  - 1.3.2.3 Land availability
  - 1.3.2.4 Latrine maintenance education
- 1.3.3 Procurement
  - 1.3.3.1 Workers
  - 1.3.3.2 Materials
    - 1.3.3.2.1 Latrine construction
    - 1.3.3.2.2 Latrine maintenance
  - 1.3.3.3 Licensing

A well-constructed Work Breakdown Structure (WBS), regardless the formats, if developed thoroughly will be useful to:

- ✓ guide the process of activity identification and sequencing;
- ✓ provide a basis for accurate estimation of duration, cost; and resource;
- ✓ identify required departmental, subcontracting, supplier services;
- ✓ communicate and agree the product and project scope with the stakeholders;
- ✓ how the hierarchy of work needed to complete and indicate the interfaces between them;
- ✓ delegate the work packages to team members, implementing partners or suppliers.

The first step in successful time management is realistic schedule planning. The steps in the schedule planning process include:

- ✓ **Activity Sequencing** – Identifying the relationships that exist among the various scheduled activities.
- ✓ **Activity Resource Estimating** – Allocating the type and quantity of resources available/required to perform each scheduled activity (meeting the required specifications, quantity, and quality).
- ✓ **Activity Duration Estimating** – Estimating the time required to complete project activities.
- ✓ **Schedule Development** – Creating a project schedule based on activities, sequences, durations, resources and schedule constraints.

Project/program activities sequencing

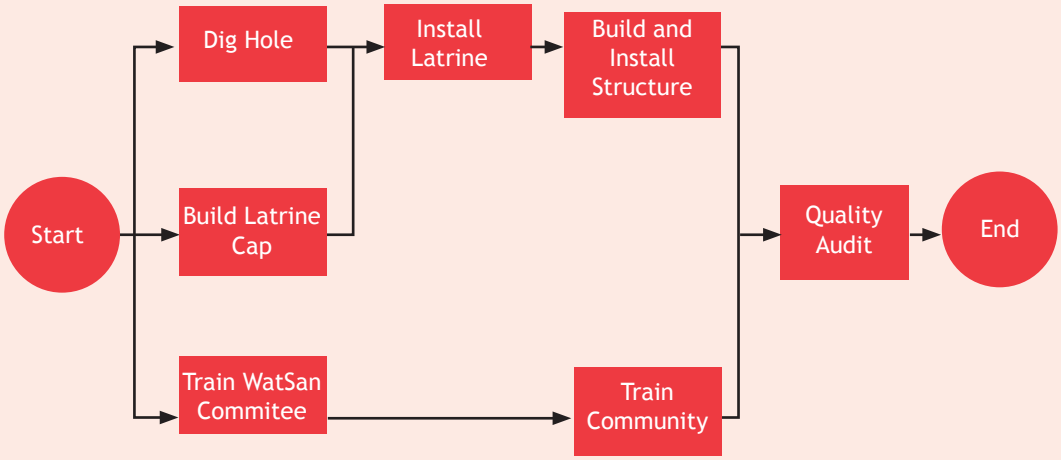
Starting from the WBS, the implementing team develops an activity list which comprehensively records all of the activities within the scope of the project/program in detail and comprehensively. Next, the team develops a network diagram which graphically represents the sequences, relationships and dependencies between the WBS's activities.

Returning to the Sanitation Project case study, Diagram 20 provides a partial build out of a network diagram for the latrine construction component of the project. Note that the diagram in Diagram 20 is incomplete because units of time still need to be inserted below each of the activities.

Each of the boxes in the network diagram identifies an activity in the scope of the project. These boxes are connected by arrows that indicate their dependencies. These dependencies identify how project activities relate to each other within the context of the calendar and the sequence through which the activities need to be completed.

In some cases the sequence of activities boxes is linear, implying a precedence relationship which requires that one activity be completed before another can begin. Other boxes are on parallel paths and can be sequenced independently of each other.

Diagram 22. Sequence of Latrine Construction Activities



Some of the messages that can be interpreted from the design of the latrine project network diagram include:

- ✓ The project team must **wait** for the latrine cap to be built before it can be installed.
- ✓ The project team **does not need to await** completion of the latrine cap before digging the latrine hole.
- ✓ The training activities can be completed **independently** of the latrine construction activities.

Finalizing the project/program resources estimates

Once the sequence of activities is identified, it is tempting to move straight to activity duration estimating. **That is incorrect!** First, however, the important step of estimating resources must be completed. They are one of the central factors influencing the project duration estimates.

Therefore, resource decisions need to be made before duration estimates can be made. Decisions relating to the number and quality of resources committed to an activity, in turn, are contingent on a number of factors, including (but not limited to) the following:

Time - If there is a very tight timeframe, the project/program may choose to dedicate high levels of staff, materials and capital equipment to meet time constraints. Conversely, if the timeframe is loose, the project/program may choose to dedicate lower levels of resources allocated to an activity.

Budget - If money is in short supply, the project might choose to invest in a 'low cost' resource mix. For example, more manual workers and less machinery are a preferable low-cost alternative. This resource decision, however, will extend the duration of the latrine excavation activities.

The proposed budget earlier in the proposal work plan may not be fully approved, therefore you have to adjust it. At this stage, you need to make a budget of all activities that have been identified in a more detailed description. Here is an example detailed budget format by activity.

Table 17. Example of Activity Budget Plan

Latrine construction Cost Estimation					
	Unit	**Kuantitas**	**Variabel**	**Harga/Unit**	**Subtotal**
Local material					
Brick	1 piece	800 pax	1 latrine	500	400,0000
Cement	1 pax	3 pax	1 latrine	70,000	210,000
Sand	1 m3	2 pax	1 latrine	120,000	240,000
Gravel	1 m3	1 pax	1 latrine	220,000	220,000
Fiber	1 m3	1 pax	1 latrine	18,000	18,000
Market material					
Steel bar	1 unit	2 pax	1 latrine	25,500	51,000
Wire	I unit	1 pax	1 latrine	15,000	15,000
Pipe PVC Type C	I unit	1 pax	1 latrine	55,000	55,000
	I unit	4 pax	1 latrine	120,000	480,000
Labor					
Fee	1 lump sum	4 people	5 days	70,000	1,400,000
Transport	1 lump sum	4 people	5 days	50,000	1,000,000
TOTAL					**3,979,000**

Regulations and Organizational Policies - Often projects are constrained by labor laws and/or internal organizational policies that limit work schedules (hours per day, days per week, holidays per year, family leave policies). These constraints influence resource availability and consequently duration estimates.

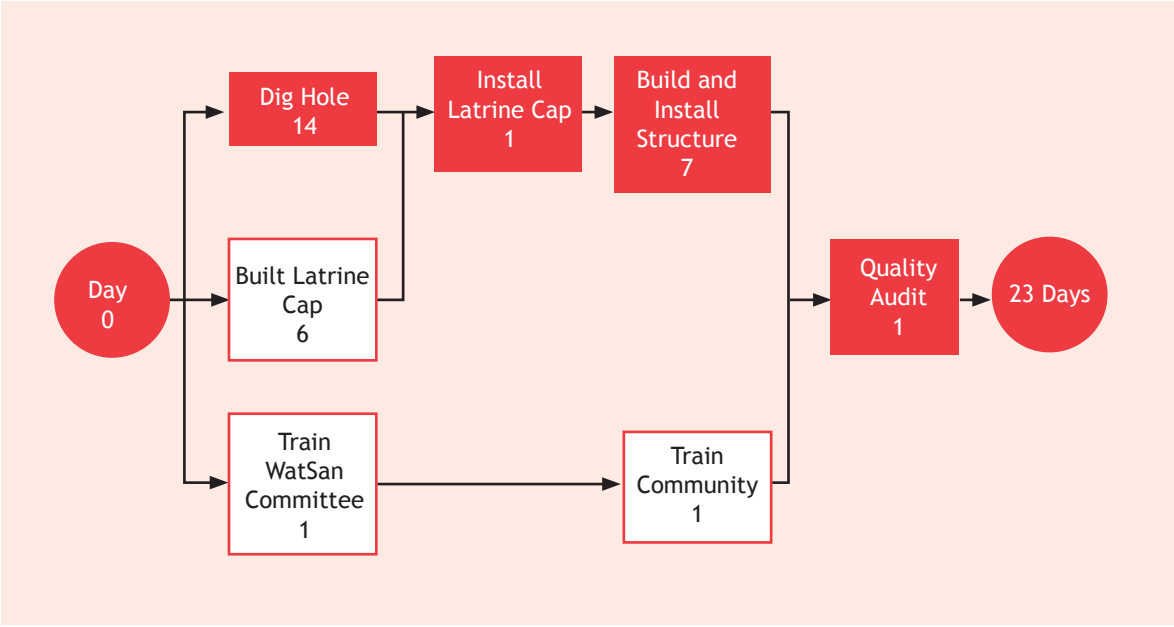
In addition, **there are a number of other factors that influence resource availability,** and thereby will influence activity duration estimates. Some examples of these factors include:

- ✓ **Weather Constraints** impede the latrine construction if it is done in rainy season; community participation might be low if the activity take place in harvest season.
- ✓ **Material Constraints** impede the latrine construction if requires construction materials is not available sufficiently in terms of quantity and specification.
- ✓ **Logistics Constraints** impede the latrine construction if there is delay on the material shipment/transportation.
- ✓ **Human Resources** Constraints impede the latrine construction if labors are limited due to sick leave or strike.

Estimating the activity duration

Once resource estimates are complete, the network diagram should be revisited and duration estimates will be added to all the activities. Returning to the Sanitation Project case study, Diagram 20 provides the finalized WBS diagram for the latrine construction component of that project.

Diagram 23. Estimating Duration of Latrine Construction Activity



The diagram 23 can be used to help the project team identify:

"Critical Path" –is the series of tasks that determines **the minimum amount of time required to complete project/program activities.** In Diagram 22, the critical path is the series darkly shaded tasks. The sequence of tasks represents the longest path between the project's start and its end - in this case **23 days.**

In this example, the critical path is telling us that it is impossible to complete the project in less time than 23 days UNLESS the other constraints in the project constraint triangle are changed (money/resources or scope/quality).

Float (or Slack) – is the amount of time that a task in a project network diagram can be delayed by without causing a delay to the project completion date.

In the latrine example, there is zero float on the critical path. However, the 'Build Latrine Cap' activity could be delayed by up to 8 days (14 minus 6 days) without affecting the project schedule. Similarly, the training activities could be delayed by up to 20 days (14+1+5 days) without affecting the project schedule.

Activity schedule development

Based on the estimates generated through the previous steps, the project/program team can now develop a realistic project/program schedule. **This schedule will be used as basis for project/program progress monitoring.**

In developing a schedule, the team can use a Gantt Chart. A Gantt Chart uses bars to graphically represent the schedule of project/program activities, including their start date, end date, and their expected durations. At its core, the Gantt chart tool has the advantage of being relatively easy to prepare, read and to use.

Team could determine the level of detail that they would like to have in a Gantt chart. The summary Gantt Chart will be especially helpful when discussing the high-level progress of the project with high level management or stakeholders.

Nevertheless, the project/program team should provide a detailed Gantt chart, to help all members to understand the project/program operational planning, implementation and monitoring of activities.

Things that distinguish the detail implementation plan with the plan in the proposal is the level of its detail. In the proposed work plan or proposal, the schedule estimation made in a monthly basis. While in the detail implementation plan, the schedule estimation need to be more precise (in weekly basis) to enable timely execution.

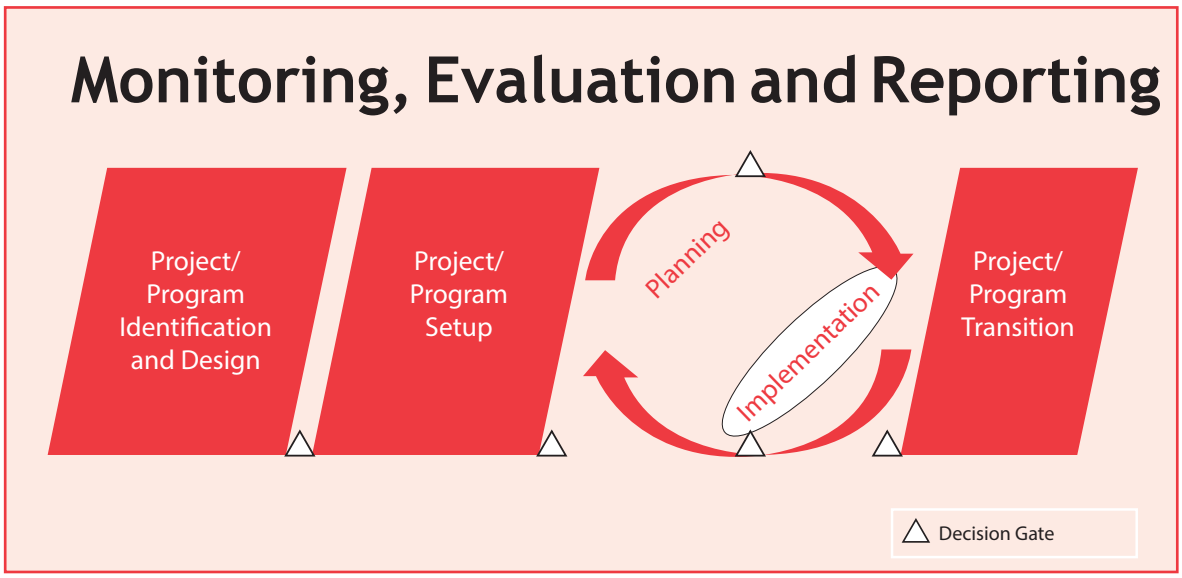
At this stage, usually a Gantt Chart will contain more detailed time unit, for example, weekly. Here is a simple example Gantt Chart for the detail implementation plan.

Table 18. Gantt Chart of Latrine Construction Activities

Activity		January				February				March, etc...			
		1	2	3	4	5	6	7	8	9	10	11	12
1.1	Planning												
1.1.1	Preparing office and equipment												
1.1.2	Assigned staffs												
1.2	Contact with local government												
1.2.1	Establish project committee												
1.2.2	Conduct regular meeting												
1.2.3	Briefing with ministry												
1.3.1	Agreed upon government priority												
1.3.2	Conduct working group meeting												
1.3.3	Planning for research												
1.4	Develop strategic plan												
1.4.1	Develop recommendation												

**Without detailed planning,
you will get lost in the way.
Your team will not comprehensively understand
the entire works that need to be done.**

Implementation Phase 6



The day-to-day work of project/program implementation is to lead and manage the application of the project/project implementation plan. This task can be relatively simple, or can become extremely complex, depending on the nature of the project/program.

As in all project/program management, success during implementation is depending on the manager ability to managing people, leading teams, communicating with clarity). This capability is more of combination between art and science.

In its simplest form, the responsibility of the manager is to implement the project/program plan. However, upon closer inspection, it becomes clear that the manager must apply a number of technical skills to succeed during implementation. These skills include:

1. managing resource (human, time, and funds)
2. managing issues and risks
3. managing internal control (logistics and assets)
4. managing stakeholders

6.1. Managing Resources (Time, People, Finance)

6.1.1. Managing Time or Implementation Timeline

Project/program managers should monitor their schedules regularly to ensure the project/program calendar remains on track. If the project schedule begins to vary, the team will have a number of options through which the project/program can get back on track.

For example, deadlines can be delayed, or the scope of the project can be reduced. However, if the project/program deadlines are fixed and the scope cannot be changed, it may not be possible for the project to get back on track through the typical schedule management techniques. As an alternative, in scenarios where the scope and calendar are inflexible, two alternative techniques to consider are fast tracking and crashing.

"Fast tracking" a project/program schedule **involves taking activities that would normally be completed in sequence and instead completing them in parallel.** To make the most of fast-tracking, project teams should target the tasks on the critical path first as the activities on the critical path provide the greatest potential to accelerate the overall project/program schedule. Nevertheless, it has risk, such as the quality could be taken for granted or compromised, or if the products or result is not acceptable, then you should re do it. Following diagram shows the fast tracking of the Sanitation Project case study.

Time is the most valuable resources as it is unreplaceable and priceless

Diagram 24. Initial Scenario for Latrine Construction Activity

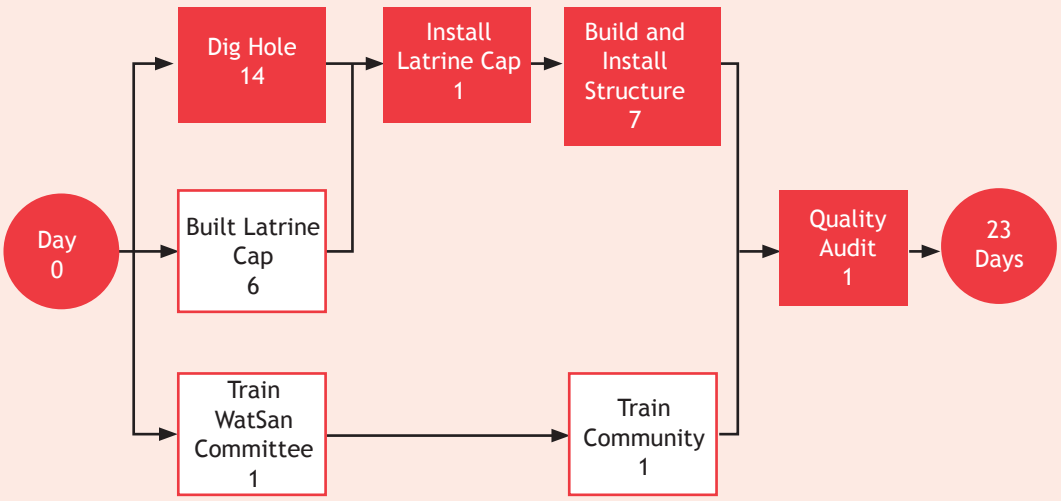
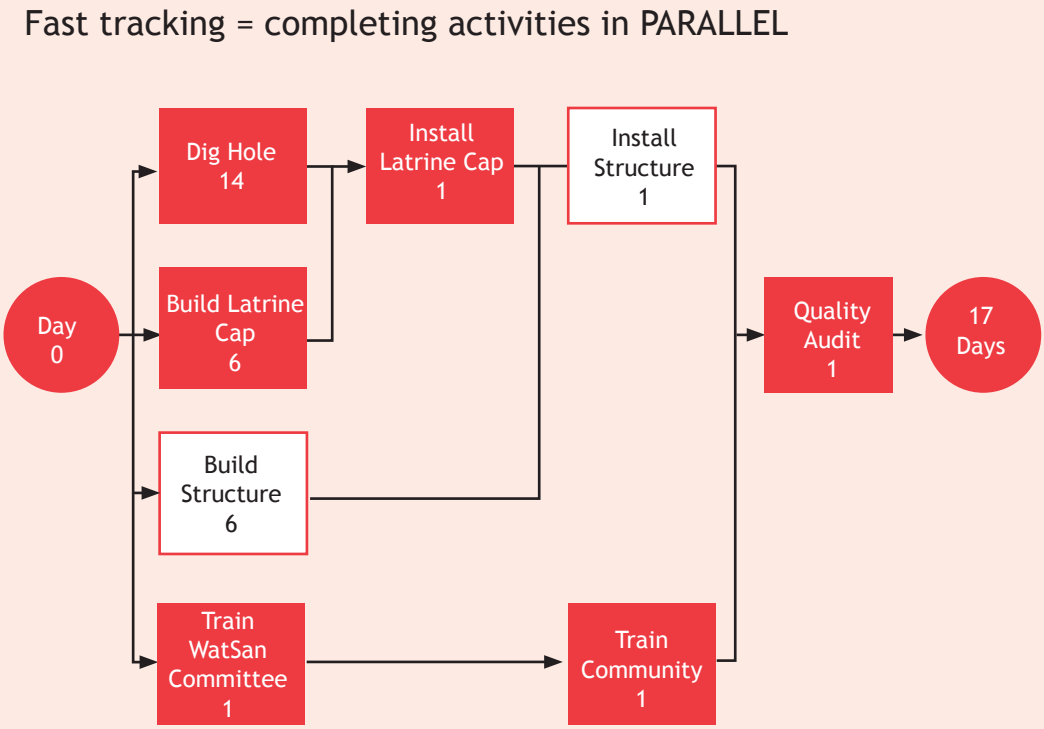


Diagram 25. Fast Tracking Scenario for Latrine Construction Activity



"Crashing" the schedule, **means adding additional resources** to the critical path to accelerate progress, however, without necessarily getting the highest level of efficiency. For instance, let's say that the original plan for the latrine project had one person working 14 days to dig a hole. To crash this timeframe, one option would be to add a second person to the 'dig hole' activity. This will most probably increase the speed at which the 'dig hole' activity is completed. Crashing also has risk as it may increase cost as well as compromise the quality. Following diagram shows the crashing of the Sanitation Project case study.

Diagram 26. Initial Scenario for Latrine Construction Activity

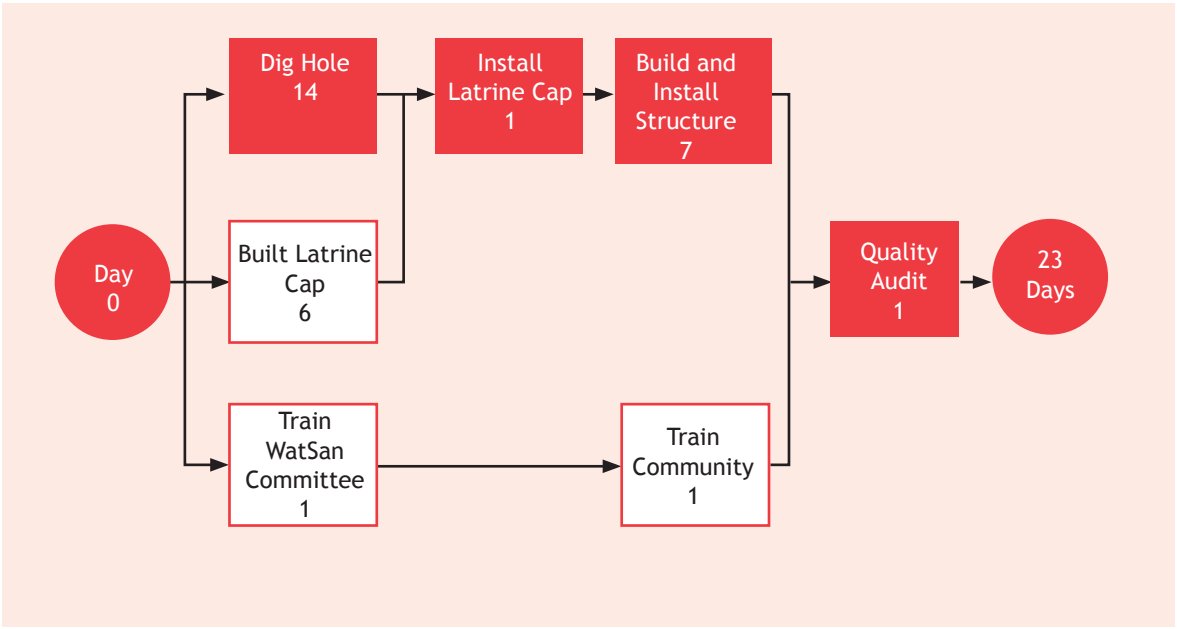
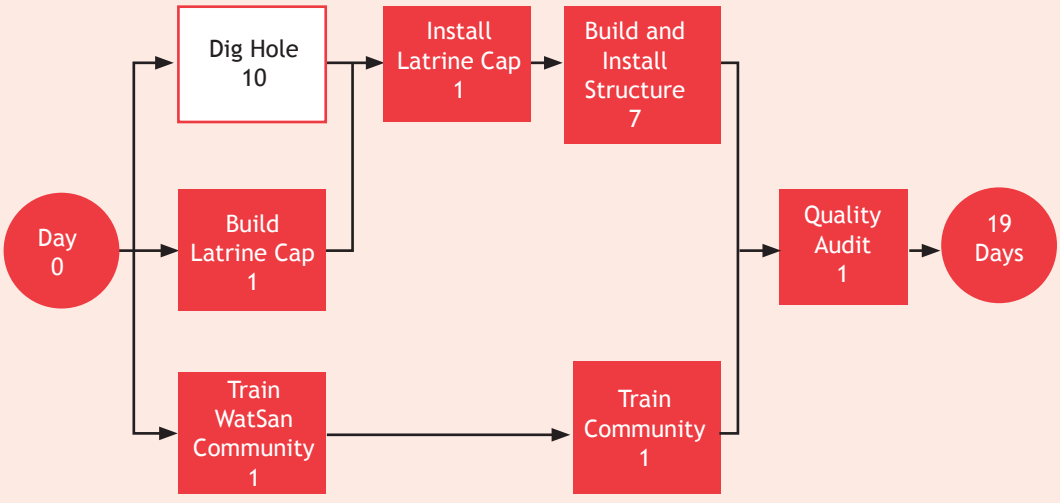


Diagram 27. Crashing Scenario for Latrine Construction Activity

Crashing or **shortening** duration of activity completion by **adding** resources.



Note that both the **fast tracking and crashing** has potential consequences to compromise quality and or increase costs. Therefore, a good time management is essential that you do not have to bear these risks.

6.1.2. Managing Human Resources

Project/program managers who is able to manage his/her team well will be able to achieve their goals as a result of the commitment, cooperation and contributions of the people on the project team. Therefore, managing people can become the manager's **most important, and most difficult**, job.

People is the most valuable asset to an organization

Project/program managers should be able to effectively motivating team members, communicating vision, empowering staff recognizing achievements, listening, leading by example, resolving conflicts and building trust.

All of these **"soft skills"** are related to the inter-personal competency of the project/program manager and are extremely important to project/program success. Therefore, managers should strive to enhance their capacity to lead, motivate, inspire, mediate, communicate and encourage.

However, **"hard skills"** are also essential in managing people, including identifying concrete activities required to proactively manage all elements of the team, such as:

- ✓ **Acquiring staff** – PMI as an organization must have a system for identifying staff candidates, interviewing candidates, identifying selection criteria and making final selections of staff.
- ✓ **Creating staff job descriptions** – Staff job descriptions include the list of her/his duties, roles and responsibilities for team members which is not only used to recruit, orient and manage staff, but are also use to evaluate individual team member performance.
- ✓ **Documenting organization charts** – Organization charts or project/program structure represent the reporting relationships, accountability, and oversight among the team.
- ✓ **Developing staff** – identifying what skills are needed to undertake their role and responsibility. What are the training needs? Are there certification requirements?

- ✓ **Conducting performance appraisal** – Performance appraisal are the documented formal or informal assessments of the team members' performance based on role and responsibilities and agreed work plan. After analyzing the staff's performance, managers or head of office can identify and resolve problems, reduce conflicts, and improve overall team work.

- ✓ **Establishing communication norms for a productive working environment** – As a team leader, the manager or head of office must concretely plan the communications (via meetings, workshops, reports, memos, newsletters, blogs, etc.) that allow the team to share information, actively work to identify issues and conflicts, and interact creatively to resolve these issues.

6.1.3. Managing Finance

As discussed previously in the section of budget development, a manager or head office should capable in managing project/program finance, such as developing budgets, identifying cost estimates, and monitoring the budget expenditures.

It is the practical reality of most projects/programs that a manager will not be given full control over all financial processes. To be successful, a project/program manager will need to collaborate and coordinate closely with a finance manager/staff plus an array of other people in all steps of the finance management process.

Nonetheless, even though there will be elements of financial management where the manager lacks full authority and control over processes, **the project/program manager is still accountable.** In managing project/program finance, the manager or head of office is responsible to:

- ✓ ensuring timely and complete financial reports
- ✓ explaining variances between budget and expenditure
- ✓ examine the completeness of finance report as well as its supporting documents
- ✓ issuing checks expenditures
- ✓ managing the balance of budget allocation both for operational and program activity
- ✓ ensure the implementation of purchasing policies

When monitoring project/program financial performance, the first question is usually, "Is the project/program over or under budget?" To answer this question, all information on budget and expenditure must be made available.

For any variance more than 5-10%, the manager should explain the rationale and adjusting the budget plan to avoid over budget and vice versa.

The budget absorption indeed will be made as evenly as possible throughout the project/program implementation period. Therefore, the analysis of the cumulatively monthly or quarterly budget absorption is needed. The following table shows judgements regarding some of scenarios on budget absorption and time utilization.

Table 19. Assessment for Budget Realization and Time Utilization

		SCHEDULE ACCURACY		
BUDGET REALIZATION		Behind schedule	On schedule	Ahead of schedule
	Under budget	Need more information on "why behind the schedule"	Good	Good
	On budget	Bad	Good	Good
	Over budget	Bad	Bad	Need more information on "why over budget"

6.2. Managing Risks and Issues

6.2.1. Managing Project/Program Risks

Risk management is essential skills of project/program manager or head of office. During the earliest stages of project/program identification and design, the team have identifying potential risks that could confront the project/program (named as assumption). As the project/program evolves, some risks will be resolved or diminished, while others may surface and thus be added. When considering the definition of risk, there are two key ideas that need to be explored further:

- ✓ **Its probability to happen** - Remember that project/program issues are risks that have become a reality.
- ✓ **Its impact** - potential to harm the project/program in time/calendar, cost/resources, quality, scope, etc.)

Potential categories of project/program risks

Organizational/management/human factors

- ✓ Poor leadership
- ✓ Inadequate capacity of key personnel
- ✓ Poor staff selection procedures
- ✓ Lack of clarity over roles and responsibilities
- ✓ Personality clashes
- ✓ Lack of operational support

Political

- ✓ Change of government or government policies
- ✓ War and disorder
- ✓ Adverse public opinion/media intervention
- ✓ Interference by politicians in development decisions

Technical/operational/infrastructure

- ✓ Inadequate design
- ✓ Project/program scope creep
- ✓ Unclear expectations

Environmental

- ✓ Natural disasters
- ✓ Sudden changes in weather patterns (drought, etc.)

Partnership/Collaboration

- ✓ Failure of suppliers to meet contractual commitments
- ✓ Fraud/theft/manipulation
- ✓ Implementing partners failing to deliver the desired outcome

Economic/financial/market

- ✓ Exchange rate fluctuation
- ✓ Interest rate instability
- ✓ Inflation
- ✓ Market developments adversely affect plans

Legal and regulatory

- ✓ New or changed legislation invalidates project assumptions
- ✓ Failure to obtain appropriate approval

Risk management process

Risks are managed through a four-step process:

1. **Risk identification** - identifying and documenting all the risks that can affect the project/program success.

2. **Risk assessment** - determining the probability that risks will occur, estimating their potential impact, and prioritizing risks.

3. **Risk response planning** - deciding what actions are needed to reduce or remove threats, particularly those with high-probability and high-impact

4. **Risk monitoring and control** - responding to risks as they occur and ensuring proper risk management procedures are being followed.

Risks identification

After inventorying of all the risks that may occur and affect the success of the project / program, you have to assess those risks to determine how to manage it. Note the following risk assessment tables. This matrix consists of:

a. its probability to occur
b. its impact to the project/program

Through this assessment, you can prioritize which risks that need to be managed and plan how to manage it.

Table 20. Example of Risk Assessment Matrix

Risk Assessment		IMPACT				
		Very light (1)	Light (2)	Moderate (3)	Heavy (4)	Very Heavy (5)
PROBABILITY	Very frequently (5)	Medium	High	High	Extreme	Extreme
	Frequently (4)	Medium	Medium	High	High	Extreme
	Often (3)	Low	Medium	Medium	High	Extreme
	Rarely (2)	Low	Medium	Medium	High	High
	Very rarely (1)	Low	Low	Medium	Medium	High

From risk assessment matrix on the previous page, you can prioritize to respond to and manage risk, which is high (red) and extreme (purple). The above rating scale consists of 1-5: means that the frequency is very often = 5; very heavy impact = 5; and vice versa. You can determine the scale you your self-assessment, for example in the range of 1-10, etc.

Strategy to response risks

Risk identification and assessment form the basis for sound risk response options. Remember that the goal of risk management is not to eliminate all risks. Rather, the goal is to recognize when to respond if risk exceeds the project/program tolerance levels.

Risk response strategies include the following options

a. **Risk avoidance** – Do not do (or do in a different way) some portion of the scope that carries high-impact and/or a high probability of risk. For example, you might choose not to work in a geographic area because there is too much insecurity.

b. **Risk transfer** – Shift (or share) the risk to (or with) another party. The most common example of risk transference is insurance. For example, insurance policies transfer the risk of vehicle damage and loss to the insurance company, contractual works to consultants or the experts.

c. **Risk Reduction/Mitigation** – Act to reduce the probability and/or impact of a potential risk. Take, for example:
   - ✓ The probability of potential theft can be reduced by increasing the security systems for the building (guards, new doors, barred windows).
   - ✓ The impact of potential theft can be reduced by instituting a policy whereby only the commodities required for the next seven days are safeguarded in the warehouse.

d. **Risk acceptance** – If the perceived probability and impact risk is assessed as reasonable, project/program team can choose not to take action. For example, a project may acknowledge that it faces the possibility of a late rainy season onset interrupting its agricultural cycle, but the team chooses to live with the risk, and does not act to avoid, transfer, or mitigate it.

"Ignorance" is not an acceptable risk response strategy. Risk MUST NOT go unrecognized, unmanaged, or ignored.

Risk monitoring and control

The final step in the risk management process is to continually monitor risks to identify any change in their status, such as decrease, increase, or if they turn into an issue.

A risk register should be developed as early as possible and maintained because risks are dynamic. The list of risks and associated risk management strategies will likely change as the project/program evolve; there might be new risks develop or anticipated risks disappear.

Table 21. Project/Program Risk Assessment Matrix

Risk Assessment Matrix

Risk category	Risk name	Status	Score	Response	PIC	Time to response
resource	Exchange rate flux threaten the budget suffiemcy	Active	5x4=20	**Mitigate.** Develop the budged in USD currency (donor)	Herry	Quarter 1
Environtment	Rainy seasons threaten the construction quality	Passed (addressed)	2x5=10	**Avoidance.** Delay the construction until dry season	Taufiq	Quarter 2
Political and Security	Instable security theaten material distribution	Passed (addressed)	3x5=15	**Transfer.** Contract expedition	Zaelani	Quarter 2

If unanticipated risks emerge or a risk's impact is greater than expected, the planned response or risk allocation may not be adequate. At this point, the project/program team must perform additional response planning to control the risk

6.2.2. Managing Project/Program Issues

An issue is a risk that have been occurred/happened which if not solved will significantly affect the project/program implementation.

In the boxing world, the saying goes that **"Everybody has a plan... until you get hit."** The same dynamic exists when managing a project/program.

Just like a boxer in the ring, the life of a manager is risky, complex, and sometimes just plain messy. Even with a comprehensive and detailed plan, there will be "punches" (issues) that challenge the project during its implementation. Like any good boxer, the project/program manager must learn how to manage the issues, navigate the complexity, and adapt the plan to reflect the most recent reality.

Issues management includes identifying these problems and managing them until they are resolved. Resolving issues is frequently beyond the authority of the team as well as the manager.

An issue ignored, a crisis invited

-Henry Kissinger

However, even if an issue needs to be escalated to the next level or delegated to another person to resolve, it still needs to be tracked by the project/ program manager. The manager needs to be ready throughout the project/ program implementation phase to apply resources to address and resolve these issues.

Issues management is a collaborative endeavor. Consequently, everyone on the project team is responsible for the following:

- ✓ Identifying issues;
- ✓ Contributing to the resolution of the issues (Note: experience has shown that the people closest to the work usually know best how to resolve issues. Therefore, it is the job of the manager to establish an environment in which each team member is in a position to resolve as many issues as possible at their level);
- ✓ Escalating important issues to the project/program manager or head of office as soon as possible.

Nevertheless, while issue management is a collaborative endeavor, the project/program manager is ultimately accountable for issue management. Ignoring issue is inviting crises. **If issues are not resolved, the negative consequences can include the following:**

- ✓ Inability to meet project/program timelines, cost, and schedule;
- ✓ Poor or unacceptable project quality;
- ✓ Poor reputation among communities, donors and others; and
- ✓ Post implementation disputes.

Project/program manager needs to manage all issue management processes:

- ✓ **Identifying and monitoring issue** - The issue identification and tracking process is closely related to the topic of risk management. Thus, it is very important to identify and manage risks as early as possible.
- ✓ **Analyzing issue** - Understanding the issue sufficiently to consider future consequences of action plans designed to resolve it.
- ✓ **Communicating issue** - Communicating issues to the right level of the organization to get them resolved. Furthermore, it is important to communicate when and how issues are resolved.
- ✓ **Controlling issue** - project/program manager is responsible for establishing an environment where the team and implementing partners can carry out actions to ensure issues are resolved in a timely and effective manner.

The issue control process is closely related to project/program monitoring and evaluation activities. The most important control tool is the Issues Log, which summarizes the issues, describes their status and identifies who is responsible for addressing the issue. The issues log can take on a variety of technical forms from paper to a fully integrated database. A sample format can be found in the **Issue Log** table below.

Table 22. Example of Issue Log

Issues Log Matrix

Issue descriptional	Report by	Date of reported	PIC	Date of assignment	Solution	Current Status
Construction material transportation is delayed	construction worker	12 October 2014	Project Officer	13 October 2014	Contact the vendor to faster the expedition	Finish
Rainy season continue to delay construction process	Construction worker	15 November 2014	Project Officer	21 November 2014	Add labors/ workers to fast track the process	Waiting for result

6.2.3. Managing Internal Control (Logistic and Assets)

One of the challenges of the project/program manager is to oversee the valuable assets. To assist with this challenge, internal control systems should be put in place to provide reasonable assurance regarding the responsible use of project/program assets. **Internal control processes should be designed with the objectives of:**

- ✓ ensuring the effectiveness and efficiency of operations;
- ✓ increasing the reliability of project/program outcomes;
- ✓ ensuring compliance with applicable laws and regulations;
- ✓ protecting organization resources, both physical (e.g., machinery and property) and intangible (e.g., reputation, intellectual property);
- ✓ reducing risk of fraud and corruption.

Internal controls include the processes through which an organization or project/program's resources are directed, monitored, and measured. It plays an important role in preventing and detecting fraud and protecting the resources, both physical and intangible.

Therefore, it is important to establish comprehensive internal controls, with some of following example of key questions.

Human Resources Capacity and Systems

- ✓ Are Human Resources policies documented and in compliance with local laws and organizational regulations?
- ✓ Do systems exist for timesheets, performance reviews, and employee separation?

Procurement

- ✓ Do systems exist to select suppliers?
- ✓ Do supplier selection criteria exist?
- ✓ Do systems exist to manage suppliers?
- ✓ Do similar systems exist for consultants?

Financial

- ✓ Do systems exist for cash management? Expense management? Financial reporting?
- ✓ Is there a segregation of duties for financial roles in the finance division?

Inventory

- ✓ Do systems exist for the identification and tracking of inventory?
- ✓ Do systems exist for the use/transfer/disposal of equipment following project/program closure?

Contracts and Agreements

- ✓ Do systems exist for grants management?
- ✓ Do systems exist to manage relationships with implementing organizations?

Infrastructure

- ✓ What systems exist for communications? Telephones, internet, radio?
- ✓ What systems exist to manage vehicles and transport?

Security protocols

- ✓ Is there need for special security arrangements? Travel guidance? Accompaniment programs?

Fleet Management

- ✓ Are there mileage logs that control the use of service vehicles?

Information Management

- ✓ Is there a record keeping system (paper/electronic) in place?
- ✓ Do policies and standards exist for information management?
- ✓ Are documents, contracts and receipts accessible to meet the audit requirements of the project/program?

In summary, it is important to recognize that internal controls can provide only reasonable assurance - not absolute assurance - regarding the achievement of an organization's objectives. Furthermore, poor or excessive internal controls reduce productivity, increase the complexity of systems, increase the time required to complete processes and add no value to the activities. However, good internal controls are essential to ensuring the accomplishment of goals and objectives. They help ensure efficient and effective operations that accomplish the goals of the project/program and still protect employees and assets.

Logistic management

Logistics management means having the right thing, at the right place, at the right time. In its most limited sense, logistics involves the transport of goods, but there is more to it than this. In a much wider sense, logistics includes all the activities required to deliver items accurately, efficiently and in a time bound manner to the place and person it is meant to be sent to. This wider definition of effective logistics involves:

1. **Procurement of goods and services**
2. **Inventory management and warehousing of goods and services**
3. **Effective and efficient goods and services** transport

Logistics management science is very broad, therefore, this reference book will only discuss briefly. PMI has logistics training to improve personnel's skills in managing logistics.

Asset management

Asset is the entire project/program's equipment, supply, and goods that have a value or a certain usage period (according to existing regulations). Here are the steps to manage the assets.

a. **Defining assets:** PMI need to set its own definition of value and useful life that defines what an asset is. This definition will vary depending on the organization, the donor and/or the project. In an NGO, for example, identifies the threshold for fixed assets as IDR 1,000,000 or more and a useful life of at least three years. Each of asset meeting the above definition should be properly managed.

b. **Recording Assets:** Project/program team should maintain complete and accurate records of all fixed asset acquisitions. All assets acquired for the project/organization (via purchase, transfer or donation) should be well recorded.

c. **Labeling Assets:** Project/program/ organization assets should be labeled to facilitate their oversight and control. Any suitable labeling convention may be used as long as it is applied consistently and serves the purpose of monitoring assets.

d. **Monitoring and Asset Records:** Asset information should be updated on a regular basis to account for acquisition, adjustment, transfer and disposal information.

e. **Safeguarding Assets:** Adequate controls should be in place so that fixed assets are properly maintained and safeguarded. These controls will vary depending on the asset and the risk. For example, an organization might require that computer laptops be secured with an appropriate locking cable and securely placed in a locked drawer or filing cabinet when not in use. Another example would be a requirement that office equipment on loan to staff members should always be recorded in the equipment log/loan records.

f. **Disposing Assets:** Clear processes for asset disposal should be established that include any requirements related to approvals, publicity, donor requirements, and reporting. Poor asset disposal can have a major impact on project/program finance. For instance, if donor may refuse to allow expenditure for assets which have not been correctly disposed.

6.2.4. Managing Stakeholders

A project/program manager cannot work alone; even if his/her work plan scope is small. As the complexity of projects/work plan increases, the web of relationships of the stakeholders involved is also expanded and diverse.

If we recalled back to the identification and analysis phase, project/ program or organization's stakeholders has been mapped out through stakeholder analysis. During stakeholder analysis, however, the analysis is often conducted on stakeholders from outside of the organization.

At this implementation phase, however, stakeholder are from inside or outside of the organization, who will contribute or could affect the project/ program success. To assist the analysis, we can classify them into four categories of stakeholders, namely:

- ✓ **beneficiaries**, those who will receive direct benefits of the products or services produced by a project/program.
- ✓ **implementing team or project/program manager**, namely those involved in project implementation in PMI, both head of office, staff, volunteers, partners, contractors, suppliers, etc.
- ✓ **steering committee**, the parties have a right to know how a project/ program is managed, for example, board members, auditors, regulators, and donors.
- ✓ **the influential**, those who can influence the project/program from the outside, both negatively and positively, such as the media, government personnel, community leaders, and the market.

One of the challenges when managing a network of stakeholders is ensuring there is clarity regarding the roles, responsibilities, authority and communications of different project actors. One tool that helps with this challenge is the RACI chart – a matrix typically created with a vertical axis (left-hand column) of tasks or deliverables, and a horizontal axis (top row) of roles and which derives its name from an acronym of the four key roles most typically identified in the matrix:

- ✓ **Responsible** A Responsible person includes those who do the work to achieve the task. For each task, there is typically one role that is the lead in completing the work, although others can be delegated to assist.

- ✓ **Accountable.** An accountable person must approve (sign off) the work that the Responsible person provides. There must be only one Accountable person specified for each task or deliverable.

- ✓ **Consulted** Those whose opinions are sought; and with whom there is two-way communication.

- ✓ **Informed** Those who are kept up-to-date on progress, often only on completion of a task or deliverable; and with whom there is just one-way communication.

The following chart provides an example of a simplified RACI matrix for the sanitation project:

Table 23. RACI Matrix of Sanitation Project

	Responsible	*Accountable*	*Consulted*	*Informed*
Role's description	Who is getting things done? Doing the work associated with the task?	Who signs off on the deliverable associated with the task?	Who needs to be actively solicited for input?	Who needs to be kept abreast through copies of reports, email, etc.
Example for Sanitation Project				
Annual work plan development	Head of office	Board members (secretary or chairman)	All board members	Volunteers, partners
Detail implementation planning of work plan	Head of divisions	Head of office	Board members-Volunteers section	Chairman, secretary and other board members
Activity implementation	Staff	Head of divisions	Head of office	Board members
Monitoring and Evaluation	Staff	Head of divisions	Head of office	Board members
Etc.				

Once the roles and responsibilities of project stakeholders are established, the next implementation challenge is managing project communications with these groups. Good communication is both an art and a science. On the one hand, the art of successful communications depends on the interpersonal and leadership skills of the project/program manager/head of office. The science of communications, however, is about planning and execution.

Part of the science of good communication is to carefully identify the appropriate communication strategy. For example, in the context of a small project, overly formal communications practices can quickly become an administrative burden, interfering project/program implementation.

Conversely, in the context of a large project, informal or ad hoc communication practices can quickly turn success into disaster if important issues and opportunities are missed through lax communication planning and implementation.

As a result, there needs to be clarity with regard to the "what", "why", "who", "how" and "when" of communications. This information can be identified in a communication with a plan format like the following:

Table 24. Communication Plan

Communication	Purpose	Audience	Assigned to	Communication vehicle	Frequency
Update of DRR school campaign	To inform the progress of target achievement and challenges (if any)	CBAT,Field coordinator, Project manager	Field coordinator	CBAT monthly meeting	Monthly
Etc.					

When identifying the vehicle for communications, the mechanism needs to match the messages and stakeholders. As a guide, here are several questions to ask when determining which mechanisms to use for project/ program communication:

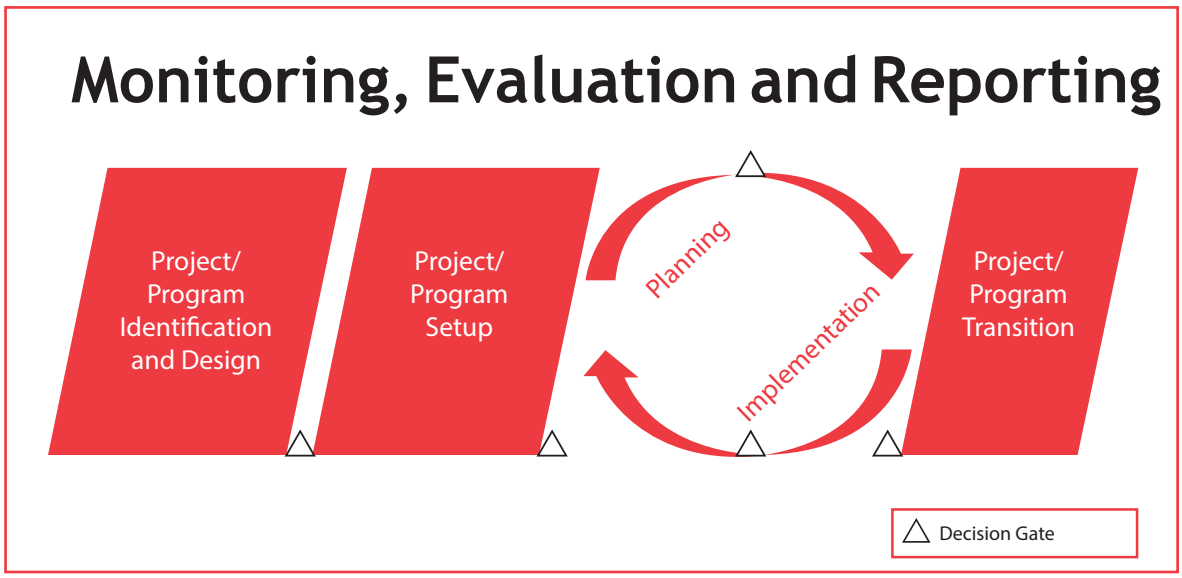
- ✓ Which mechanism or vehicle will increase the likelihood that the message will be actually received, understood and acted upon?
- ✓ How much information will be included and at what level of detail?
- ✓ Which mechanism is most appropriate for the type of message?
- ✓ Which mechanism does the stakeholder prefer?
- ✓ What level of interaction is required (one way or two ways)?

After all answer to the above guiding questions are identified, furthermore, it is important to differentiate between regular, or ongoing, communications with project/program team members, sponsors, and other key stakeholders on a regular basis.

A good plan is only a good intention if not implemented properly.

Managers must be able to manage risks, issues, human resources, funds, logistics and assets in order to successfully achieve the intended objectives.

Monitoring and Evaluation Phase 7



Currently we arrive at the monitoring and evaluation phase. Note the position of this phase in the diagram above, the M&E are in the background of the project/program cycle (in white). This means that monitoring activities are intended to occur continuously and continually taking place through the entire life of the project while evaluation at particular times. Described in more detail below.

7.1. Introduction to Monitoring and Evaluation

7.1.1. Why is M&E important?

A well-functioning M&E system is critical of good projects/programs management and accountability. Although project/program that are well designed, comprehensively planned, fully resourced, at the time of implementation will inevitably face challenges.

These challenges can take place at any point in the life of the project/ program and the project team must work to continually revisit the design, planning and implementation of the project to confirm they are valid and to determine whether corrective actions need to be taken when the project/ program's performance deviates significantly from its design and its plan. Therefore, timely and reliable M&E should provide information to:

a. **Support project/program implementation** with accurate, evidence-based reporting that informs management and decision-making to guide and improve project/program performance.

b. **Contribute to organizational (PMI) learning and knowledge sharing with other stakeholders.** By reflecting upon and sharing experiences and lessons, PMI can gain the full benefit from what it has done and how PMI did it.

c. **Uphold accountability and compliance** by demonstrating whether or not PMI's works have been carried out as agreed and in compliance with established standards and with any other donor requirements

d. **Provide opportunities for stakeholder feedback,** especially beneficiaries, to provide input into and perceptions of PMI's works and services. With this, PMI also modelling openness to criticism, and willingness to learn from experiences and to adapt to changing needs.

e. **Promote and celebrate PMI's work** by highlighting its accomplishments and achievements, building morale and advocacy for resource mobilization.

7.1.2. Monitoring and Evaluation Concepts

This section discuss key M&E concepts and considerations to inform planning and implementing monitoring and evaluation effectively.

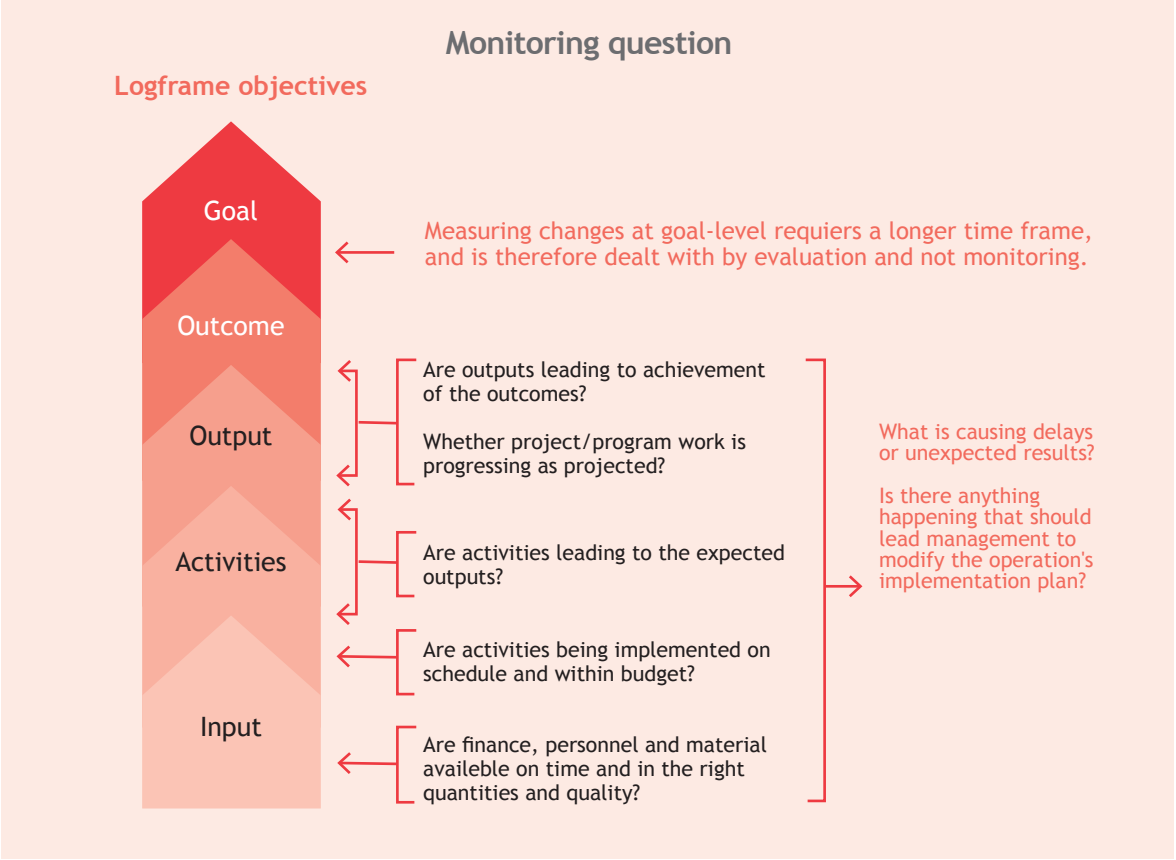
What is monitoring?

Monitoring is the routine collection and analysis of information to track progress against set plans and check compliance to established standards. It helps identify trends and patterns, adapt strategies and inform team in decisions making for project/program management.

Diagram 28 on the following page summarize key monitoring questions as they relate to the logframe's objectives. Note that they focus more on the lower-level objectives, such as inputs, activities and output.

This is because the outcomes and goal are usually more challenging changes (typically in knowledge, attitudes and practice/ behaviors) to measure, and require a longer time frame and a more focused assessment provided by evaluations.

Diagram 28. Monitoring Questions and Logframe



There are various processes and tools to assist with the different types of monitoring, which generally involve obtaining, analyzing and reporting on monitoring data. Specific processes and tools may vary according to monitoring need, but there are some overall best practices we need to keep in mind, which are summarized in Box 3 below.

Box 3. Key Principles in Monitoring

a. **Monitoring data should be well-focused** to specific audiences and uses (only what is necessary and sufficient).
b. **Monitoring should be systematic,** based upon predetermined indicators and assumptions.
c. Monitoring should also **look for unanticipated changes** with the project/program and its context, including any changes in project/program assumptions/risks; this information should be used to adjust project/program implementation plans.
d. Monitoring needs to be **timely**, so information can be readily used to inform project/program implementation.
e. Whenever possible, monitoring should be **participatory**, involving key stakeholders - this can not only reduce costs but can build understanding and ownership.
f. Monitoring information is **not only for project/program management** but should be shared when possible with beneficiaries, donors and any other relevant stakeholders

A project/program usually monitors a variety of things according to its specific informational needs. The following Table 25 provides a summary of the different types of project/program monitoring.

Table 25. Common Types of Monitoring

Results monitoring tracks outputs and outcomes, to determine if the project/program is on target towards its intended results **(outputs and outcomes)** and whether there may be any unintended impact (positive or negative). For example, in PMER project, will monitor whether the implementation of PMER system at PMI all level contributed to well-functioning PMI.
Process (activity) monitoring tracks the use of **inputs and resources, the progress of activities** and the delivery of outputs. It examines how activities are delivered - the efficiency in time and resources. For example, whether the number of people who are trained meet the target, whether budget for the training optimally absorbed, what percentage of trainees who pass the PMER training.
Compliance monitoring ensures compliance with **donor regulations and agreed standards** of expected results, grant and contract requirements, local governmental regulations and laws, and ethical standards. For example, whether PMER training is conducted in accordance with the its curriculum and the syllabus, whether trainees meet the established requirements, if the facilitators have had sufficient competence in PMER, whether the training is managed in accordance with the guidelines of PMI training management.
Context (situation) monitoring tracks **the setting** in which the project/programme operates, especially as it affects identified risks and assumptions, but also any unexpected considerations that may arise. For example, the replacement of board members may affect the implementation of the system PMER. Another example, a project in a conflict-prone area may monitor potential fighting that could not only affect project success but also endanger project staff and volunteers.
Beneficiary monitoring tracks **beneficiary perceptions of a project/program, beneficiary satisfaction or complaints** with the project/programme, and their participation, treatment, access to resources and their overall experience of change, including stakeholder complaints and feedback mechanism. For example, collect feedback from trainees about PMER training quality, finding out how PMER knowledge and skills have been used at PMI branches, identify what else are needed to continuously support PMER system implementation.
Financial monitoring to determine **the effectiveness of the use of grants.** It is often conducted in conjunction with compliance and process monitoring. For example, if the funds are used for training PMER effective to improve the competence of the head of office or project/program manager in PMER, whether hands on support provided through field visit to districts and provinces effectively support PMER system implementation, whether proposed budget is fully absorbed, whether project financial report are submitted in a timely manner.
Organizational monitoring tracks the sustainability, **institutional development and capacity building** in the project/program and with its partners. For example, PMI headquarters may use organizational capacity monitoring to track communication and coordination in project/program implementation at districts and provinces

What is evaluation?

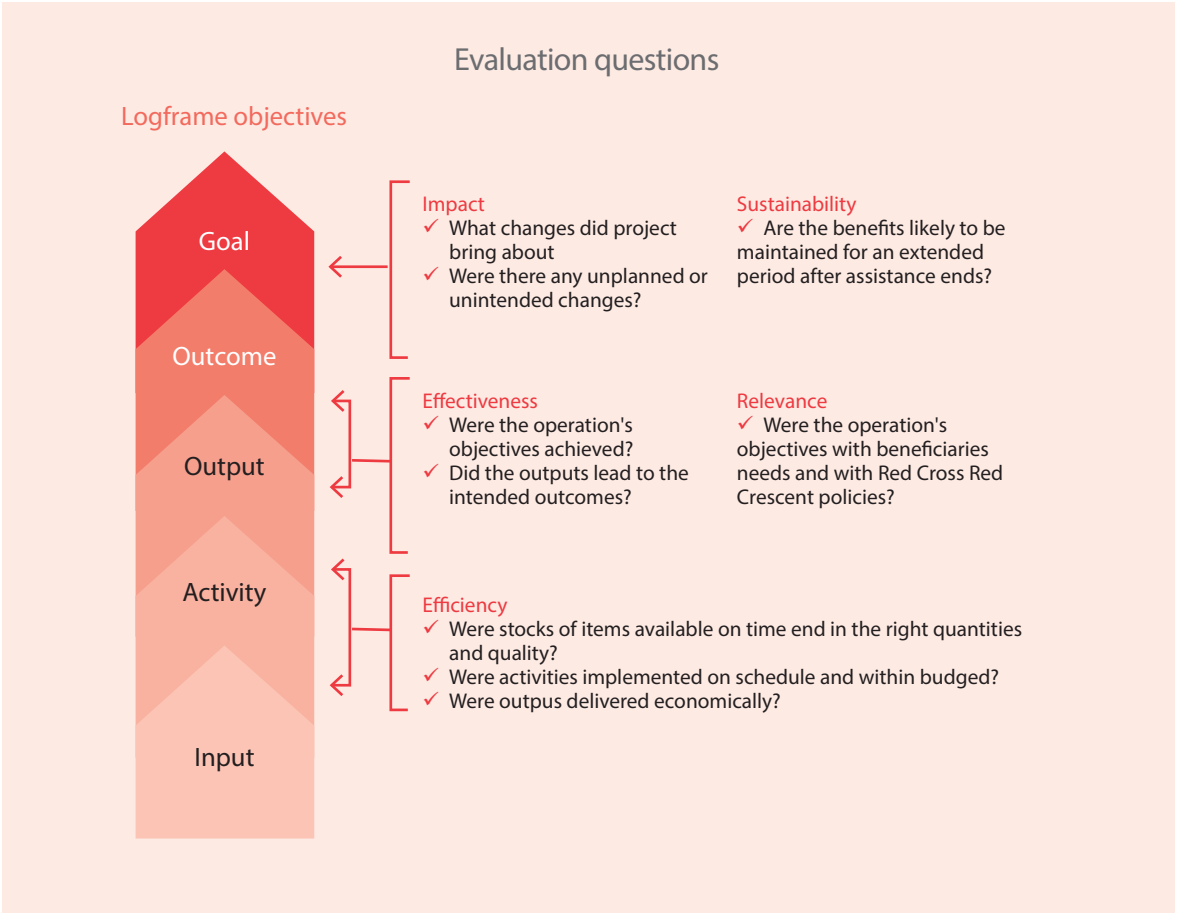
PMI adopts the IFRC definition of evaluation as "an assessment, as systematic and objective as possible, of an ongoing or completed project/ program including policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, developmental efficiency, effectiveness, impact and sustainability of a project/program. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process.

Keep in mind that the "evaluation" we discuss in this section is project/ program evaluation, not "activity evaluation" which is usually done informally and simple. A projects/program evaluation has certain standards and ethics.

Evaluations involve identifying and reflecting upon the effects of what has been done through project/program, and judging their worth. Their findings allow project/programme managers, beneficiaries, partners, donors and other stakeholder s to learn from the experience and improve future interventions.

Diagram 29 (below) summarizes key evaluation questions as they relate to the logframe's objectives, which tend to focus more on how things have been performed and what difference has been made.

Diagram 29. Evaluation Questions and Logframe



Evaluation serves four key purposes:

a. **Improve PMI works** and ultimately to carrying out its mission to help those in need. Evaluation improves PMI performance through reliable and accurate assessment of success and failures of its project/program. It informs management and decision-making processes, including strategic planning, policy and program design, programming, budgeting, implementation and reporting. Evaluation helps us improve the relevance and impact of results, optimizing the use of resources, and maximizing the satisfaction with and impact of our work.

b. **Contribute to organizational learning.** Evaluations form a basis for learning to better manage and deliver PMI programs and services. They provide opportunities to reflect upon and share experience and learning, and enhance collaboration so that we can gain the full benefit from what we do and how we do it, and build on our strengths as a leading actor in humanitarian relief.

c. **Uphold accountability and transparency.** Timely and transparent evaluations model accountability to our stakeholders at multiple levels: beneficiaries, donors, partner organizations and governments, and other key stakeholders in the humanitarian field. Evaluations help demonstrate whether work has been carried out as agreed and in compliance with established standards. They also provide opportunities for stakeholders and beneficiaries to provide input into and perceptions of our work, modelling openness to criticism about PMI services.

d. **Promote and celebrate the success of PMI program/works.** Reliable evaluations can be used for resource mobilization, advocacy, and to recognize and celebrate our accomplishments.

It is best to involve key stakeholders as much as possible in the evaluation process. This includes PMI board members, staff and volunteers, community members, local authorities, partners, donors, etc. Participation helps to ensure different perspectives are taken into account, and it reinforces learning from and ownership of the evaluation findings

There is a range of evaluation types, and which one of the approach and method will be used is determined by the audience and purpose of the evaluation. ***It is important to remember that the categories and types of evaluation are not mutually exclusive and are often used in combination.***

What gets evaluated gets produced.

Table 26. Summary of Types of Evaluation

According to evaluation timing	According to who conducts the evaluation	According to evaluation technicality or methodology
Midterm evaluations are formative in purpose and occur midway through implementation. For projects/ program that run for longer than 24 months, some type of midterm assessment, evaluation or review is required. Typically, this does not need to be independent or external, but may be according to specific assessment needs. **Final evaluations** are summative in purpose and are conducted (often externally) at the completion of project/ programme implementation to assess how well the project/ programme achieved its intended objectives. All projects/programs should have some form of final assessment, whether it is internal or external. **Ex-post evaluations** are conducted some time after implementation to assess long- term impact and sustainability.	**Internal** or self-evaluations are conducted by those responsible for implementing a project/program. They can be less expensive than external evaluations and help build staff capacity and ownership. However, they may lack credibility with certain stakeholders, such as donors, as they are perceived as more subjective (biased or one-sided). These tend to be focused on learning lessons rather than demonstrating accountability. **External or independent evaluations** are conducted by evaluator(s) outside of the implementing team, lending it a degree of objectivity and often technical expertise. These tend to focus on accountability. Project/program with a significant amount of budget, particularly from donor, usually require an independent final evaluation. **Participatory evaluations** are conducted with the beneficiaries and other key stakeholders. This can be empowering, building their capacity, ownership and support. **Joint evaluations** are conducted collaboratively by more than one implementing partner, and can help build consensus at different levels, credibility and joint support.	**Real-time evaluations (RTEs)** are undertaken during project/ programme implementation to provide immediate feedback for modifications to improve ongoing implementation. Emphasis is on immediate lesson learning over impact evaluation or accountability. RTEs are particularly useful during emergency operations. **Thematic evaluations** focus on one theme, such as gender or environment, typically across a number of projects, programs or the whole organization. **Cluster/sector evaluations** focus on a set of related activities, projects or programmes, typically across sites and implemented by multiple organizations. **Impact evaluations** focus on the effect of a project/ program, rather than on its management and delivery. Therefore, they typically occur after project/ programme completion during a final evaluation or an ex-post evaluation. However, this evaluation usually applied for project/ program with relatively long term.

Evaluation criteria

There are eight criteria to be included in evaluation process for PMI project/program. The following criteria is used to determine the factors of success on PMI project/program.

1. **The seven Fundamental Principles, Code of Conduct, IFRC's Strategy 2020.**
   PMI work should uphold IFRC policies and guidelines, includes Fundamental Principles of the Red Cross and Red Crescent Movement, Code of Conduct for International Red Cross and Red Crescent Movement and NGOs in Disaster Relief, and the IFRC Strategy 2020.

2. **Relevance and appropriateness**
   Relevance focuses on the extent to which a project/program is suited to the priorities of the target group, and also considers other approaches that may have been better suited to address the identified needs.

   The ***validity of design*** is an important element of relevance. ***Appropriateness*** focuses on the extent to which an intervention is tailored to local needs and context, and compliments other project/programs from other actors. It includes how well the intervention takes into account the economic, social, political and environmental context surround the project/program implementation.

3. **Efficiency**
   Efficiency measures the extent to which results have been delivered in the least costly manner possible. It is directly related to ***cost-effectiveness*** - how well inputs, (i.e. funds, people, material, and time), are used to undertake activities and are converted to results. It includes whether the results or benefits justify the cost, and can compare alternative approaches to achieving the same results to determine whether the most efficient processes have been adopted.

4. **Effectiveness**
   Effectiveness measures the extent to which an intervention has or is likely to achieve its intended, immediate results, based upon the project/program objectives and indicators stated in logical framework. However, the assessment of effectiveness should not be limited to whether an intervention has achieved its objectives, but also to identify the major reasons and key lessons to inform further implementation in the future. **Key elements of effectiveness include:**

- ✓ ***Timeliness***. Evaluations should assess to what extent activities/ services/product were delivered in a timely manner, and with required quality.

- ✓ ***Coordination***. assess how well various related stakeholders have been engaged and involved, for instance governments, local and national organization/institutions, and other partners.

- ✓ ***Stakeholder perspectives***. The viewpoint of stakeholders can help identify factors related to the project/program performance, such as who participated and why, and the influence of the local context.

5. **Coverage**

   Coverage refers to the extent population groups are included in or excluded from project/program target, and the differential impact on these groups. Evaluation of coverage involves assess how and why certain beneficiaries selected. It is a particularly important criterion for emergency response. **Key elements of coverage include:**

   - ✓ ***Proportionality***. Evaluations should examine whether aid has been provided proportionate to need, whether all beneficiaries have equal access to receive assistance, whether there was bias when determining the criteria for selecting beneficiaries.

   - ✓ ***Demographical analysis***. The assessment of coverage typically requires a breakdown of demographic data (disaggregation) by geographic location and relevant socioeconomic categories, such as gender, age, race, religion, ability, socioeconomic status, and marginalized populations (i.e. internally displaced persons - IDPs).

   - ✓ ***Levels of coverage***. Coverage can usually be assessed on three levels: 1) International, to determine whether and why support provided in one intervention, or response, is adequate in comparison to another; 2) National or regional, to determine whether and why support was provided according to need in different areas; and 3) Local or community, to determine who received support and why.

   - ✓ ***Cultural/political factors***. Coverage is often culturally determined. What constitutes "need," and therefore who is assisted, often requires an analysis of socio-political and economic factors and related power structures.

6. **Impact**

Impact examines the positive and negative changes from a project/program, directly or indirectly, intended or unintended. It attempts to measure how much difference we make. Its scope includes the wider effects of a project/program, including the social, economic, technical, and environmental effect on individuals, groups, communities, and institutions. **Key elements of impact include:**

- ✓ ***Attribution***. A critical aspect in assessing impact is the degree to which observed changes are due to the evaluated project/program versus some other factor. In other words, how much credit (or blame) can the measured changes be attributed to the project/program? Two broad approaches are used to determine attribution.

  Comparative approaches attempt to establish what would have happened without a particular project/program, and **theory-based methods** examine a particular case in depth to explain how a project/program could be responsible for specific changes. Both these approaches may involve the use of qualitative and quantitative methods and tools, and are often used in combination.

- ✓ ***Methodological constraints***. The measurement of impact has considerable methodological constraints and is widely debated. Of the evaluation criteria, it is typically the most difficult and costly to measure, due to the level of sophistication needed. As its focuses on longer-term changes, it may take months or years for such changes to become apparent. Thus, **a comprehensive assessment of impact is not always possible or practical for an evaluation.**

7. **Coherence**

Coherence assess whether the project/program in line, complement or conflict with the existing policies. Given that PMI project/programs are often implemented through various partnerships with governments, other international organizations and agencies, therefore coherence is an important criterion to consider, especially for upholding the Fundamental Principles of Impartiality, Neutrality, Independence, and Unity. **Key considerations in the assessment of coherence include**:

- ✓ ***Multiple actors***. Whether there are multiple actors involved in an intervention with conflicting mandates and interests? Such as military and civilian actors in a conflict setting, or multiple agencies during an emergency response to a disaster.

- ✓ ***Political repercussions***. Whether a project/program activities have political consequences? Given its focus on wider policy issues, therefore, careful consideration should be given to the objective credibility in measurement, and the manner in which findings are reported.

- ✓ ***Methodologically challenging***. Similar to impact, coherence is measured in relation to higher level, longer-term objectives, and can be difficult for the evaluator/s, depending on their capacity and resources to conduct policy analysis.

8. **Sustainability & Connectedness**

   Sustainability is concerned whether the benefits of a project/ program are likely to continue once donor input has been withdrawn. It includes environmental, institutional, and financial sustainability. It is especially appropriate for longer-term interventions that seek to build local capacity and ownership so management can continue without donor funding. However, particularly for a respond to complex emergencies or natural disasters, acute and immediate needs take precedence over longer-term objectives.

   Connectedness refers to the need to ensure that activities of a short-term project/program (or intervention) are implemented in a way that takes longer-term and interconnected factors into account. For instance, the establishment of key linkages between the relief and recovery with a sound exit strategy to handing over responsibilities to the appropriate stakeholders, allocating adequate resources for post-project/program or response.

Evaluation standards

Whereas the above criteria guide what is evaluated, the standards guide how the evaluation should be planned, managed, conducted, and utilized. Meanwhile, **the following eight evaluation standards summarize key principles that guide how evaluation is conducted by PMI.**

1. **Utility Standard**
   Evaluation findings must be useful and used. Evaluations are useful if they are done at the right time, serving the specific information needs of intended users. It also requires that evaluations are conducted in a credible manner so that findings are accepted and can inform decision- making and organizational learning. There should be clear indication of how the evaluation findings will be used, and follow up should be planned specifically.

2. **Feasibility Standard**
   Evaluations must be realistic, diplomatic, and managed in a sensible, cost effective manner. PMI must commits to allocating adequate resources for evaluation, which should be managed cost-effectively to maximize the benefits.

3. **Ethics and Legality Standard**
   Evaluations should abide by professional ethics, standards and regulations to minimize risks, harms and burdens to evaluation participants – this includes careful consideration as to whether an evaluation or certain procedures should be foregone because of potential risks or harms.

   Evaluators should respect the customs, culture, and dignity of human subjects, includes differences due to religion, gender, disability, age, sexual orientation and ethnicity. Particular attention should be given to address issues of discrimination and gender inequality.

4. **Impartiality and Independence Standard**
   Evaluations should be impartial, providing a comprehensive and unbiased assessment that takes into account the views of all stakeholders (free from political influence and organizational pressure). It improves evaluation accuracy and credibility, and reduces the potential for conflict of interest.

Independence refers to external evaluations, for which evaluators should not be involved or have a vested interest in the project/ program being evaluated. Independence further reduces bias and the potential for conflict of interest because the evaluators conducting the evaluation are not evaluating their own activities. Independence and impartiality are closely related, but impartiality applies to all evaluations, including non-independent evaluations, (i.e. an internal or self-evaluations).

5. **Transparency Standard**
   Evaluations should be conducted in an open and transparent manner. Specific procedures and protocol should be developed to ensure transparency in the evaluation design, data collection, the development and dissemination of evaluation products, and handling competing interests, differences of opinion, and disputes. Terms of Reference and evaluation products, including the report, should be made public.

6. **Accuracy Standard**
   Evaluations should be technically accurate, providing sufficient information about the data collection, analysis, and interpretation methods. Evaluators should possess the necessary education, expertise, and experience to conduct systematic assessments that uphold the highest methodological rigor, technical standards, professional integrity and best practices promulgated by professional evaluation associations and agencies. In the case of internal evaluations, the participants should have adequate experience and expertise.

7. **Participation Standard**
   Stakeholders should be consulted and meaningfully involved in the evaluation process when feasible and appropriate. Key stakeholder groups include the beneficiaries, programme staff, donor/s, Movement partners, with bi-lateral organizations, and between international, national, and civic society organizations. Stakeholder participation in data collection, analysis, reporting, and utilization increases legitimacy and utility of evaluations, as well as overall cooperation, support, and ownership for the process.

8. **Collaboration Standard**
   Collaboration between key operating partners in the evaluation process improves the legitimacy and utility of the evaluation. PMI project/programs are often implemented through various partnerships within the Movement, with bi-lateral donors, and between international, national, and civic society organizations. Therefore, there should be transparent information sharing and organizational learning to those who involved during the implementation. In addition to pooling together and conserving resources, can reduce the duplication of services, build consensus, credibility, and support to the evaluation result.

M&E ethics

M&E involves collecting, analyzing and communicating information about people – therefore, ***it is especially important that M&E is conducted in an ethical and legal manner, with particular regard for the welfare of those involved in and affected by it***. The following is a list of key standards and practices for ethical and accountable M&E:

- ✓ ***M&E should uphold*** the Fundamental Principles of the International Red Cross and Red Crescent Movement and the Code of Conduct for International Red Cross and Red Crescent Movement and NGOs in Disaster Relief

- ✓ ***M&E should respect the customs, culture and dignity of human subjects*** – this includes differences due to religion, gender, disability, age, sexual orientation and ethnicity. Evaluator should be aware of cultural sensitivity is especially important when collecting data on sensitive topics (e.g. domestic violence or contraceptive usage), from vulnerable and marginalized groups (e.g. internally displaced people or minorities), and following psychosocial trauma (e.g. natural disaster, conflict or war).

- ✓ ***M&E practices should uphold the principle of "do no harm"***. Certain information can endanger or embarrass respondents. Evaluators should seek to maximize the benefits and reduce any unnecessary harm that might occur, provided this will not compromise the integrity of the evaluation findings.

- ✓ ***When feasible and appropriate, M&E should be participatory.*** Local involvement could increase their capacities. Stakeholder consultation and involvement in M&E increases the legitimacy and utility of M&E information, as well as overall cooperation and support for and ownership of the process.

- ✓ ***An M&E system should ensure that stakeholders can provide comment and voice any complaints about the PMI project/program, and to be further*** reviewed and responded.

Attention to gender and vulnerable groups

Data collection, analysis and reporting should strive for a balanced representation of any potentially vulnerable or marginalized groups. This includes attention to differences and inequalities in society related to gender, race, age, sexual orientation, physical or intellectual ability, religion or socioeconomic status.

Particular attention should be given to a gender-balanced representation. Gender refers to economic, social, political and cultural differences (including opportunities) with being male or female. Due to social (gender) and biological (sex) differences, women and men can have different health behaviors and risks, as well as different experiences from health services.

For example, gender inequalities especially affect sexually transmitted infections among women and men. A gender-sensitive approach in health care recognizes both sex and gender differences and seeks to provide equal access to treatment and services for both women and men. Therefore, data collection and analysis should focus on how differences between women and men may affect equal access to health services. Disaggregation of data by sex (and age) is a good starting point for such analysis.

7.1.3. Baseline and Endline Studies

A baseline is an analysis describing the initial conditions (appropriate indicators) before the start of a project/program, against which progress can be assessed or comparisons made. An endline is a measure made at the completion of a project/program (usually as part of its final evaluation), to compare with baseline conditions and assess change.

Baseline and endline studies are not evaluations themselves, but an important part of assessing change. They usually contribute to project/program evaluation (e.g. a final or impact evaluation), but can also contribute to monitoring changes on longer-term projects/program. The benchmark data from a baseline is used for comparison later in the project/program and/or at its end (endline study) to help deter mine what difference the project /program has made towards its objectives. This is helpful for measuring impact.

DON'T JUMP TO CONCLUSIONS... AND INCORRECTLY ATTRIBUTE CHANGE ONLY TO YOUR INTERVENTION.

Note:

Impact measurement is challenging, can be costly and is widely debated. This does not mean we should not try to measure impact; it is an important part of being accountable to what we set out to achieve. However, we should be cautious and understand some of the challenges in measuring impact.

Typically, impact involves longer-term changes, and it may take months or years for such changes to become apparent. Furthermore, it can be difficult to attribute observed changes to a project/program versus other factors.

Despite these challenges, there is increasing demand for accountability among organizations working in humanitarian relief and development. Therefore, careful consideration should be given to its measurement, including the required time period, resources and specialized skills.

7.1.4. Comparing Monitoring, Evaluation, Review, and Audit

The main difference between monitoring and evaluation is their timing and focus of assessment. Monitoring takes place in **the entire** project/program implementation and tends to focus on **what is happening**. On the other hand, evaluations are conducted **at specific points in time** to assess **how well** it happened and **what difference** it made.

Monitoring data is typically used by managers for ongoing project/program implementation, tracking outputs, budgets, compliance with procedures, etc. Evaluations may also inform implementation (e.g. a midterm evaluation), but they are less frequent and examine larger changes (outcomes) that require more methodological rigor in analysis, such as the impact and relevance of a project/program.

Recognizing their differences, it is also important to remember that both monitoring and evaluation are integrally linked; monitoring typically provides data for evaluation, and elements of evaluation occur when monitoring. For example, monitoring may tell us that 200 community facilitators were trained (what happened), but it may also include post-training tests on how well they were trained.

Evaluation may use this monitoring information to assess any difference the training made towards the overall objective or change the training was trying to produce, e.g. increase condom use, and whether this was relevant in the reduction of HIV transmission.

In addition to M&E, a review is also needed. A review is a structured opportunity for reflection to identify key issues and concerns, and make informed decisions for effective project/program implementation.

While monitoring is ongoing, reviews are less frequent (could be annually or midterm) but not as involved as evaluations. Review is useful to share information and collectively involve stakeholders in decision-making. They may be conducted at different levels within the project/program structure (e.g. at the community level and at headquarters) and at different times and frequencies. Reviews can also be conducted across projects or sectors..

An audit is an assessment to verify compliance with established rules, regulations, procedures or mandates. Audits can be distinguished from an evaluation in that emphasis is on assurance and compliance with requirements, rather than a judgement of worth. Financial audits provide assurance on financial records and practices, whereas performance audits focus on the **three E's - efficiency, economy and effectiveness** of project/ program activities. Audits can be internal or external.

Table 27. Comparing Key Features of Monitoring/Review, Evaluation, and Audit

	Monitoring and review	Evaluation	Audit
Why?	Check progress, inform decisions and remedial action, update project plans, and promote accountability.	Assess progress and worth, identify lessons and recommendations for program sustainability; uphold accountability	Ensure compliance and ensure accountability
When?	Ongoing during project/ program	Periodic and after project/program	According to (donor) requirement
Who?	Internal, involving project/program implementers.	Can be internal or external to organization.	Typically external, but also could be internal organization
Link to logframe	Focus on inputs, activities, outputs and shorter-term outcomes	Focus on outcomes and overall goal	*Focus on inputs, activities and outputs*

7.1.5. Minimizing Bias and Error

M&E helps uphold accountability, and should therefore be accountable in it-self. This means that the M&E process should be accurate, reliable and credible with stakeholders.

Consequently, an important consideration when doing M&E is that of bias which could ***occurs when the accuracy and precision of a measurement is threatened by the experience, perceptions and assumptions of the researcher, or by the tools and approaches used for measurement and analysis***.

Minimizing bias helps to increase accuracy and precision. ***Accuracy means that the data measures what it is intended to measure***. For example, if you are trying to measure knowledge change following a training session, you would not just measure how many people were trained but also include some type of post training test of any knowledge change.

Precision means that data measurement can be repeated accurately and consistently over time and by different people. For instance, if we use a survey to measures children's height for a baseline study, the result should be similar although it is done more than one time or measured by different person.

It is important to understand that no research is completely without bias. Nevertheless, **there are precautions that can be taken, and the first is to be familiar with the major types of bias we encounter in our work:**

a. **Selection bias** results from poor selection of **the sample population to measure/study** which also called design bias or sample error. It occurs when the people, place or time period measured **is not representative of the larger population or condition** being studied.

   It is a very important concept to understand because there is a tendency to study the most successful and/or convenient sites or populations to reach, or conduct the data collection during a convenient time for the evaluator.

b. **Measurement bias** results from poor data measurement – either due to a fault in **the data measurement instrument** or the attitudes of the interviewer may influence how questions are asked and responses are recorded. For instance, household occupancy in a disaster response operation may be calculated incorrectly, or survey questions may be written in a way that biases the response, e.g. **"Why do you like this project/program?" (rather than "What do you think of this project/ program?").**

c. **Processing error** results from the poor management of data – miscoded data, incorrect data entry, incorrect computer programming and inadequate checking. This source of error is particularly common with the entry of quantitative data.

d. **Analytical bias** results from the poor analysis of collected data. Different approaches to data analysis generate varying results. For example, the statistical methods employed, or how the data is separated and interpreted.

Triangulating (combining) sources and methods in data collection can help reduce error due to selection and measurement bias. Data management systems can be designed to verify data accuracy and completeness, such as cross-checking figures with other data sources or computer double-entry and post-data entry verification when possible. A participatory approach to data analysis can help to include different perspectives and reduce analytical bias.

Triangulating data collection source and methods

Triangulation is the process of using different sources and/or methods for data collection. Combining different sources and methods (mixed methods) helps to cross-check data and reduce bias to better ensure the data is valid, reliable and complete. The process also lends to credibility if any of the resulting information is questioned. Triangulation can include a combination of primary and secondary sources, quantitative and qualitative methods, or participatory and non-participatory techniques.

1. **An example of data sources triangulation:** When collecting public opinion about quality improvement of blood donor service in PMI District A, do not just ask Blood Transfusion Unit personnel, but also ask those people who donate their blood, as well as consumers (individuals or hospitals) that receive blood from the unit.

2. **Example of triangulating data collection methods:** A household survey is conducted to determine beneficiary perception of a project/program, and it is complemented by focus group discussion and key informant interviews with participants as well as other community members.

7.2. Key Steps for Project/Program M&E

The five key M&E steps discussed in this section are:

1. Identifying purpose and scope of M&E system
2. Planning for data collection and management, including analysis
3. Planning for information reporting and utilization
4. Planning for M&E human resources and capacity building
5. Preparing M&E budget

This section builds upon the key M&E concepts presented in section 7.1. by outlining five key steps for project/program M&E. Taken together, these steps are to guide planning for and implementing an M&E system for the systematic, timely and effective collection, analysis and use of information.

Key reminders for all M&E steps

- ✓ ***The M&E steps are interconnected.*** For example, what data is collected will largely depend on the data needed to be reported. One step of M&E is integral to the other step and would be planned at the same time.

- ✓ ***M&E planning should be done by those who use the information.*** Involvement of project/program staff and key stakeholders ensures feasibility, under- standing and ownership of the M&E system. M&E planning should not be limited to PMI headquarters' office, but informed by the realities and practicalities of the field. The leadership of an experienced project/program manager or head of office is very helpful to ensure M&E activities are well adapted and within the project/program's time frame and capacity.

- ✓ ***Begin planning for your M&E system immediately after the project/program design stage*** to ensure adequate time, resources and personnel. ***It also informs the project/program design process itself to realistically consider how practical it is to do everything they intend to measure.*** Sometimes, the timing of the M&E planning is determined by donor requirements (e.g. at the proposal stage), and additional M&E planning may occur after a project/program is approved and funded.

- ✓ ***A project/program M&E system builds upon the initial assessment and project/ program design, which*** based on the short-term, intermediate and long- term objectives and their indicators identified in the project/program's logframe, the informational requirements and expectations of stakeholders, as well as other practical considerations, such as budget and time frame.

- ✓ ***It is useful to build on existing M&E capacities and practices so that the*** processes could be done accurately, reliable and timely.

- ✓ ***Particular attention should be given to stakeholder interests and expectations throughout the M&E process, for instance*** to local beneficiaries, other actors or PMI's partners (either multilaterally or bilaterally).

- ✓ ***M&E should be tailored and adjusted to the real-world context throughout the project/program's life cycle***. When project/program scopes are changes then M&E activities need to adapt accordingly, as will the M&E system will refines its processes and addresses arising problems and concerns. Like a project/program itself, the M&E system should be monitored, periodically reviewed and improved upon.

- ✓ ***Only monitor and evaluate what is necessary and sufficient for project/programme management and accountability***. It takes time and resources to collect, manage and analyses data, therefore extra information is more often a burden than a luxury.

DON'T LET M&E BURDEN THE VERY PROGRAMMING IT IS SUPPOSED TO SERVE!!

7.2.1. Step 1. Identifying Purpose and Scope of M&E System

What you will find in Step 1:

a. Reviewing project/program's operational design (logframe)
b. Identifying informational needs and expectations
c. Identifying any M&E requirements
d. Scope of major M&E events and functions

The purpose and scope of the M&E system answers, "Why do we need M&E and how comprehensive should it be?" Step 1 serves as a reference point for the M&E system, guiding key decisions such as informational needs, methodological approaches, capacity building and allocation of resources. The following outlines some key considerations when determining an M&E system's purpose and scope.

a. Reviewing Project/Program's Operational Design (Logframe)

A logframe is the foundation on which the M&E system is built. A well-developed logframe reflects the informational needs of the project/program. For example, the objectives and informational needs of a project/program during an emergency operation will have very different logframe and related M&E requirements than a longer-term development project/program (see Box 4).

Box 4. M&E in Emergency Settings

PMI often works in need in emergency settings. Planning M&E for an emergency operation presents operational objectives and contexts that typically differ from longer-term development projects/program. Emergency settings are often dangerous and dynamic, with rapidly changing, complex situations.

Therefore, acute and immediate needs often take priority over longer-term objectives. Also, high media coverage and pressure from donors demand timely M&E evidence for results. Other key challenges include increased insecurity, damaged or absent infrastructure, restricted access to areas and populations, absence of baseline or basic data, and rapid changes in personnel.

In such settings, it may not be possible to implement complex M&E systems. Instead, it is best to plan for simple and efficient systems, stressing regular and timely monitoring and rapid evaluations, such as real-time evaluations (RTEs).

When reviewing the logframe, it is important to check it for logic and relevance. Often, in the rush to start a project/program, there may be oversights in the development of a logframe due to time limitation and people who were involved. The logframe is not a static "blueprint", but should be reassessed and revised according to the realities and changing circumstances in the field. However, changes should only be made after careful consideration and consultation with key stakeholders and in compliance with any donor requirements.

An important consideration in developing a logframe is the use of recognized, standard indicators – see Box 5. Standard indicators may not only save time in designing indicators but an important advantage is that they typically come with accepted, standard definitions to ensure they are measured reliably and consistently. In addition, its measurement methods are usually well developed and tested.

However, there are limitations to how much indicators can be standardized, and they can be inflexible and unrepresentative of the local context. Also, consideration should be given to the project/program's capacity to measure certain standard indicators according to international methods and best practices. Nevertheless, ***often it is best to use a combination of standardized indicators and those designed specifically for the local context***

Box 5. Source of Standardized Indicators

There are types of standard indicators, the following is a summary of key source of widely used and well recognized indicators:

- ✓ Standard indicators developed for use across the humanitarian project/program. Examples include **the Sphere Project** and the **Humanitarian Accountability Partnership.**
- ✓ Sector-specific or thematic indicators developed for use in specific thematic sectors. Examples, indicators for **the United Nations Millennium Development Goals** and thematic groupings such as the HIV Global Alliance indicators.
- ✓ **UN Cluster** indicators developed by some of the U N agency to assess its overall achievements. These are particularly useful where outcomes and impact achieved cannot be attributed to the work of one organization, but rather to the collective efforts of multiple organizations in a cluster or across clusters.
- ✓ Organization-specific indicators which have been developed for use in specific operations or for organizational reporting. For example, the seven key proxy indicators for the Federation-Wide Reporting System (FWRS), or indicators for PMI Headquarters, Chapters, and Branches.

b. Identifying Informational Needs and Expectations

An M&E system is developed based on stakeholder needs and expectations to ensure understanding, ownership and use of M&E information. It is essential to have a clear understanding of the priorities and information needs and especially important that local knowledge is sought when planning M&E. This process is important for an M&E system to be relevant, feasible and in line with the local context, and that M&E information is credible, accepted and more likely to be supported.

Box 6 summarizes some key stakeholders and some of their common informational needs.

Box 6. Examples of Stakeholder's Needs of Information

- ✓ **Communities (beneficiaries)** need information to better understand, participate in and own the project/program.
- ✓ **Donors,** such as government, private sector, Participating National Societies, IFRC, and other donor agencies require information to ensure compliance and project/program accountability.
- ✓ **Project/program management** use information for decision-making, strategic planning, and accountability.
- ✓ **Project/program staff** can use information for project/program implementation and to understand management decisions.
- ✓ **The IFRC's secretariat and National Societies** may require information for donor accountability, long-term strategic planning, knowledge sharing, organizational learning and advocacy.
- ✓ **Partners (bilateral or local)** can use information for coordination and collaboration, as well as for knowledge and resource sharing.
- ✓ **Government and local authorities** may require information to ensure that legal and regulatory requirements are met, and it can help build political understanding and support.

While **stakeholder analysis** is conducted during the project/program identification and design phase, but for planning the M&E system it is recommended to focus more specifically on the informational needs and expectations of the key stakeholders.

An **M&E stakeholder assessment table** summarizing: **who** are the key stakeholders, ***what*** information they require, ***why***, ***when***, ***how*** (in what format) and any role or **function** they expect or are required to have in the M&E system.

c. Identifying Any M&E Requirements

In planning an M & E system, you should pay attention to ***donor guidelines and requirements, governmental laws and regulations, and internationally-agreed-upon standard***, and Fundamental Principles of the International Red Cross and Red Crescent Movement, as well as the Code of Conduct.

These requirements can include very detailed procedures, formats and resources, and are often non-negotiable. Therefore, it is best to identify and plan for them early in the M&E planning process to ensure that it meets those requirements.

PMI program are often implemented through various partnerships within the Movement, with bilateral donors and between international, national and civil society organizations. It is important that project/program manager and team carry out their work according to agreed-upon standards and criteria – which need to be monitored and evaluated.

d. Scope of Major M&E Events and Functions

The scope of the M&E system refers to project/program scale and complexity and how many and the type of outcomes it seeks to achieve. It has significant impact on the scale and complexity of the M&E system. Likewise, donor requirements can largely determine the precision and methodological rigor needed in the M&E system.

Therefore, an M&E system can be highly complex with a variety of activities and requiring considerable expertise and resources, or it can be relatively simple, relying on internal resources and capacities.

Some other important considerations for the scope of the M&E system include:

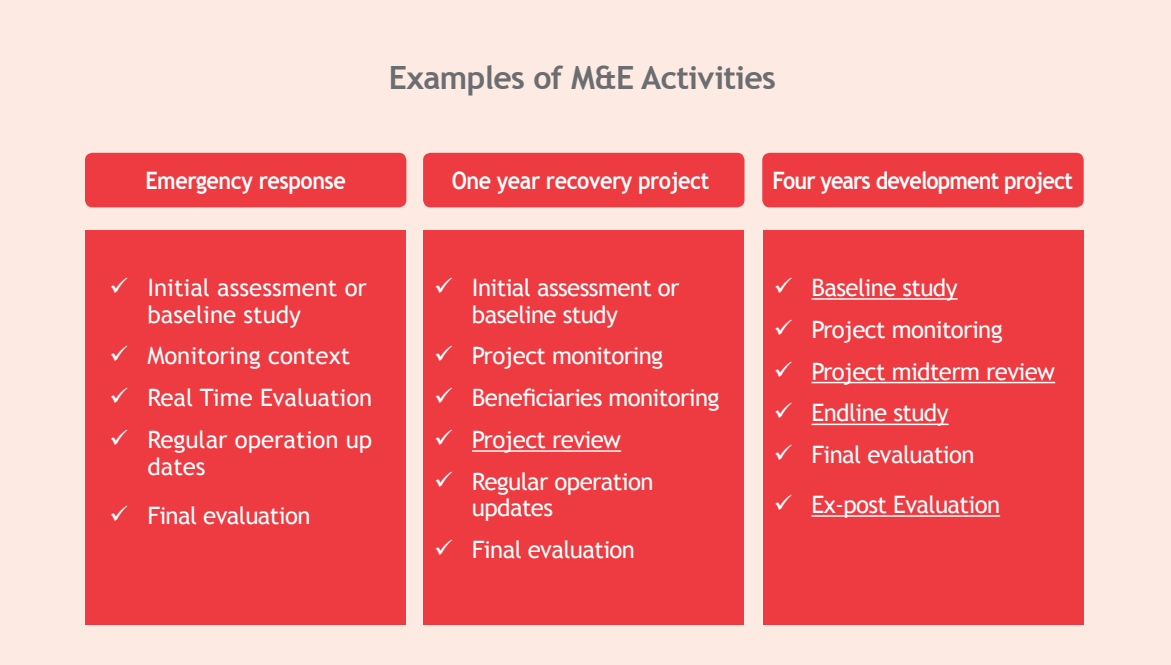
- ✓ ***The geographic scale*** of the project/program area, including accessibility to that areas
- ✓ ***The demographic scale*** of the project/program, including specific target populations and their accessibility.
- ✓ ***The time frame*** or duration of the project/program, including any pre- and post-project/program M&E needs
- ✓ ***The available human resources and budget***

Scoping the M&E system helps to identify major M&E activities and events - the overall scope of the M&E system and provides an important over view or "map" to build upon for planning for funding, technical expertise, capacity building, etc.

But remember, if you set objectives and scopes which is too broad or exceed what is needed, and you and your team will be too busy with recording and reporting and ultimately even lose time to work on project/programs activities.

You could also refer to following **Diagram 30** for an overview of key M&E activities during the project/program cycle. This information provides some examples of key M&E activities planned for three different types of project/ program according to intervention type and time frame.

Diagram 30. Examples of M&E Activities



7.2.2. Step 2. Planning for Data Collection and Management

What you will find in the Step 2:

a. Developing M&E plan table
b. Preparing specific data collection methods/tools
c. Planning for data management
d. Using Indicator Tracking Table (ITT)

Once you have defined the project/program's informational needs, the next step is to plan for the reliable collection and management of the data so it can be efficiently analyzed and used as information.

a. Developing M&E Plan Table

An M&E plan is a table that builds upon a project/program's logframe to detail key M&E requirements for each indicator and assumption. It summarizes key indicator (measurement) information in a single table: a detailed definition of the data, its sources, the methods and timing of its collection, the people responsible and the intended audience and use of the data.

M&E plan template with specific instructions and examples could be found in following Table 28. However, this format is flexible and could be adjusted or formatted differently according to the requirements for project/program management. For instance, you could add another column for budget, data sources, and people responsible for data collection versus data analysis.

The M&E plan should be completed during the project/program design phase This allows the project/program team to cross-check the logframe and ensure that the indicators and scope of work they represent in both project/program implementation and data collection, analysis and reporting are realistic to field realities and team capacities.

It is best that the M&E plan is developed by those who will be using it, because completing the table requires detailed knowledge of the project/program and context provided by the local project/program team and partners. Their involvement also contributes to data quality because it reinforces their understanding of what data they are to collect and how it will be collected.

Box 7. Is an M&E Plan Worth All The Time and Effort?

Developing M&E plans had multiple benefits, they not only made data collection and reporting more efficient and reliable but also helped project/program managers plan and implement their projects/programs with high quality.

M&E plans also served as critical cross-checks of the logframes, ensuring that they were realistic to field realities. Another benefit was that they helped to transfer critical knowledge to new staff and senior management.

Table 28. Example of M&E Plan (The table does not present complete logframe indicators, only several examples of indicator and assumption)

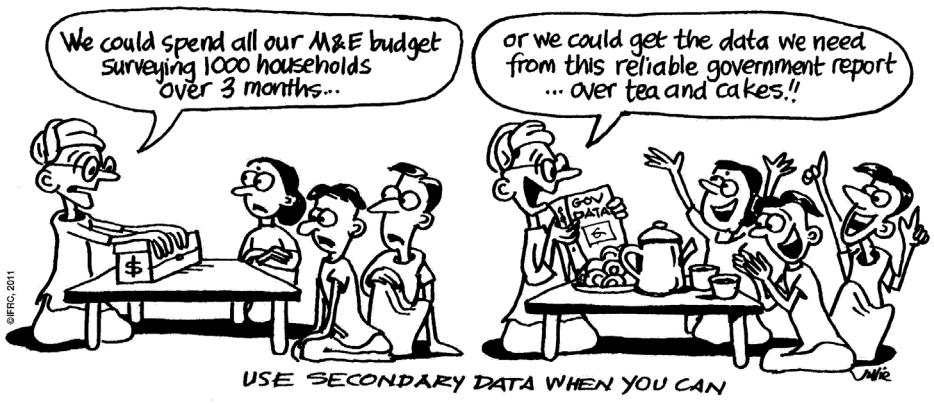
Indicator	Indicator definition (and unit of measurement)	Data collection methods/sources	Frequency and schedule	Person(s) responsible	nformation use/audience
Goal: Reduce deaths and injuries related to disasters in the Eastern District					
1. % of injuries caused by disasters in the Eastern District after the first year of project.	Injuries are wounds that prohibit someone from doing activities as usual, and need medical treatment. Calculation: number of heavily wounded people divided with the number of people exposed to disaster impact (residing in disaster area).	✓ Post-disaster assessment ✓ Local disaster data (BPBD)	If disaster occurs	DM Division Staff: Wahyu Samudra	✓ As an evaluation of project/ program impact
Outcome 1. The capacity of communities to prepare for and respond to disasters is improved					
0.1. % of surveyed respondents in target village who practice 5 or more disaster preparedness measures identified in the community DM plan at the end of project.	Respondent is one of a household members per Household aged >17 years old. Disaster Preparedness Measures are: 1) Preparing disaster grab bag; 2) Keeping emergency contact numbers; 3) Participating in disaster simulation; 4) Agreeing on disaster emergency plan in the family; 5) Finding out evacuation path or routes. Calculation: number of respondents who practice at least 5 measures divided with the number of surveyed respondents.	Household survey	Baseline Endline	Head of DM Division: Sri Mauliana	✓ As an evaluation of project/ program result ✓ To understand behavioral change in the community
Assumption 1.1. Civil society clashes do not hamper project implementation in targeted communities.	Civil society clashes refer to the history of existing clashes between Group A and Group B before the project/program exists.	Field monitoring ICRC daily report Media monitoring	Daily	PR staff: Jesika Loder	Monitoring risks for project/ program implementation and directed objective achievement
Outcome 2. The capacity of schools to prepare for and respond to disasters is improved					
2.2. % of target schools that have successfully conducted 1 disaster simulation every year.	Target schools are all primary schools in the Eastern District. Success is determined through an unannounced simulation using early warning system and reaching the following results: 1) response time is less than 20 minutes; 2) at least 95% of school students are in the designated area in line with the School Disaster Management plan; 3) School Disaster Response Team gathers and uses their equipment well. Calculation: number of primary schools with successful disaster simulation divided with the number of target school.	4 Observation on disaster simulation and completion of assessment checklist. 4 Focus group discussion after simulation.	During disaster simulation (annually)	Field Staff (School DM Advisor): Shana Warnera	✓ Monitoring and lessons learned ✓ Management report for strategic planning
Etc...					

b. Preparing Specific Data Collection Methods/Tools

Assessing the availability of secondary data

Secondary data refers to data that is not directly collected by and for the project/program, but which can nevertheless meet project/program informational needs. (In contrast, primary data is collected directly by the project/program team). ***Examples of secondary data include:***

- ✓ A vulnerability capacity assessment (VCA) conducted by partners
- ✓ Demographic statistics from the government census bureau, central statistics bureau, Ministry of Health, etc.
- ✓ Maps and aerial photographs of degraded land from the Ministry of Environment.
- ✓ Information on health, food security and nutritional level from UNICEF/FAO/WFP
- ✓ School attendance and performance records available from the



Secondary data is important to consider because **it can save considerable time and expense.** It can also be used to help triangulate data sources and verify primary data. However, it is critical **to ensure that secondary data is relevant and reliable** as a matter of fact that secondary data is not designed specifically for project/program needs. Check the relevance of secondary data for:

- ✓ **Population** - does it cover the population about which you need data?
- ✓ **Time period** - does it cover the same time period during which you need data?
- ✓ **Data variables** - are the characteristics measured relevant for what you are researching? For example, just because the data may be on road safety, if your project/program focuses on the use of motorcycle helmets, a road safety study on deaths due to drunken driving may not be relevant (unless they separate deaths for those cases in which it involved a motorcyclist with or without a helmet).

Even if the data measures what you need, it is important to ensure that the source is credible and reliable. It is important to check that **any** data source (primary or secondary) is accurate (measures what it is intended to measure) and precise (the data measurement can be repeated accurately and consistently over time and by different people.) Two key considerations for secondary data include:

- ✓ **Reputation** – how credible and respected are the people (organization) that commissioned the data and the authors who conducted the research and reported the data? Identify why the secondary data was initially collected and whether there may have been any motive or reason (e.g. political or economic) that it could bias the data. If possible, it can also help to check the credentials of the researchers/ authors of the data and report – e.g. their educational background, related reports and systematic assessments, whether they are accredited or belong to industry associations, etc.
- ✓ **Rigor** – were the methods used to collect, analyze and report on the data technically accurate? Check that there is a description of the research methods that provides sufficient information about the data collection, management and quality control, analysis, and its interpretation.

Determining the balance of quantitative and qualitative data

When planning for data collection, it is important to plan for the extent quantitative and qualitative data will be used. **Box 8** defines and compares both types of data.

Box 8. Comparing Quantitative and Qualitative Data

Quantitative Data	Qualitative Data
Quantitative data measures and explains what is being studied with numbers (e.g. counts, ratios, percentages, proportions, average scores, etc.). Quantitative methods tend to use structured approaches (e.g. coded responses to surveys) which provide precise data that can be statistically analyzed and replicated (copied) for comparison.	Qualitative data explains what is being studied with words (documented observations, representative case descriptions, perceptions, opinions of value, etc.). Qualitative methods use semi - structured techniques (e.g. observations and interviews) to provide in-depth understanding of attitudes, beliefs, motives and behaviors. They tend to be more participatory and reflective in practice.
Examples : ✓ 64 communities are served by an early warning system. ✓ 40 percent of the household s spends more than two hours gathering water for household needs.	**Examples :** ✓ According to community focus groups, the early warning sytem sounded during the emergency simulation, but in some instances it was not loud enough. ✓ During community meetings, women explained that they spend a considerable amount of their day collecting drinking water, and so have limited water available for personal and household

Quantitative data is often considered more objective and less biased than qualitative data – especially with donors and policy-makers. Because qualitative data is not an exact measurement of what is being studied, generalizations or comparisons are limited, as is the credibility of observations and judgements. However, quantitative methods can be very costly, and may exclude explanations and human voices about **why** something has occurred and how people feel about it.

As both quantitative and qualitative methods have subjective (biased) and objective (unbiased) characteristics therefore, ***a mixed-methods approach is often recommended that can utilize the advantages of both, measuring what happened with quantitative data*** and examining how and why it happened with qualitative data.

When used together, qualitative methods can uncover issues during the early stages of a project/program that can then be further explored using quantitative methods, or quantitative methods can highlight particular issues to be examined in-depth with qualitative methods.

For example, interviews (a qualitative method) may reveal that people in a community are concerned about hunger, and a sample of infants' weights (a quantitative method) may substantiate that mass-wasting and malnutrition are indeed prevalent in the community.

Survey at a glance

Surveys are a common method of gathering data for project/program M&E. Surveys can be classified in a number of ways, such as according to the specific method used – e.g. in person, by mail, telephone, etc.

They generally use interview techniques (questions or statements that people respond to), measurement techniques (e.g. infant's weight to determine nutritional status), or a combination of both. Next will briefly explain types of survey questions.

- ✓ ***Semi-structured surveys*** use **open-ended** questions that are not limited to defined answers but allow respondents to answer and express opinions at length– e.g. "How useful is the first-aid kit to your family?" Semi-structured surveys allow more flexibility in response, but take more skill and cost in administering - interviewers must be experienced in probing and extracting information.

- ***Structured surveys*** use a standardized approach to asking **fixed (closed-ended)** questions that limit respondents' answers to a predefined set of answers, such as yes/no, true/false, or multiple choice – e.g. "Did you receive the first aid kit?" While pre-coded questions can be efficient in time and useful for statistical analysis, they must be carefully designed to ensure that questions are understood by all respondents and are not misleading. Designing a questionnaire may seem common sense, but it involves a subtlety that requires experience.

Another important distinction for surveys can be made based on the timing and function of the survey:

- ***A descriptive survey seeks*** to obtain representative data about a population at a single point of time, without making comparisons between groups.
- ***A comparative survey*** seeks to compare the results between groups – either the same population at two points in time (e.g. baseline-endline design), or two distinct groups at the same point in time (e.g. treatment control groups).

Whatever survey method is used, it is critical to understand how it affects the way in which sample sizes are calculated. For example, descriptive surveys need to account for a **margin of error** when calculating the sample size, while comparative surveys require a power calculation to determine the best sample size.

It is beyond the scope of this reference book to adequately cover the topic of surveys, and interested readers are encouraged to refer to other resources.

*The **margin of error** is where your results have an error of no more than X percent, while the **confidence level** is the percentage confidence in the reliability of the estimate to produce similar results over time.*

These two determine how accurate your sample and survey results are - e.g. to achieve 95 per cent confidence with an error of 5 per cent, if the same survey were done 100 times, results would be within +/- 5 per cent the same as the first time, 95 times out of 100.

Determining sampling requirements

A sample is a subset of a whole population selected to study and draw conclusions about the population as a whole. Sampling (the process of selecting a sample) is a critical aspect of planning the collection of primary data. ***Sampling is used to save time and money by collecting data from a subgroup to make generalizations about the larger population***. The process of sampling includes the following steps:

a. ***Define the specific issues that you will be measuring*** – this will inform what methodology will be used to address the selected issues. For example, in determining a survey on sanitation knowledge, attitude and practice/behavior could be used to assess the extent to which behavior has been changed by activities that raise awareness of sanitation.

b. ***Determine the appropriate sampling method*** – unless primary data collection includes the total population studied, one of two broad types of samples will be used, depending on the degree of accuracy and precision required:

- ✓ ***Random (probability) samples*** are quantitatively determined and use statistics to make more precise generalizations about the larger population.

- ✓ ***Purposive (non-random) samples*** are qualitatively determined, often based on convenience or some other factor; they typically involve smaller, targeted samples of the population, but because they do not use statistics they are less reliable for generalizations about the larger population.

Random samples are more complex, laborious and costly than purposeful samples, and are not necessary for qualitative methods such as focus group discussions. However, random samples are often expected in larger projects/programs because they are more precise and can minimize bias – donors frequently require random sampling when using baseline and endline surveys. As discussed above, a ***mixed-methods*** approach may be best, combining both sample methods for quantitative and qualitative data collection.

In addition to these two broad types of sampling methods, there is a variety of specific sampling designs, such as simple random sampling, stratified random sampling, cluster sampling, multi-stage sampling, convenience sampling, purposeful sampling, and respondent-driven sampling. While we are unable to go into detail about the different sampling designs now, **it is important to understand that the design choice impacts the overall sample size.**

c. ***Define the sample frame*** - a list of every member of the population from which a sample is to be taken (e.g. the communities or categories of people – women, children, refugees, etc.).

d. ***Determine the sample size*** – the sample size is calculated using equations specific to the type of survey (whether descriptive/one-off or comparative/baseline-endline surveys) and to the indicator type used as a basis for the calculation (whether a mean/integer or proportion/percentage). While there are no "right" values for these design variables, there are accepted standards and "rules of thumb". For example, for descriptive/one-off surveys, the key design variables include significance (also known as confidence level) and the margin of sampling error. The accepted standard varies between 90 and 95 per cent for the confidence level and between 5 and 10 per cent for the margin of sampling error.

Preparing data collection tool

Data collection tool affect the accuracy and therefore it should be well prepared in order to be valid dan reliable. Some additional practical considerations in planning for data collection include

- ✓ **Preparing data collection guidelines.** This helps to ensure standardization, consistency and reliability over time and among different people in the data collection process. Double-check that all the data required for indicators is being captured through at least one data source.

- ✓ **Pre-testing data collection tools.** This helps to detect problematic questions or techniques, verify collection time, identify potential ethical issues and build the competence of data collectors.

- ✓ **Translating and back-translating data collection tools.** This ensures that the tools are linguistically accurate, culturally compatible and operate smoothly. If the tool is translated to the local language, the result should be translated back to the original language to ensure the consistency.

- ✓ **Training data collectors.** This includes an overview of the data collection system, data collection techniques, tools, ethics, culturally appropriate interpersonal communication skills and practical experience in collecting data.

- ✓ **Addressing ethical concerns.** Identify and respond to any concerns expressed by the target population. Ensure that the necessary permission or authorization has been obtained from local authorities, that local customs and attire (clothing) are respected, and that confidentiality and voluntary participation are maintained.

Box 9. Minimizing Data Collection Costs

Data collection is typically expensive. One of the best ways to lessen data collection costs is to reduce the amount of data collected (Bamberger et al. 2006). The following questions can help simplify data collection and reduce costs:

1. **Is the information necessary and sufficient?** Collect only what is necessary for project/program management and evaluation. Limit information needs to the stated objectives, indicators and assumptions in the logframe.

2. **Are there reliable secondary sources of data?** As discussed above, secondary data can save considerable time and costs – as long as it is reliable.

3. **Is the sample size adequate but not excessive?** Determine the sample size that is necessary to estimate or detect change.

4. **Can the data collection instruments be simplified?** Eliminate unnecessary questions from questionnaires and checklists. In addition to saving time and cost, this has the added benefit of reducing survey fatigue among respondents.

5. **Is it possible to use competent local people for the collection of survey data?** This can include university students, health workers, teachers, government officials and community workers. There may be associated training costs, but considerable savings can be made by hiring a team of external data collectors, and there is the advantage that local helpers will be familiar with the population, language, etc.

6. **Are there alternative, cost-saving methods?** Sometimes targeted qualitative approaches (e.g. participatory rapid appraisal – PR A) can reduce the costs of the data collection, data management and statistical analysis required by a survey – when such statistical accuracy is not necessary. Self-administered questionnaires can also reduce costs

c. Planning for Data Management

Much of the material remains **unprocessed**, or, if **processed**, unanalyzed, or, if **analyzed**, not read, or, if **read**, not used or **ACTED UPON.**

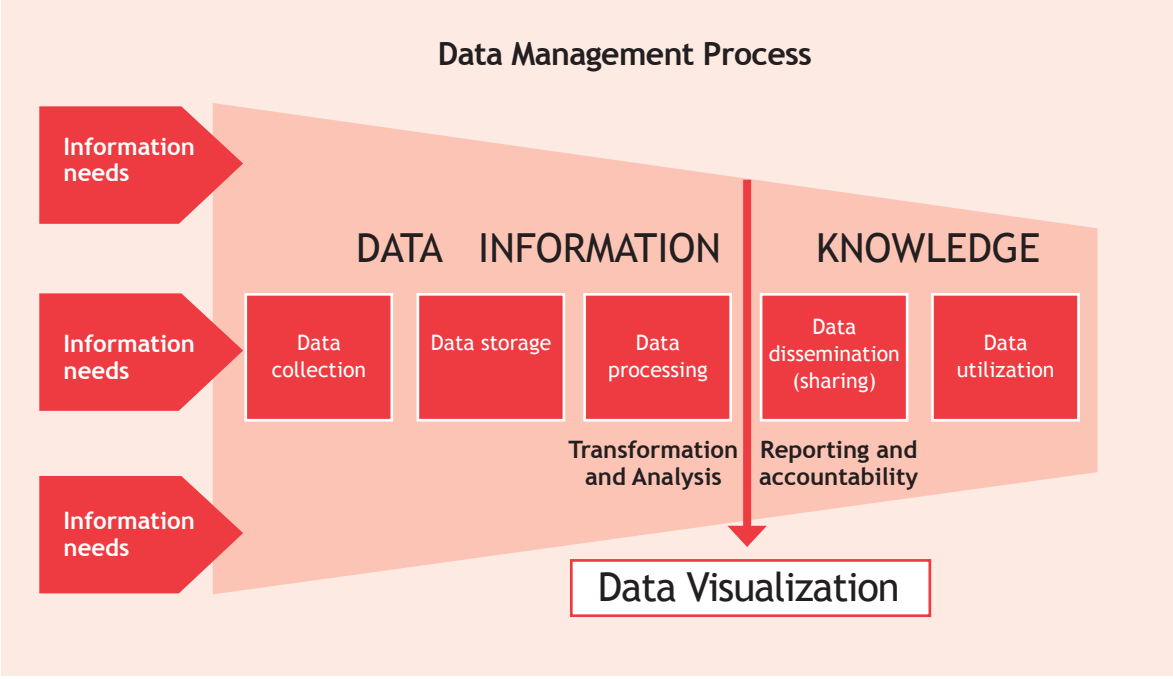
Data management refers to the processes and systems for how a project/program will systematically and reliably store, ***manage*** and access ***M&E data***. It is a critical part of the M&E system, linking data collection with its analysis and use.

Poorly managed data wastes time, money and resources; lost or incorrectly recorded data affects not only the quality and reliability of the data but also all the time and resources invested in its analysis and use.

Data management should be timely and secure, and in a format that is practical and user-friendly. It should be designed according to the project/program needs, size and complexity. Typically, project/program data management is part of an organization's or project/program's larger data management system and should adhere to any established policies and requirements.

Data management phases

Diagram 31. Data Management Process



1. **Data collection**. Data is collected using appropriate methods and also with tool(s) which is valid and reliable

2. **Data storage.** Data could be stored at various form, from hard copy archiving, soft copy within certain software (excel, SPSS) or even in a server.

3. **Data processing (transformation and analysis).** After data have been collected, the next step is data **transformation** which may include arithmetic **calculation** such as **aggregation, summarizing, classifying or categorizing** (by age, sex, education, income, etc.); **merging** (for instance monthly become quarterly; by district become by province, etc.); and **matching** (for example, staff with salary > IDR 5 million; volunteers who resident in DKI Jakarta, etc.).

   Subsequently the data will be **analyzed, to give meaning to the data or to interpret it.** You have to ask yourself what is the meaning of these transformed data. By doing this, you have **transformed data into information,** for example by explaining trends that occur, comparing changes between times, places, and sectors, as well as trying to explore "why these changes occur."

4. **Visualization of information** into a more attractive form, such as graphs, tables, maps, and photographs, to help the audience understand the meaning of information. Selection of forms for information visualization certainly depends on the type of information. Remember, you need to make sure that you choose the right chart for each of information.

5. **Data/information dissemination (sharing).** At this stage, you can disseminate/ present/share both data and information, internally as well as externally.

6. **Use of information.** You must be the **FIRST USER** of the data/ information you collected. If you do not use it, then you will not be able to encourage others to use it.

   Data will only be useful if converted to information and then information will only be useful when it is used to inform decisions making/actions. **Data/information that are not used is similar to garbage.**

Note:

Data is facts or the raw numbers before being processed and analyzed.

Information refers to data that has been processed and analyzed to be reported and used.

Six key considerations for planning a project/program data management system[4]:

1. **Data format.** The format in which data is recorded, stored and eventually reported is an important aspect of overall data management. Standardized formats and templates improve the organization and storage of data. Generated data comes in many forms, but are primarily:

   - ✓ Numerical (e.g. spreadsheets, database sets)
   - ✓ Descriptive (narrative reports, checklists, forms)
   - ✓ Visual (e.g. pictures, video, graphs, maps, diagrams)
   - ✓ Audio (recordings of interviews, etc.).

2. **Data organization.** A project/program needs to organize its information into logical, easily understood categories to increase its access and use. Data organization can depend on a variety of factors and should be tailored to the users' needs. Data is typically organized by one or a combination of the following classification logic:

   - ✓ **Chronologically** (e.g. monthly, quarterly, annually)
   - ✓ **By location** (e.g. villages, districts/cities)
   - ✓ **By content or focus area** (e.g. different objectives of a project/program; health; disaster management, water and sanitation)
   - ✓ **By format** (e.g. internal report, donor reports, report to government, report to PMI Headquarter).

3. **Access to available data**

   - ✓ **Access.** How permission is granted and controlled to access data (e.g. shared computer drives, folders, intranets). This includes the classification of data for security purposes (e.g. confidential, public, internal, and division).
   - ✓ **Searches.** How data can be searched and found (e.g. according to keywords).
   - ✓ **Archival.** How data is stored and retrieved for future use.
   - ✓ **Dissemination.** How data is shared with others

4. **Information technology (IT).** The use of computer technology to systematize the recording, storage and use of data is especially useful for projects/programs with considerable volumes of data. Some examples of IT for data management in M&E include:

4 Adopted from Rudolfo Siles, 2004, "Project Management Information System". It discusses this topic more comprehensively.

- ✓ Electronic devices (mobile smartphone) to record survey findings
- ✓ Excel spreadsheets for storing, organizing and analyzing data
- ✓ Microsoft Access to create user-friendly databases to enter and analyze data
- ✓ An integrated planning management system with an internet plat- form for inputting, organizing, analyzing and sharing information.

IT can help to reorganize and combine data from various sources, highlighting patterns and trends for analysis and to guide decision-making. It is also very effective for data and information sharing with multiple stakeholders in different locations.

However, the use of IT should be balanced with the associated costs for the computers and software, resources to maintain and safeguard the system, and the capacity among intended users

5. **Data quality control.** It is important to identify procedures for checking and cleaning data, and how to treat missing data. In data management, unreliable data can result from poor typing of data, duplication of data entries, inconsistent data, and accidental deletion and loss of data.

   Another important aspect of data quality is version control. This is how documents can be tracked for changes over time. Naming a document as "final" does not help if it gets revised afterwards. Versions (e.g. 1.0, 1, 2.0, 2.1, etc.) can help, but it is also recommended to use dates as well. For instance: "Water and sanitation Project 2nd Quarterly Report_25 June 2014"

QUALITY CONTROL OF DATA IS IMPORTANT

6. **Responsibility and accountability of data management.** It is important to identify the individuals or team responsible for developing and/or maintaining the data management system, assisting team members in its use and enforcing any policies and regulations. Also, for confidential data, it is important to identify who authorizes the release/access of this data.

Planning for data analysis

Data analysis is the process of converting collected (raw) data into usable information. This is a critical step of the M&E planning process because it shapes the information that is reported and its potential use.

Data analysis involves looking for trends, clusters or other relationships between different types of d ata, assessing performance against plans and targets, forming conclusions, anticipating problems and identifying solutions and best practices for decision-making and organizational learning. Reliable and timely analysis is essential for data credibility and utilization

Avoid over-analysis

Over analyzing data can be costly and may complicate decision making. Therefore, do not waste time and resources analyzing unimportant points .

Instead, focus on what is necessary and sufficient to inform project/ program management. Therefore, it is useful to refer to project/ program objectives and indicators from the log f r a me to guide relevant analysis and specific lessons, recommendations and action points that have been identified and reported.

Developing a data analysis plan

There should be a clear plan for data analysis. It should account for the time frame, methods, relevant tools/templates, people responsible for, and purpose of the data analysis. A data analysis plan may take the form of a separate, detailed written document, or it can be included as part of the overall project/ program management and M&E system. **Following summarizes key considerations when planning for data analysis.**

a. Purpose of data analysis

What and how data is analyzed is largely determined by the project/program objectives and indicators and ultimately the audience and their information needs. Therefore, data analysis should be appropriate to the objectives that are being analyzed, as set out in the project/program logframe and M&E plan. For example:

- ✓ **Analysis of output indicators** is typically used for project/ program monitoring to determine whether activities are occurring according to schedule and budget. Therefore, analysis should occur on a regular basis (e.g. weekly, monthly and quarterly) to identify any variances or deviations from targets.

  This will allow project/program managers to look for alternative solutions, address any delays or challenges, reallocate resources, etc.

- ✓ **Analysis of outcome indicators** is typically used to determine intermediate and long-term impacts or changes – e.g. in people's knowledge, attitudes and practices (behaviors). For instance, an outcome indicator, such as HIV prevalence, will require more complicated analysis than an output indicator such as the number of condoms distributed.

Outcome indicators are usually measured and analyzed less frequently and it is typically used for a wider audience, including project/program managers, senior managers, donors, partners and people reached.

b. Frequency of data analysis

Data analysis has to be given sufficient time. The time frame for data analysis and reporting should be realistic. Accurate information is of little value if it is too late or infrequent to inform project/ program management; a compromise between speed, frequency and accuracy may be necessary. An important reminder is to avoid allocating excessive time for data collection (which can lead to data overload), while leaving insufficient time for analysis.

The frequency of data analysis will largely depend on the frequency of data collection and the informational needs of users – typically reflected by the reporting schedule. A schedule for data analysis can coincide with key reporting events, or be done separately according to project/program needs.

It is important to understand that data analysis is not an isolated event at the end of data collection, but is ongoing from project/program start and during ongoing monitoring and then evaluation events.

c. Responsibility of data analysis

Roles and responsibilities for data analysis will depend on the type and timing of analysis. Analysis of monitoring data can be undertaken by those who collect the data, e.g. field monitoring officers or other project/program staff. Ideally there would also be an opportunity to discuss and analyses data in a wider forum, including other project/ program staff and management, partner organizations, beneficiaries and other stakeholders.

For evaluation data, analysis will depend on the purpose and type of evaluation. For instance, if it is an independent, accountability-focused evaluation required by donors, analysis may be led by external consultants. If it is an internal, learning- oriented evaluation, the analysis will be undertaken by the PMI/ project/program implementer.

However, whenever possible, it is advisable to involve multiple stakeholders in data analysis. Evaluations may also use independent consultants to initially analyze statistical data, which is then discussed and analyzed in a wider forum of stakeholders.

Box 10. Benefits of Involving Stakeholders in Data Analysis

Data analysis is not something that happens behind closed doors among statisticians, nor should it be done by one person, e.g. the project /pro- g ram me manager, the night before a reporting deadline. Much data analysis does not require complicated techniques and when multiple perspectives are included, greater participation can help cross-check data accuracy and improve critical reflection, learning and utilization of information.

A problem, or solution, can look different from the perspective of a headquarters' office versus project/program staff in the field versus community members. Stakeholder involvement in analysis at all levels helps ensure M&E will be accepted and regarded as credible. It can also help build ownership for the follow-up and utilization of findings, conclusions and recommendations.

d. Process for data analysis

Data analysis can employ a variety of for ums tailored to the project /program needs and context, including meetings, e-mail correspondence, dialogue through internet platforms (e.g. SharePoint) and conference calls.

However it occurs, **it is important that data analysis is structured and planned for and not conducted as an afterthought or simply to meet a reporting deadline.**

Another important consideration is the need for any specialized equipment (e.g. calculators or computers) or software (e.g. Excel, SPSS, Access, Visio) for data analysis.

Following the key data analysis stage

There is no one recipe for data analysis, but five key stages can be identified: **1) Data preparation; 2) Data analysis; 3) Data presentation; 4) Data verification; and 5) Recommendations and action planning.** The remainder of this section discusses these five stages. One common consideration throughout all stages of data analysis is to identify any limitations, biases and threats to the accuracy of the data and its analysis.

Data distortion can occur due to limitations or errors in design, sampling, field inter views and data recording and analysis. Therefore, it is best to monitor the research process carefully and seek expert advice when needed.

a. Data preparation

Data preparation, often called data "reduction" or "organization", involves getting the data into a more usable form for analysis. Data should be prepared according to its intended use, usually informed by the logframe's indicators.

Typically, this involves cleaning, editing, coding and organizing "raw" quantitative and qualitative data, as well as cross-checking the data for accuracy and consistency.[5]

For qualitative data (descriptive text, questionnaire responses, pictures, maps, videos, etc.), it is important to first identify and summarize key points. This may involve circling important text, summarizing long descriptions into main ideas (writing summaries in the paper's margin), or highlighting critical statements, pictures or other visuals. Key points can then be coded and organized into categories and subcategories that represent observed trends for further analysis.

As quantitative data is numerical, it will need to be prepared for statistical analysis. It is also at this stage that quantitative data is checked, "cleaned" and corrected for analysis. There are six useful steps for preparing quantitative data for analysis[6]:

- ✓ Nominating a person and setting a procedure to ensure the quality of data entry
- ✓ Entering numerical variables in spreadsheet or database
- ✓ Entering continuous variable data on spreadsheets
- ✓ Coding and labelling variables
- ✓ Dealing with missing values by providing certain code (for instance '99')
- ✓ Data cleaning methods.

A final point worth noting is that data organization can actually begin during the data collection phase as the **format by which data is recorded and reported can play an important role in organizing data and reinforcing critical analysis.**

For example, an Indicator Tracking Table (ITT) can be designed to report not only the actual indicator performance but also its planned target and the percentage of target achieved.

b. Data analysis (findings and conclusion)

Data analysis can be descriptive or interpretive. Descriptive analysis involves de- scribing key findings - conditions, states and circumstances uncovered from the data - while interpretive analysis helps to provide meaning, explanation or causal relationship from the findings.

Descriptive analysis focuses on what happened, while interpretive analysis seeks to explain why it occurred - what might be the cause(s). Both are interrelated and useful in information reporting as descriptive analysis informs interpretive analysis.

5 Data cleaning is the process by which data is cleaned and corrected for analysis. A number of tools and guidelines are available to assist with data processing, and are best planned for with technical expertise.

6 For a detailed discussion of these and other data analysis considerations, refer to UN-WFP, 2011, "How to consolidate, process and analyze qualitative and quantitative data," in Monitoring & Evaluation Guideline (Annex 2, M&E Resources)

Box 11 below illustrates key questions to guide descriptive analysis, with data interpretation questions highlighted in italic red.

Box 11. Analysis Questions to Describe Data

- ✓ Are there any emerging trends/clusters in the data? *If so, why?*
- ✓ Are there any similarities in trends from different sets of data? *If so, why?*
- ✓ Is the information showing us what we expected to see (the logframe's intended results)? If not, why not? *Is there anything surprising and if so, why?*
- ✓ In monitoring progress against plans, is there any variance to objective targets? *If so, why? How can this be rectified or do plans need to be updated?*
- ✓ Are any changes in assumptions/risks being monitored and identified? If so, why? *Does the project/program need to adapt to these?*
- ✓ Is it sufficient to know the prevalence of a specific condition among a target population (descriptive statistics), or *should generalizations from a sample group be made about the larger population (inferential statistics)?*
- ✓ Is thereany additional information or analysis required to help clarify an issue?

It is also important when analyzing data to ***relate analysis to the project/program's objectives and respective indicators***. At the same time, ***analysis should be flexible and examine other trends, whether intended or not***.

Some common types of analysis include the following comparisons:

- ✓ **Planned versus actual (temporal) comparison:** As discussed in previously, variance is the difference between identified targets and actual results, such as data organized to compare the number of households targeted in a disaster preparedness program, versus how many were actually reached.

  When doing such analysis it is important to explain why any variance occurred.

- ✓ **Demographic comparison,** such as data separated by gender, age or ethnicity to compare the delivery of services to specific vulnerable groups, e.g. in a poverty-lessening/livelihoods project.

- ✓ **Geographical comparison,** such as data described by neighborhood, or urban versus rural, e.g. to compare food delivery during an emergency operation. This is particularly important if certain areas have been more affected than others.

In data description, it is often helpful to use summary tables/ matrices, graphs, diagrams and other visual aids to help organize and describe key trends/findings - this can also be used later for data presentation. While this will require different types of analysis for quantitative versus qualitative data, it is important to take into consideration both quantitative and qualitative data together.

Relating and comparing both data types helps to best summarize findings and interpret what is being studied, rather than using separate sets of data.

As quantitative data is numerical, its description and analysis involves statistical techniques. Therefore, it is useful to briefly discuss the use of statistics in data analysis[7].

Simple statistical analysis (such as percentages) can be done using a calculator, while more complex statistical analysis, such as survey data, can be carried out using Excel or statistical software such as SPSS (Statistical Package for Social Sciences) - often it may be advisable to seek expert statistical advice.

A basic distinction to understand in statistics is the difference between descriptive and inferential statistics:

(i) Descriptive statistics: Descriptive statistics are used to summarize a single set of numerical results to help to set the context of the information. As the name implies, these statistics are descriptive and include total numbers, frequency, averages, proportions and distribution.

(ii) Inferential statistics: Inferential statistics are more complicated, but allow for generalizations (inferences) to be made about the larger population from a sample. Two main categories of inferential statics are:

- ✓ examining differences between groups (e.g. differences in outcome indicators between groups that participated in the same project/program activities and control groups outside the project/program area);
- ✓ examining relationships between variables, such as cause and effect relationships (e.g. differences in the number of people with changes in sanitation practices after receiving sanitation messaging).

7 It is beyond the scope of this guide to provide detailed statistical guidelines, but there are numerous resources available, some of which are listed in Annex 2, M&E Resources

An important part of inferential analysis is establishing the representativeness of the sample population from which generalizations (conclusions) are based. Random sampling is often used with quantitative data to allow for more precise statistical analysis and generalizations.

For instance, when comparing baseline conditions prior to the intervention of a livelihoods project with those measured three years later during a final evaluation. Can you be sure that the measured change in living standards is due to the project or some other intervening factors (variable), such as an unforeseen natural disaster, outbreak of disease or global economic recession?

c. Data validation

We need to determine ways to verify findings, especially with high-profile or controversial findings and conclusions. This may involve identifying additional primary and/or secondary sources to further triangulate analysis, or comparisons can be made with other related research studies.

For instance, there may need to be some additional interviews or focus group discussions to further clarify (validate) a particular finding. Subsequent research can also be used in follow- up to identified research topics emerging from analysis for project/program extension, additional funding or to inform the larger development community.

d. Data presentation

Data presentation seeks to effectively present data so that it highlights key findings and conclusions. A useful question to answer when presenting data is, "so what?". What does all this data mean or tell us – why is it important?

Try to narrow down your answer to the key conclusions that explain the story the data presents and why it is significant. Some other key reminders in data presentation include:

- ✓ Make sure that the analysis or finding you are trying to highlight is sufficiently demonstrated.
- ✓ Ensure that data presentation is as clear and simple as accuracy allows for users to easily understand.

- ✓ Keep your audience in mind, so that data presentation can be tailored to the appropriate level/format (e.g. summary form, verbal or written).

- ✓ Avoid using excessively technical jargon or detail

There are numerous examples/formats of how data can be presented. Some examples include written descriptions (narratives), matrices/tables, graphs (e.g. illustrating trends), calendars (e.g. representing seasonal performance), pie and bar charts (e.g. illustrating distribution or ranking, such as from a proportional piling exercise); mapping (e.g. wealth, hazard, mobility, social, resource, risk, network, influence and relationships); asset wheels (a variation of pie charts representing allocation of assets); Venn diagrams (usually made up of circular areas intersecting where they have elements in common); timelines/histories; and causal flow diagrams. Whatever format is used, be sure that what you are trying to show is highlighted clearly.

Box 12 describes the use of a "traffic light" approach to highlight data and performance levels

Box 12. Using "Traffic Lights" to Highlight Data

One way to highlight key data in its presentation is through a "traffic light" approach that rates data by either: 1) green for on track against target, 2) yellow for slightly off track but likely to meet target, and 3) red for off target and unlikely to meet target. As shown below, information can be highlighted in the indicator tracking table so it can be easily identified and explained in the project/program management report.

Example indicators	Target	Actual	% of Target	Explanation of variance discussed in project/ program management report.
Number of project/ program beneficiaries	2000	2100	105%	
Number of bed nets distributed	100	0	-100%	Delivery of bed nets hindered due to road access in rainy season. Lesson learned - distribute before rainy season.
Number of people trained to maintain bed nets	500	400	-20%	Absence of some trainees due harvesting season. Lesson learned - undertake training earlier in year.

e. Recommendations and action planning

Recommendations and action planning are where data is put to use as evidence or justification for proposed actions. It is important that there is a clear causality or rationale for the proposed actions, linking evidence to recommendations. It is also important to ensure that recommendations are specific.

Therefore, it is useful to express recommendations as specific action points that uphold the SMART criteria (specific, measurable, achievable, relevant and time-bound) and are targeted to the specific stakeholders who will take them forward.

An essential condition for well-formulated recommendations and action planning is to have a clear understanding and use of them in relation to other data analysis outputs, findings and conclusions. Therefore, ***Box 13*** provides a summary differentiating finding, conclusion, recommendation, and action.

Box 13. Comparing Data Analysis:
Finding, Conclusion, Recommendation and Action Plan

Term	Definition	Example
Finding	A factual statement based on primary and secondary data	✓ Community members reported daily incomes is below IDR 20.000 per day.Participants in community focus group discussions expressed that they want jobs.
Conclusion	A synthesized (combined) interpretation of findings	✓ Community members are materially poor due to lack of income-generating opportunities
Recommendation	A prescription based on conclusions	✓ Introduce micro-finance and micro-enterprise opportunities for community members to start up culturally appropriate and economically viable income- generating business
Action Plan	A specific prescription of action to address a recommendation	✓ By December 2011, form six pilot solidarity groups to identify potential micro-enterprise ideas and loan recipients ✓ By January 2011, conduct a market study to determine the economic viability of potential micro- enterprise options.

d. Using Indicator Tracking Table (ITT)

An ITT is an important data management tool for recording and monitoring indicator performance to inform project/program implementation and management.

ITT differs from an M&E plan because while the M&E plan prepares the project/ program for data collection on the indicators, the ITT is where the ongoing measurement of the indicators is recorded. The performance of project/program indicators within the ITT will be further explained in the narrative report. Detail explanation on the benefits and how to complete an ITT is provided in Annex 7.

Table 29. Example of Indicator Tracking Table-ITT

Table TELUSUR INDIKATOR PROYEK KPPBM dan PRB di KAB A																		
Project/Program Manager		Jero Pajero					Reporting Period								January - December 2014			
Project/Program Location		Village X, Village Y, Village Z					Project/Program Period								1 January - 31 December 2014			
Project/Program Sector		DM & DRR																
INDICATORS	**Measurement Period**	**Baseline Result**		**Jan-Mar 2014**			**Apr-Jun 2014**			**Jul-Sept 2014**			**Okt-Des 2014**			**Tahun 2014**		
		Date	**Value**	**Target**	**Actual**	**% Achieve-ment**	**Target**	**Actual**	**% Achieve-ment**	**Target**	**Actual**	**% Achieve-ment**	**Target**	**Actual**	**% Achieve-ment**	**Target**	**Actual**	**% Achieve-ment**
***Outcome* 1:Kapasitas PMI Kab A dan desa-desa sasaran untuk mengimplementasikan dan mengelola program kesehatan dan pertolongan pertama berbasis masyarakat dan pengurangan risiko bencana meningkat.**																		
1. % surveyed respondent who can show Grab Bag in line with the standard at the end of the project.	Beginning and End of ProjectAwal dan Akhir Proyek	7-Jan-14	10%	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	60%	70%	117%
2. Number of targeted village with well-functioning early warning system every quarter.	Quarterly	NA	NA	15	10	67%	20	15	75%	25	25	100%	25	20	80%	25	20	80%
Output 1.1 Hazard vulnerability and capacity assessment is implemented at the community level by PMI Branch Volunteers and used as a basis to develop community action plan.																		
3. Number of targeted village that implements hazard vulnerability and capacity assessment (HVCA) during the life of project.	Quarterly	NA	NA	5	2	40%	10	7	70%	10	9	90%	NA	2	NA	25	20	80%
Output 1.2 Implemented regular DRR education sessions by PMI Branch Volunteers and Village Volunteers to disseminate and promote adoption of preparedness messages.																		
4. % of PMI Branch A volunteer who participates in DRR education activity in the communities for at least 3 times every quarter.	Quarterly	NA	NA	80%	UK	UK	80%	50%	63%	80%	65%	81%	80%	75%	94%	80%	75%	94%
5. % of household visited by volunteers for DRR education every quarter.	Triwulanan Quarterly	NA	NA	40%	0	0%	60%	40%	67%	85%	80%	94%	85%	75%	88%	85%	80%	94%
Etc.																		

*NA = Not Applicable; UK = Unknown

An ITT is a simple monitoring tool to track the progress of project/ program's indicators against its target. Following is information includes in an ITT.

1. **Project/program background information,** such as project/program title, sector, location, Implementation period, project/program manager, etc.

2. **Overall project/program indicators** are indicators for each objective outcome, and output.

3. **Measurement period** (actual by quarterly/annually/end of project/ program; or are cumulative over time). The determination of the measurement period is highly dependent on the indicator statement. For example: "The number of Program Report submitted within 3 months"; the actual achievement will be measured every quarter. Instead, "The number of villages conducted HVCA in a year", can be assessed cumulatively every quarter.

4. **The baseline value and the timing (if any).** Baseline values are usually only relevant for outcomes level indicators (e.g., indicators of knowledge, attitudes, and behaviors). However, at output level, baseline value is usually "not applicable".

5. **Target value, actual achievement, and a comparison** between actual and target (%) for each quarter, annual, and during the life of project/ program

There are some of rules in using the ITT, for instance:

1. You need to understand when to put **"0" or "Not Applicable - NA" or "Unknown - UK"**. These all mean different things.

   - ✓ Entering "0" means that no progress was made against an indicator for the given time period.

   - ✓ NA stands for Not Applicable and should only be used when an indicator does not apply to the reporting period (e.g. it has been completely achieved in the previous reporting period; or currently not relevant to be reported; measured in the next quarter to during the endline survey).

   - ✓ Likewise, when M&E systems for collecting data are not in place and there is no definite or reliable data for an indicator enter "unknown;" do not enter "0" or "NA," until reliable systems are in place to collect the data.

2. **"Unknown" and "0" should not be used in the target column**— they are either a number or NA (if it is not relevant to the reporting period).

   You should not change the targets whenever you like (both in quantitative as well as the due (timing)). For example, if first quarter target (10 villages conducted HVCA) is not met, you cannot simply move the target to the second quarter. If you accomplished it in the second quarter, still the target of the second quarter is "NA", while the actual achievement is "10" and the % of actual/target is "NA". Thus, the reader will understand that the target is reached, but delayed.

3. You need to pay attention to the actual percentage of quarterly and annual targets, and for the life of project/program. Note the variance or gaps; any gaps that are more than **10-20% should be explained further in the project/program report.**

4. When an indicator is assessed regularly, note when to use **the highest achievements or the recent achievements** on the annual achievements or during life of project/program column. It is highly dependent on the indicator statement. Examples will be given at the time of exercise.

An important function of the ITT is that it helps to determine ***variance***, a key measure of indicator performance. ***Variance is the difference between identified targets and actual results - the percentage of target reached***. Paying attention to variance encourages critical analysis of and reporting on project/program performance as well as setting targets.

Knowing whether your indicator exceeds or underperforms its target helps to determine if your project/program is progressing according to plans, or whether there may need to be adjustments to the implementation or time frame.

Box 14. The Importance of Target Setting

Target setting is a critical part of M&E planning and responsible project/program management. In order to deter mine variance (the percentage of target reached), it is necessary to not only measure the indicator but identify beforehand a target for that indicator.

Project/program teams may hesitate to set targets, afraid that they may not accomplish them, or sometimes it is just difficult to predict targets.

However, target setting helps to keep the project/program's expected results realistic, to plan resources, track and report progress (variance) against these targets, and to inform decision-making and uphold accountability.

Do targets change? Absolutely. Data collected during project /program M&E often leads to reassessing and adjusting targets accordingly. Certainly, such changes should follow any proper procedures and obtain approval from management and donor.

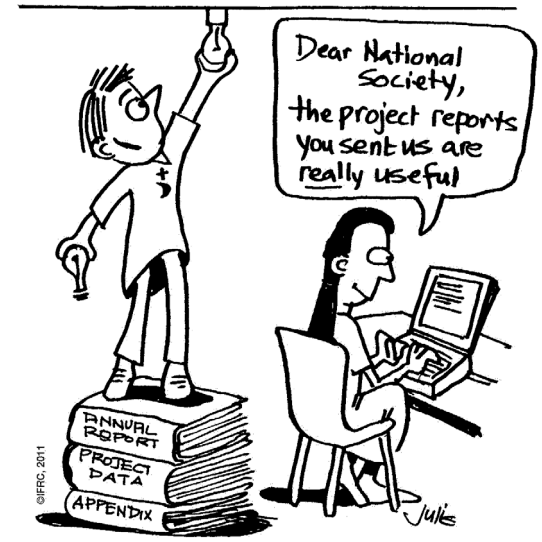
7.2.3. Step 3. Planning for Information Reporting and Utilization

What you will find in Step 3:

a. Why do we need to report?
b. Anticipating and planning for reporting (Needs/audience, frequency, format, characteristic of a good reporting, and report writing tips)
c. Planning for information utilization (Information dissemination, decision-making and planning)

Having defined the project/program's informational needs and how data will be collected, managed and analyzed, the next step is to plan how the data will be reported as information and put to good use.

Reporting is the most visible part of the M&E system, where collected and analyzed data is presented as information for key stakeholders to use. Reporting is a critical part of M&E because no matter how well data may be collected and analyzed, if it is not well presented it cannot be well used - which can be a considerable waste of valuable time, resources and personnel. Sadly, there are numerous examples where valuable data has proved valueless because it has been poorly reported on.



a. Why Do We Need to Report?

Making a report is not merely routine activity, but it is integrated with either organization or person(s) responsible for the activities implementation.

A report has the following functions.

1. **As a mean for monitoring.** Internal reports can help organizations, managers, and heads division/unit to:

   - ✓ analyze the program, identifying strengths and weaknesses, making decisions for better management,
   - ✓ help measure performance and progress, as a means of early warning if there are problems,
   - ✓ improve communication between team members work,
   - ✓ used as material for external reports.

   Therefore, internal reports, whether formal or informal, should be available regularly, well scheduled, and contains relevant information to meet those functions.

2. **As tools for accountability.** External reports are a tool for accountability, namely to:

   - ✓ demonstrate to donors and the public, what we do with their aid,
   - ✓ shows (presence/absence) the quality and integrity of our work,
   - ✓ demonstrate accountability and transparency (say what we do, do what we say).

   External reports should be formal, in the sense of:

   - ✓ contains information about implemented programs/activities,
   - ✓ created on behalf of the organization and endorsed by the supreme leader,
   - ✓ created in the paper include the identity, name, and address of the agency,
   - ✓ created in a standard report format.

3. **As an advocacy tool,** marketing, and fundraising.

   - ✓ Report to strengthening organizational credibility with demonstrating achievements, success in overcoming the problems, and learning gained from experience.
   - ✓ To obtain support and funding in the future.

b. Anticipating and Plan for Reporting

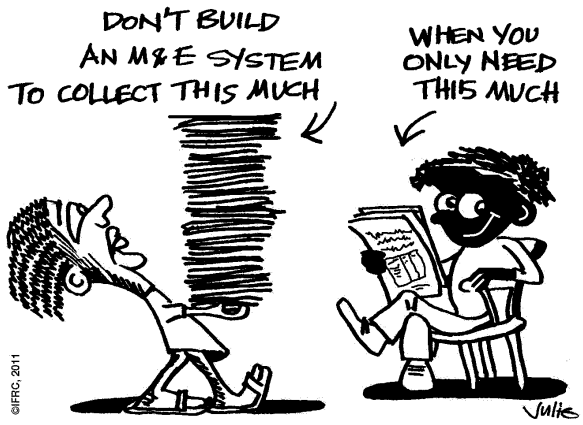
Reporting can be costly in both time and resources and should not become an end in itself, but serve a well-planned purpose. A valuable tool when planning for reporting is a reporting schedule, matching each reporting requirement with its frequency, audience/purpose, format / outlet and person(s) responsible.

Identifying specific reporting needs/audience

Reports should be prepared for a specific purpose/audience. This informs the appropriate content, format and timing for the report. For example, do users need information for ongoing project/program implementation, strategic planning, compliance with donor requirements, evaluation of impact and/or organizational learning for future project/program?

As already noted, ***it is best to identify reporting and other informational needs early in the M&E planning process***, especially any reporting requirements. Therefore, a completed M&E stakeholder assessment table is a valuable tool for report planning.

A particularly important consideration in planning for reporting is the distinction between internal and external reporting. **Internal reporting** is conducted to enable actual project/program implementation; it plays a more crucial role in lesson learning to facilitate decision-making and, ultimately, what can be extracted and reported externally. **External reporting** is conducted to inform stakeholders outside the project /program team and implementing organization; this is important for accountability



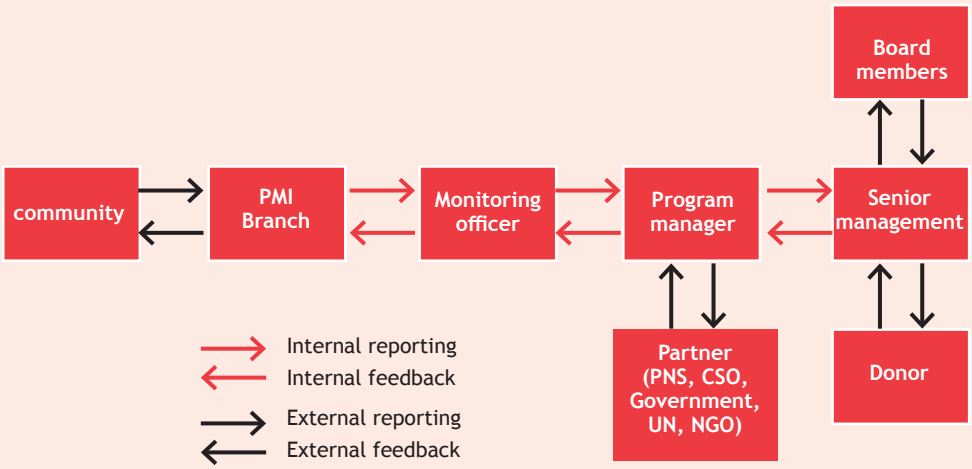
Day-to-day operations depend upon a regular and reliable flow of information. Therefore, special attention should be given to the informational needs of the head of office or project/program managers. They will need timely information to analyze project/program progress and critical issues, make planning decisions and prepare progress reports for multiple audiences, e.g. supervisors and donors. In turn, project/program level reports provide essential information for program managers to compare planned actions with actual performance and budget.

Box 15. Internal vs. External Reporting

Internal Report	External Report
4 ***Primary audience*** is the project / program team and the organization in which it operates. 4 ***Primary purpose*** is to inform on- going project/program management and decision-making (monitoring reporting). 4 ***Frequency is*** on a regular basis according to project monitoring needs. 4 ***Content is*** comprehensive in content, providing information that can be extracted for various external reporting needs. 4 ***Format*** is typically determined by the project team according to what will best serve the project/program needs and its organizational culture.	4 ***Primary audience is*** stakeholders outside of the immediate team/ organization (e.g. donor s, beneficiaries, partner organizations, international bodies, and governments). 4 ***Primary purpose*** is typically for accountability, credibility, to solicit funds, celebrate accomplishments and highlight any c h a l le ng e s and how they a r e being addressed. 4 ***Frequency*** is less often in the form of per iodic assessments (evaluations). 4 ***Content*** is concise, typically abstracted from internal reports and focused on communication points (requirements) specific to the targeted audience. 4 ***Format*** is often determined by external requirements or preferences of intended audience.

Diagram 32 provides an example of project/program reporting that can be useful in understanding the flow of information to key stakeholders. The blue arrows show which reporting lines are internal to the project/program team (branch, monitoring officer, manager, senior management), while the red arrows represent reporting to stakeholders outside the project/program team (community, partners, donors).

Diagram 32. Example of Information Flow in Project/Program Reporting



Determining reporting frequency

It is critical to identify realistic reporting deadlines. They should be feasible in relation to the time, resources and capacity necessary to produce and distribute reports including data collection, analysis and feedback. Some key points to keep in mind in planning the reporting frequency:

1. ***Reporting frequency should be based upon the informational needs of the intended audience***, timed so that it can inform key project/program planning, decision-making and accountability events.

2. ***Reporting frequency will also be influenced by the complexity and cost of data collection***. For instance, it is much easier and affordable to report on a process indicator for the number of workshop participants than an outcome indicator that measures behavioral change in a random sample, household survey (which entails more time and resources).

3. ***Data may be collected regularly, but not everything needs to be reported to everyone all the time***. For example:

   - ✓ A security officer might want monitoring situational reports on a ***daily*** basis in a conflict setting;
   - ✓ A field officer may need ***weekly*** reports on process indicators around activities to monitor project/program implementation
   - ✓ A project/program manager may want ***monthly*** reports on outputs/ services delivered to check if they are on track
   - ✓ Project/program management may want ***quarterly*** reports on outcome indicators of longer-term change
   - ✓ An evaluation team may want baseline and endline reports on impact indicators during the ***project/program start*** and ***end***.

Determining reporting formats

Once the reporting audience (who), purpose (why) and timing (when) have been identified, it is then important to determine the key reporting formats that are most appropriate for the intended user(s). This can vary from written documents to video presentations posted on the internet. Sometimes the reporting format must adhere to strict requirements, while at other times there can be more flexibility.

Box 16. Example of Reporting Formats

✓ Project management reports (Annex 8) ✓ Evaluation reports ✓ Programme updates, mid-year and annual reports ✓ Operational updates ✓ Donor-specific reports ✓ Situation reports ✓ Information bulletin, security updates, etc.	✓ Activity/event reports ✓ Memos ✓ Pictures/videos ✓ Brochure, pamphlets, handouts, posters ✓ Newsletters, bulletins ✓ Performance reports of an individual staff member or volunteer, etc.	✓ Press releases ✓ Public presentations ✓ - conferences or community meeting ✓ Success stories, case studies ✓ Popular publications, e.g. magazine, news-paper, or web site ✓ Scientific publications in a referred article, paper or book

It is important that report formats and content are appropriate for their intended users. How information is presented during the reporting stage can play a key role in how well it is understood and put to use. For example, reports with graphs and charts may work well with project/ program management, participator y discussion meetings with field staff, community (visual) mapping for beneficiaries and a glossy report or web site for donors.

Reporting should be translated in the appropriate language and in a culturally appropriate format (e.g. summary form, verbal or written). Building on the criteria of good reporting introduced in Box 17 and 18 which summarizes some practical tips to help make your written reports more effective.

Your report need to be:

- ✓ concise
- ✓ logic
- ✓ straight forward
- ✓ accurate
- ✓ and easy to read

If there are programmatic issues arisen, note these following things:

- ✓ You have to be honestly in expressing the issues
- ✓ If the project/program is not progressing, say so and explain WHY?
- ✓ If it is because of limited funds or personnel, said so. Perhaps the donor will give attention.
- ✓ If due to changes in the political situation / social / environmental, say so. Donors will understand.
- ✓ Always try to be positive. What do you do about these issues?

REPORT BACK IN WAYS THAT CAN BE UNDERSTOOD BY YOUR AUDIENCE

Criteria of good reporting

Box 17 summarizes key reporting criteria in accordance to the proposes above.

Box 17. Criteria of Good Reporting

- ✓ **Relevant and useful.** Reporting should serve a specific purpose/use. Avoid excessive, unnecessary reporting – information overload is costly and can burden information flow and the potential of using other more relevant information.
- ✓ **Timely.** Reporting should be timely for its intended use. Information is of little value if it is too late or infrequent for its intended purpose.
- ✓ **Complete.** Reporting should provide a sufficient amount of information for its intended use. It is especially important that reporting content includes any specific reporting requirements.
- ✓ **Reliable.** Reporting should provide an accurate representation of the facts.
- ✓ **Simple and user-friendly.** Reporting should be appropriate for its in- tended audience. The language and reporting format used should be clear, concise and easy to understand.
- ✓ **Consistent.** Reporting should adopt units and formats that allow comparison over time, enabling progress to be tracked against indicators, targets and other agreed-upon milestones.
- ✓ **Cost-effective.** Reporting should warrant the time and resources devoted to it, balanced against its relevance and use.

Four key elements of a report

- ✓ **Progress/achievements;** describe what are the results of each activity and explain whether it actually meet the expected result - usually refers to the indicators (activity/output).
- ✓ **Impact;** each of the results should also describe the impact or changes experienced by beneficiaries, target groups - typically refers to indicators of results (outcomes).
- ✓ **Constraints;** not merely mention what the issues are, but also what it causes, internal factors or external factors.
- ✓ **Coordination;** not only mention with whom we cooperate, but also what is the results of collaborating with partners.

Initial steps in writing a report is answering the 5W-1H questions

Who	**Who** organized this activity? Who was participated
What	**What** happened?
Where	**Where** this activity took place?
When	**When** this activity took place? How long?
Why	**What** are the objectives of this activity? What are the expected result/impact?
How	**How** was the activity going? Analysis to explain variance/gaps; best practices; lesson learn.

The project/program management report

Particular attention should be given the project/program management report because it typically forms the basis for internal information that will, in turn, provide information for external reporting. Project/program management reports should be undertaken at a frequency regular enough to monitor project/program progress and identify any challenges or delays with sufficient time to adequately respond, for instance in a monthly or quarterly basis.

Monthly reporting allows for a more regular overview of activities which can be useful, particularly in a fast-changing context, such as during an emergency operation. However, more frequent data collection and analysis can be challenging if monitoring resources are limited.

Quarterly reports allow for more time between reports, with less focus on activities and more on change in the form of outputs and even outcomes.

Box 18 summarizes the key components of **project/program management report**, while **Annex 8** provides the full template with detailed instructions for completing it.

Box 18. Project/Programme Management Report Outline (refer to Annex 8)

1. ***Project/program information***. Summary of key project/programme information, e.g. name, dates, manager, codes, etc.

2. ***Executive summary***. Overall summary of the report, capturing the project status and highlighting key accomplishments, challenges, and planned actions. Also includes the Federation-Wide Reporting System (FWRS) indicators for people reached and volunteers.

3. ***Financial status***. Concise overview of the project/program's financial status based on the project/program's monthly finance reports for the reporting quarter.

4. ***Situation/context analysis (positive and negative factors)***. Identify and dis- cuss any factors that affect the project/program's operating context and implementation (e.g. change in security or a government policy, etc.), as well as related actions to be taken.

5. ***Analysis of implementation***. Critical section of analysis based on the objectives as stated in the project/program's logframe and data recorded in the project/program indicator tracking table (ITT).

6. ***Stakeholder participation and complaints***. Summary of key stakeholders' participation and any complaints that have been filed.

7. ***Partnership agreements and other key actors***. Lists any project/program partners and agreements (e.g. project/program agreement, MoU), and any related comments.

8. ***Cross-cutting issues***. Summary of activities undertaken or results achieved that relate to any cross-cutting issues (gender equality, environmental sustainability, etc.).

9. ***Project/program staffing*** – human resources. Lists any new personnel or other changes in project/program staffing. Also should include whether any management support is needed to resolve any issues.

10. ***Exit/sustainability strategy summary***. Update on the progress of the sustainability strategy to ensure the project/program objectives will be able to continue after handover to local stakeholders.

11. ***PMER status***. Concise update of the project/program's key planning, monitoring, evaluation and reporting activities.

12. ***Key lessons***. Highlights key lessons and how they can be applied to this or other similar projects/program in future.

13. ***Report annex***. Project/program's ITT and any other supplementary information

Responsibility for reporting

It is important to specifically identify the people who will be responsible for each type of report. This can be the same person identified in the M&E plan who collects indicator data, or it may be another person who specifically prepares the data to communicate to others, e.g. the person(s) who prepares a monthly project report, donor progress report or press releases. It does not need to include everyone involved in the reporting process, but the key person with overall responsibility for each reporting product/type.

Box 19. Report Writing Tips

1. Be timely – this means planning the report-writing beforehand and allowing sufficient time.
2. Involve others in the writing process, but ensure one focal person is ultimately responsible.
3. Translate reports to the appropriate language.
4. Use an executive summary or project overview to summarize the overall project status and highlight any key issues/actions to be addressed.
5. Devote a section in the report to identify specific actions to be taken in response to the report findings and recommendations and the respective people responsible and time frame.
6. Be clear, concise, avoiding long sentences – avoid jargon, excessive statistics and technical terms.
7. Use formatting, such as bold or underline, to highlight key points.
8. Use graphics, photos, quotations and examples to highlight or explain information.
9. Be accurate, balanced and impartial.
10. Use logical sections to structure and organize the report.
11. Avoid unnecessary information and words.
12. Adhere to PMI formats, writing usage/style guidelines and appropriate use of the PMI's emblem.
13. Check spelling and grammar.

It is worth remembering that whoever is reporting, it is important that they do so according to requirements, and that reported information is timely and reliable. This may seem obvious but, as **Box 20** highlights in the next page, there are often complex difficulties or "roadblocks" that need to be addressed to achieve timely and reliable reporting.

Box 20. Reporting Roadblocks and Solutions

Project/program progress and problems need to be reported to identify solutions and lessons to inform current and future programming. However, sometimes there can be some complex barriers to timely and effective data analysis and reporting.

- ✓ **We do not have the time."** This attitude can occur when the project/program team focuses on the goal and a perceived shortage of time rather than on assessing the processes needed to attain the goal. A solution is to help people understand how timely analysis and reporting can help save time, improve processes, uphold accountability and better reach goals.

- ✓ **"It doesn't make a difference anyhow."** There can be a sense that re- porting is a bureaucratic exercise and the reporting data is not fully put to use. A solution is to help people understand how the reporting information is worthwhile and used, and to involve the team members more actively in the data analysis and reporting so they contribute to and have more ownership in the process.

- ✓ **"Data analysis is for experts, not us."** This misperception occurs because people perceive they lack the technical skills to do the data analysis. A solution is to help people better understand data analysis and that it does not necessarily require complex statistical methods, and to provide them with appropriate tools, guidelines and training (as discussed in this section) to better analyze data.

- ✓ **Fear of variance.** This can occur when people do not want to be perceived as doing a poor job if variance reflects underperformance. A solution is to help them understand that it is rare for a project to meet all of its targets, all of the time. Model openness to feedback and demonstrate a partnership attitude that does not frame underperformance as bad news but an opportunity to learn. Remind them that it is only a failure if they fail to learn.

c. Planning for Information Utilization

The overall purpose of the M&E system is to provide useful information. Therefore, **information utilization should not be an afterthought, but a central planning consideration.**

The following **Box 21** summarizes four **primary ways in which M&E information is used.** There are many factors that determine the use of information. First are the actual selection, collection and transformation of data into usable information, which has been the topic of this guide so far. Ideally, this process produces information that is relevant, timely, complete, consistent, reliable and user friendly.

The remainder of this section will briefly look at key considerations for information distribution, decision-making and planning.

Box 21. Key Categories of Information Use

- ✓ ***Project/program management*** – inform decisions to guide and improve ongoing project/program implementation.
- ✓ ***Learning and knowledge-sharing*** – advance organizational learning and knowledge-sharing for future programming, both within and external to the project/program's implementing organization.
- ✓ ***Accountability and compliance*** – demonstrating how and what work has been completed, and whether it was according to any specific donor or legal requirements, as well as to the IFRC and others' international standards.
- ✓ ***Celebration and advocacy*** – highlight and promote accomplishments and achievements, building morale and contributing to resource mobilization.

Information dissemination

Information dissemination refers to how information (reports) is distributed to users. This can be seen as part of reporting, but we use dissemination here to mean the distribution of the information (reports).

There is a variety of mediums to share information, and as with the reporting formats themselves, how reporting information is disseminated will largely depend on the user and purpose of information. **Box 22** summarizes some different mediums for sharing information.

Box 22. Key Mediums of Information Dissemination

- ✓ Print materials **distributed through mail or in person.**
- ✓ Internet communication, **e.g. e-mail (and attachments), web sites, blogs, etc.**
- ✓ Radio communication **includes direct person-to-person radio (ham radio), as well as broadcasting radio.**
- ✓ Telephone communication **includes voice calls, text-messaging, as well as other functions enabled on a mobile phone.**
- ✓ Television and filmed presentations.
- ✓ Live presentations, **such as project/program team meetings and public meetings.**

Selection of the reporting medium should be guided by what is most efficient in time and resources, and suitable for the audience – a process that should ideally be completed with a reporting schedule. For instance:

- ✓ An internet-based reporting system may be best for communication between a project/program management team and its headquarters.
- ✓ Community meetings may be appropriate to report on data to beneficiaries who lack access to computers or are illiterate.
- ✓ Mobile phone texting (SMS, blackberry group, WhatsApp) may be most timely and efficient for volunteers to report on safety conditions from the field.

It is also important to remember that **information dissemination should be multi-directional.** This means that in addition to distributing information upwards to management, senior management and donors, information flows should also be directed to field staff, partners and the beneficiaries themselves.

Another important consideration when distributing information is the security of internal or confidential information. As discussed with data management, precautions should be taken to protect access to confidential information.

Decision making and planning

Decision-making and planning really form the heart of data utilization. However, no matter how well the information is prepared or disseminated, it will ultimately be up to the user to decide when and how to put it to use.

This is where M&E planning merges with project/program management, and the manner in which decisions are made and information is used will vary according to project /program, context and organizational culture.

However, while information use is largely in the area of project/program and organizational management, there are two key considerations that can help to use of information in decision-making and planning:

- ✓ **Stakeholder dialogue.** Stakeholder discussion and feedback on information is critical for building understanding and ownership, and informing the appropriate response. This process can begin during the analysis, review and revision of reporting information, and can correspond with information dissemination outlets, such as meetings, seminars and workshops, web-based forums, teleconferences and/or reporting and follow-up procedures.

For instance, the findings of an evaluation report are more likely to be understood and used if they are not limited to a printed report, but presented to key stakeholders in a face-to-face forum that allows them to reflect and give feedback. Ideally, this can be done before the final draft of the report to confirm key lessons and inform realistic recommendations.

- ✓ **Management response.** Specific procedures for documenting and responding to information findings and recommendations (often called "management response") should be built into the project/program management system. At the project/program level, this can be a management action plan with clear responses to key issues identified in a management or evaluation report.

  This should specifically explain what actions will be taken, including their time frame and responsibilities; it should also explain why any recommendation or identified issue may not be addressed. Follow-up should be systematic and monitored and reported on in a reliable, timely and public manner.

  There is a variety of tools to support action planning and follow-up. A decision log can be used to keep a record of key project/program decisions. This can allow staff to check that decisions are acted upon, and are recorded for institutional memory.

  This can be referred to if any disagreement arises over why a decision was made and who was responsible for following it up, something which can also be useful for audit purposes. Decision log can be found in the following table.

Table 30. Example of Decision Log

Log Keputusan											
Project/program: Sanitation						Project/program manager: Susi Similikiti					
Project/program location: District B						Project/program sector: Health					
No.	Description of decision taken	Factors leading to decision	Consequences of decision	Required action to implement decision	Decision owner	Stakeholders involved	Review date	Status (Green/ Amber/Red)	Key words	Date posted	Associated documents
1	No staff reduction for project extension period.	More intensive concentration of activity is needed therefore all work force is required.	Staff contracts should be extended one month prior to the star of extension period.	Develop contract extension documents.	Project manager	Relevant staff, donor.	11/01/14	Green	Staff extension	15/01/14	Project extension contract, work plan, staff contract.
2	Latrine construction is sped up, executed in early December.	Anticipating the incoming monsoon.	Procurement process for construction worker and materials should be started immediately.	Employ construction workers, procure materials.	PMI Branch team	Communities, construction workers.	12/01/14	Amber	Acceleration of latrine construction	15/01/14	Material procurement document, construction worker contract.
3	Add rows...										

Similarly, an action log can be used by project/program managers to ensure that follow-up action is taken.

Both decision and action logs can serve as useful records of specific responses to project/program issues and related actions identified in a management or evaluation report. As already noted, this can be supported by well- designed project/program reporting formats that include a section on future action planning.

Table 31. Example of Action Log

Action Log							
Proyek/program: Sanitasi				Manajer proyek/program: Susi Similikiti			
Project/program: Sanitation				**Project/program manager: Susi Similikiti**			
Action No.	**Action Description**	**Action Owner**	**Supported by**	**Due date**	**Update/comment**	**Status (Green/ Amber/Red)**	**Completion date**
1	Delivery of 500 X to village Y	Hendarto	Renita Lupita	15/09/10	2 weeks delay expected due to road closure to village Y	Green	01/10/10
2	**Add rows as needed...**						

Another useful tool is a lessons learned log, which is used to catalogue and prioritize key lessons. This can then be used to inform ongoing project/program decision-making, as well as the strategic planning for future project/program, contributing to overall organizational learning and knowledge sharing. An example of Lesson learned log could be found in the following Table 32.

Table 32. Example of Lesson Learned Log

Lesson Learned Log								
Project/program: Sanitation			Project/program manager: Susi Similikiti					
Project/program location: District B			Project/program sector: Health					
Action No.	Lesson Learned Description	Lesson identified by	Action to be taken to address/ resolve the lesson and incorporate learning	Stakeholder who should take lesson forward	Review date	Status (Green/ Amber/Red)	Key words	Date posted
1	Too many field coordinators complicate coordination and decision making instead.	District Coordinator	Reanalyze roles and responsibilities of field coordinator also the number needed.	Manager for similar/ continuation project in the future	15/12/14	Amber	Staff role	17/12/14
2	Some materials for latrine construction can be in form of community contribution, such as stones and sand.	Field Coordinator	Invite communities' commitment to contribute construction materials from their own neighborhood.	Communities	15/12/14	Green	Community contribution	17/12/14
3	Add rows as needed...							

7.2.4. Step 4. Planning for M&E Human Resources and Capacity Building

An effective M&E system requires capable people to support it. While the M&E plan identifies responsibilities for the data collection on each indicator, it is also important to plan for the people responsible for M&E processes, including data management, analysis, reporting and M&E training. This section summarizes key considerations in planning for the human resources and capacity building for a project/program's M&E system.

a. Assessing Project/Program's Human Resources Capacity for M&E.

A first step in planning for M&E human resources is to determine the available M&E experience within the project/program team, partner organizations, target communities and any other potential participants in the M&E system. It is important to identify any gaps between the project/program's M&E needs and available personnel, which will inform the need for capacity building or outside expertise (such as a consultant).

Key questions to guide this process include:

- ✓ Is there existing M&E expertise among the project/program team? How does this match with the M&E needs of the project/program?
- ✓ Is there technical unit or individuals assigned with M&E responsibilities to advise and support staff in PMI, and if so, what is their availability for the specific project/program?
- ✓ Do the target communities and other project/program partners have any experience in M&E?

b. Determining the Extent of Local Participation

Ideally, data collection and analysis is undertaken with the very people to whom these processes and decisions most relate. Prioritizing the involvement of local volunteers and communities is an important principle for the Movement which could build local capacity and enhance the project/program sustainability.

Participation can happen at multiple levels in the M&E system. The overall component of an M&E system can be completely participatory, where local stakeholders actively participate in all processes and decision-making. Meanwhile, during the project/program impact assessment, the degree of stakeholder involvement should be limited to avoid any bias.

Some examples of M&E participation include:

1. The use of participatory assessments, e.g. vulnerability capacity assessments (VCAs) or community SWOT (strength-weakness-opportunity-threats) analysis

2. Involvement of local representatives in the project/program design (log-frame) and identification of indicators

3. Participatory monitoring where elected community representatives reporting on key monitoring indicators

4. Self-evaluations using simple methods adapted to the local context, e.g. most significant change and participatory project reviews.

5. Sharing monitoring and evaluation findings with community members for participatory analysis and identification or recommendations.

6. Utilization of feedback mechanisms for beneficiaries, volunteers and staff.

There are many benefits to local participation in M&E, but it is also important to recognize some of the potential drawbacks – see **Box 23**. It is important to note that participatory approaches should not exclude or "sideline" outsiders and the technical expertise (consultant), insights and perspectives they can provide.

PMI recommends the use of a balance of participatory and non-participatory M&E according to the project/program needs and context.

Box 23. Considering Participatory M&E

Potential advantages	Potential disadvantages
4 Empowers beneficiaries to analyze and act on their own situation (as "active participants" rather than "passive recipients"). 4 Builds local capacity and ownership to manage and sustain the project. People are likely to accept and internalize findings and recommendations that they provide. 4 Develops collaboration and consensus at different levels - between beneficiaries, local staff and partners, and senior management 4 Reinforces beneficiary accountability, preventing one perspective from dominating the M&E process. 4 Can save money and time in data collection compared with the cost of using project/program staff or hiring outside support. 4 Provides timely and relevant information directly from the field for management decision-making to execute corrective actions.	4 Requires more time and cost to train and manage local staff and community members. 4 Requires skilled facilitators to ensure that everyone understands the process and is equally involved. 4 Can jeopardize the quality of collected data. Data analysis and decision-making can be dominated by the more powerful voices in the community (related to gender, ethnic, or religious factors). 4 Demands the genuine commitment of local people and the support of donors, since the project/program may not use the traditional indicators or formats for reporting findings.

Sources: Chaplowe, Scott G. 2008. Monitoring and Evaluation Planning. American Red Cross/CRS M&E Module Series. American Red Cross and Catholic Relief Services (CRS), Washington, DC dan Baltimore, MD.

c. Determining the Extent of Outside Expertise

Outside expertise or consultants are usually employed for technical expertise, objectivity and credibility, to save time and/or as a donor requirement. Examples of when outside expertise is used include:

- ✓ To increase the independency or objectivity in conducting final evaluation, especially to projects/programs with a huge amount of fund from donor.
- ✓ As part of a joint, real-time evaluation for a disaster response operation involving international Organization.
- ✓ To administer random samples for household surveys during a baseline or endline study
- ✓ For project/program data entry and statistical analysis
- ✓ For the translation of project/program documents.

Sometimes, PMI may need to hire a specific expert to oversee M&E processes. Following summarizes key steps in the hiring process[8].

- ✓ Identify M&E needs for the staff position
- ✓ Create a job description
- ✓ Establish a hiring committee and outline the hiring process
- ✓ Advertise for the position
- ✓ Sort, short-list, and pre-screen applicants
- ✓ Interview the candidates
- ✓ Hire and train new staff.

d. Defining Roles and Responsibilities for M&E

It is important to have well-defined roles and responsibilities at each level of the M&E system. The M&E plan identifies people responsible for the specific collection of data on each indicator, but there are other responsibilities throughout the M&E system, from data management and analysis to reporting and feedback.

Typically, there is a wide range of people with some kind of monitoring responsibilities within their job descriptions - including not only project/program staff but also maybe volunteers, community members and other partners.

You need to consider M&E qualifications and expectations, including the approximate percentage of time each person is expected to allocate to M&E. This could be included within job descriptions and terms of reference (ToR).

8 Source: Hagens, Clara, 2008. Hiring M&E Staff. American Red Cross/CRS M&E Module Series. American Red Cross and Catholic Relief Services (CRS), Washington, DC, and Baltimore, MD.

One key planning consideration is who will have overall management responsibility for the M&E system. This person (or their team) should oversee the coordination and super vision of M&E functions, and address any problems that arise. They need to have a clear understanding of the overall M&E system, and leading the M&E planning process.

e. Identifying M&E Capacity Building Requirements and Opportunities

Once roles and responsibilities have been determined, it is important to specify any M&E training requirements. For longer-term projects/programs, or those with significant training needs, you may need to create an M&E training schedule, identifying key training sessions, their schedule, location, participants and allocated budget.

M&E training can be formal or informal. ***Informal training*** includes on-the-job guidance and feedback, such as mentorship in completing checklists, commenting on a report or guidance on how to use data management tools

Formal training can include courses and workshops on project/program design (logframes), M&E planning, data collection, management, analysis and reporting, etc. Formal training should be tailored towards the project / program's specific needs and audience. This can involve an outside trainer coming to the project/program team or site sending participants to training/ workshops, online training or academic courses.

One of the training provided by PMI Headquarter is PMER Training- Planning, Monitoring, Evaluation, and Reporting. You could collaborate with PMI headquarter to conduct a PMER training.

7.2.5. Step 5. Preparing M&E budget

It is best to begin planning the M&E budget early in the project/program design process so that adequate funds are allocated and available for M&E activities. The following section summarizes key considerations for planning the project/program's M&E budget.

a. Itemizing M&E Budget Needs

If the has been systematic planning for M&E, detailing budget items should be easier. Start by listing M&E tasks and associated costs. See Annex 5 for a planning table for key M&E activities to guide the process. It is particularly important to budget for any "huge-event" items, such as baseline/endline surveys and evaluations.

Examples of budget items include:

- ✓ **Human resources.** Budget for staffing, including full-time staff, external consultants, capacity building/training and other related expenses, e.g. translation, data entry for baseline surveys, etc.

- ✓ **Capital expenses.** Budget for facility costs, office equipment and supplies, any travel and accommodation, computer hardware and software, printing, publishing and distributing M&E documents, etc.

In addition to itemizing expenses in a spreadsheet, ***a narrative (description) justifying each line item*** can help guard against unexpected budget cuts. It may be necessary to clarify or justify M&E expenses, such as wage rates not normally paid to comparable positions, fees for consultants and external experts, or the various steps in a survey that add up in cost (e.g. development and testing of a questionnaire, translation and back-translation, training in data collection, data collectors' and field supervisors' daily rates, travel/ accommodation costs for administering the survey, data analysis and report writing).

The basic principle in allocating budgets for M&E activities is effectiveness. For example, if you are able to access and use secondary data, then it is not necessary to collect primary data.

b. Incorporating M&E Costs in Project/Program Budget

Costs associated with regular project/program monitoring and undertaking evaluations should be included in the project/program budget, rather than as part of the organization's overhead or administrative costs.

Certain M&E events, such as a baseline study or external evaluation, may not have been included in the overall project/program budget. Therefore in such instances it is critical to ensure that these M&E costs are added to the project/program budget.

c. Reviewing Any Donor Budget Requirements and Contributions

Identify any specific budgeting requirements or guidance from the funding agency or implementing organization. If multiple funding sources are utilized, ensure that the budget is broken down by donor source. Determine if there are any additional costs the donor(s) will or will not cover, such as required evaluations, baseline studies, etc. Check with the finance unit or officer to ensure the budget is prepared in the appropriate format.

d. Planning for Cost Contingency

Contingency costs refer to unexpected costs that may arise during project/program M&E system implementation. It is important to plan for unexpected contingencies such as inflation, currency devaluation, equipment theft/damaged or the need for additional data collection/analysis to verify findings. Although budget planning seeks to avoid these risks, unexpected expenses do arise.

Box 24. How Much Money Should be Allocated for M&E?

There is no set formula for deter mining the budget for a project /program's M&E system. During initial planning, it can be difficult to determine this until more careful attention is given to specific M&E functions.

However, an international standard is that between 3 and 10% of a project/program's budget be allocated to M&E. Indeed the greater the project/program's budget, the percentage for M&E could be smaller, while the amount is still greater.

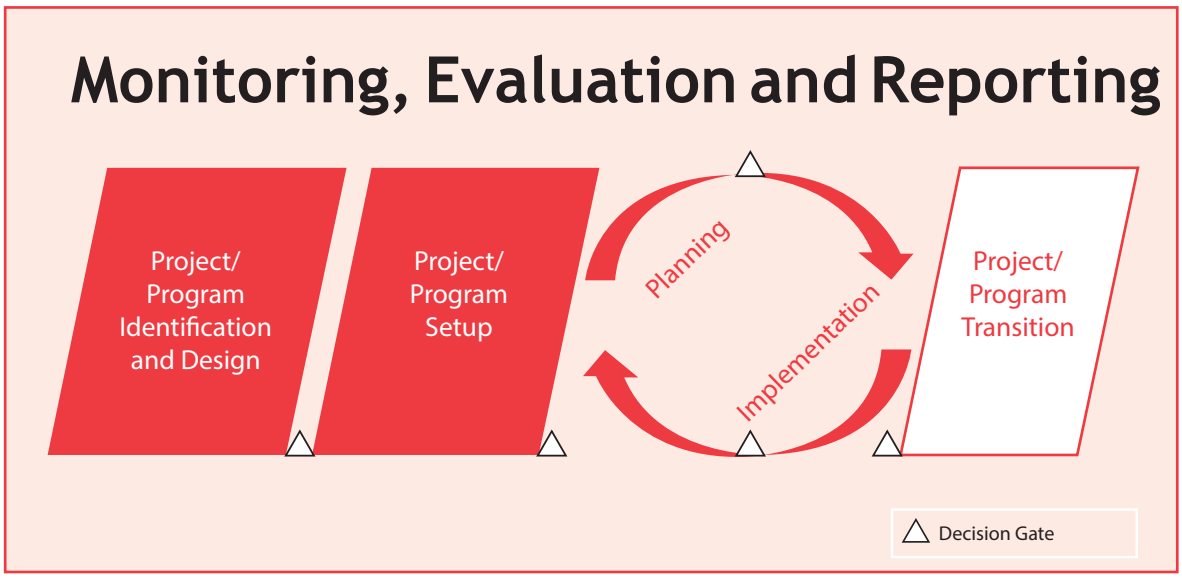
Remember that the M&E budget should not be so small as to compromise the accuracy and credibility of results, but neither should it divert project/program resources to the extent that programming is impaired.

Sometimes certain M&E functions, especially monitoring, are included as part of the project/program's activities. Other functions, such as independent evaluations, should be specifically budgeted.

If you do not know where you are now, then you will not know where to go (this is the function of Monitoring).

Evaluate what is you are trying to accomplish, because what is measured usually will be produced.

End of Project/Program Transition Phase 8



A project or program, by definition, is a temporary endeavor, having a defined beginning and end. This distinct project/program with regular organization program and services. However, in the development sector, there are many project/program operated in many years and therefore often more accurately characterized as a transition phase rather than as a strictly defined project/program closure.

In practice, there are four scenario of project/program transition in the development sector. Those four scenarios are presented in the table below:

Diagram 33. Four Project/Program Transition Scenarios

Termination	Extension	Expansion	Redesign
✓ The project is formally ended ✓ All project closure activities completed. ✓ Could be includes handover to partners	✓ Negotiation of added time to finish the project (could be at additional or "no" cost).	✓ Identification of elements for project/program replication ✓ Implementing team identify new target area or population.	✓ Continuation via a new phase with modified intervention or activities.

Unfortunately, while project/program transition is of great importance, it is often overlooked and/or under resourced. With pressures to move on to new projects/programs and reassign staff members to other activities, the most practical way to ensure a complete project/program closure is to include it in the project/program plan.

8.1. Managing end-of-project/program transition strategy

As mentioned in the discussion of the project/program Planning Phase, comprehensive project plans need to include an end of project/program transition plan which describes how a project intends to evolve upon completion of the project calendar, while ensuring that progress towards goals will continue.

A transition plan may include several scenarios or contingencies that address risks and may allocate additional resources when it may not be possible to exit entirely.

The development sector considers transition especially important because of their concern that impacts be sustained after the project/program has ended. One tool used to plan for the ongoing sustainability of the project/program is the Transition Planning Matrix as detailed below.

Table 33. Transition Planning Matrix

Komponen	Pertanyaan Kunci	Arahan Prinsip	Tantangan
1. Plan for transition from earliest project/program phases	✓ What type of transition is envisioned?	✓ Ongoing project review and revision ✓ Transparency; especially funding	✓ Balancing firm commitments with flexibility ✓ Allowing adequate time to develop capacity
2. Develop partnerships and local linkages	✓ Selecting the right partners? ✓ What do partners bring?	✓ Diversity: may need other project/ program inputs ✓ Clear and common goals	✓ Aligning needs and objectives of diverse stakeholders ✓ Supporting local partners
3. Build local Organizational and human capacity	✓ What capacities are needed? ✓ What capacities exist?	✓ Build on existing capacity if possible ✓ Create environments to support capacities	✓ Designing monitoring to track capacity building ✓ Providing incentives and retaining experienced staff
4. Mobilize local and external resources	✓ What inputs are needed to maintain services? ✓ Can benefits be sustained without ongoing inputs?	✓ Procure resources locally where possible ✓ Increasingly bring external resources under local control	✓ Difficulty finding adequate or available local resources. ✓ Other funders not 'buying-in' to original objectives
5. Stagger phase out of various activities	✓ What are key project/program elements? ✓ Which elements are dependent on others?	✓ Flexibility; staggering sequence may change upon implementation	✓ Sufficient time allowed in the project/program cycle to start seeing the intended impact and outcomes
6. Allow roles and relationships to evolve after transition	✓ What types of ongoing support (advice, mentoring, Technical Assistance, etc.)? ✓ How will ongoing support be funded?	✓ Prevent slippage of project/program's intended results by including in extended, expanded or redesigned project/program	✓ Availability of funding for ongoing support ✓ Availability of staff who can focus sufficient time and energy on ongoing support

8.2. Verifying Project/Program Scope and Accepting the Deliverables

As a project/program enters the end of transition phase, the project/program manager should contact the internal and external stakeholders to verify that the scope of the project/program has been accomplished and that the deliverables are accepted.

Often, the verification of scope is measured in any final evaluation that is conducted for the project. However, in situations where a final evaluation is not conducted, the verification of deliverables should still be conducted.

This usually takes place in a two-step process:

1. The project/program implementation team meets to crosscheck work completion plan. There may be, for example, activities that were delayed and never performed later.

2. Meet with the key stakeholders (donors, community groups) to:

   - ✓ Review accomplishments against the project plan, and then get their acceptance documented by some kind of formal acknowledgement or acceptance;

   - ✓ Make sure they are satisfied, not just with the technical aspects of the project, but also with the overall outcomes (this is often as much about perception as it is about the existence of outputs and achievement of outcomes).

8.3. Completing Administrative, Financial, and Contractual Closure

If the project/program were to be audited two years following closure, what would happen? Do systems exist to ensure that the administrative, financial and contractual elements of project closure are complete?

These systems are critical because not only they help avoid problems with project audits, but they also reduce the risk that there will be disputes with suppliers, employees, and donors regarding the status of accounts.

Systems should be identified to assist with each of the following three activity areas:

Contract closure

- ✓ Are all contracts closed out? Suppliers? Sub-contractors? Donors? Others? Implementing organizations?
- ✓ Has the donor reviewed and accepted project deliverables?

Financial Closure

- ✓ Has all permitted funding been received from the donor?
- ✓ Have all receivables (project/program advances, travel advances, and advances to suppliers) been liquidated or transferred to another project/program number or accounting code?
- ✓ Have all payables been paid?

Administrative Closure

- ✓ Have project/program personnel been released or reassigned?
- ✓ Have the project/program equipment, vehicles, offices been reallocated? Sold? Transferred?
- ✓ Are project/program reports and closure documents complete?
- ✓ Are project/program archives and/or files up to date?

8.4. Completing End of Project Learning

Lessons learned are the organization's memory bank. Ideally, the project/program team will develop a lessons learned during evaluation points or milestones throughout the project/program.

As the project/program enters the end of project transition phase, it is important to ensure that the lessons learned related to the project are adequate detailed, and are filed and easily accessible.

Furthermore, it is critical to distribute the lessons learned to those who can benefit from them. Without a system to capture end of project/program learning, the organization will perennially reinvent the wheel each time a decision is made to pursue a similar project/program.

Donors are often interested in ensuring that learning is disseminated throughout the sector to ensure that new projects benefit from learning generated by other projects they have funded.

A learning review, also called an 'After Action Review', is a simple, quick and versatile learning activity that can be used to identify and record lessons and knowledge arising out of a project/program.

During the review, questions are asked that help participants understand what was planned versus what actually happened:

- ✓ What did we set out to do?
- ✓ What did we achieve? Focus more on facts than opinions;
- ✓ What went really well? Again, look at the facts. Why did it go well? Compare the plan to reality.
- ✓ What could have gone better? Compare the plan to reality. What prevented us from doing more?
- ✓ What can we learn from this?

The advantage of a learning review is that it can collect useful information relatively quickly and without expending extensive resources. The facilitation of the review is intended to be quick, open and not focused on deep thinking and discussion. The primary intent is to inform decisions on operations, policy, or strategy related to ongoing or future program interventions.

8.5. Celebrating Accomplishment

Just as it is important to acknowledge the beginning of a project through launch activities, a project/program manager should also appropriately celebrate and formally acknowledge the end of project/program transition by:

- ✓ recognizing the efforts of team members;
- ✓ acknowledging the contributions of key stakeholders to the project; and
- ✓ expressing appreciation to individuals and groups who were critical to the project/program success.

Recognition of the project accomplishments within the organization and to the outside world may also help facilitate positive public relations and prepare the way for future business opportunities.

Second chances are given
to make things better or end things better

-Anonymous

Section III

ANNEXES

1 Annex

Glossary of Key Terms for PMER

The following list defines key terms that are typically used in project/program management (PMER)

Accountability. The obligation to demonstrate to stakeholders to what extent results have been achieved according to established plans. Accountability principles includes standard setting; monitoring and reporting; transparent information sharing; meaningful beneficiary participation; effective and efficient use of resources; systems for learning and responding to concerns and complaints.

Accuracy. The extent that collected data measures what they are intended to measure.

Assumption. A condition that needs to be met for the successful achievement of objectives. Assumptions describe risks that need to be avoided by restating them as positive conditions that need to hold.

Attribution. The degree an observed or measured change can be ascribed (attributed) to a specific project/program versus other factors (causes).

Audit. An assessment to verify compliance with established rules, regulations, procedures or mandates. An audit can be distinguished from an evaluation in that emphasis is on assurance and compliance with requirements, rather than a judgement of worth of a project/program.

Baseline. An analysis or study describing the initial conditions in regards to relevant indicators before the start of a project/program for comparison at a later endline result.

Benchmark. A reference point or standard against which progress or achievements may be compared.

Beneficiaries. The individuals, groups or organizations, whether targeted or not, that benefit directly or indirectly from an intervention (project/program)

Bias. Occurs when the accuracy and precision of a measurement is threatened by the experience, perceptions and assumptions of the researcher, or by the tools and approaches used for measurement and analysis.

Contingency costs. Refer to unexpected costs that may arise during project/program implementation.

Coverage. The extent population groups are included in or excluded from a project/program.

Effectiveness. The extent to which a project/program has or is likely to achieve its intended, immediate results.

Efficiency. The extent to which results have been delivered in the least costly manner possible - a measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results.

Endline. A measure made at the completion of a project/program (usually as part of its final evaluation), to compare with baseline conditions and assess change.

Evaluation. An assessment that identifies reflects upon and judges the worth of the effects of what has been done, as systematic and objective as possible, of an ongoing or completed project/ program or policy, its design, implementation and results.

Goal. An ultimate objective or goal refers to the long-term result that an project/program seeks to achieve (even if it may be beyond the scope of an individual project/program to achieve on its own – e.g. a nutritional program may contribute to the goal of community health, while other programmes, such as a malaria prevention programme, also contributes to community health).

Host National Society (sometimes called an Operational National Society or ONS). The National Red Cross or Red Crescent Society in the country in which a project/program is implemented.

Impact. The positive and negative, primary and secondary long-term effects produced by a project/program, directly or indirectly, intended or intended.

Indicator. An indicator is a unit of measurement that helps determine what progress is being made towards the achievement of an intended result (objective).

Indicator tracking table (ITT). A data management tool for recording and monitoring indicator performance (targets, actual performance and percentage of target achieved) to inform project/program implementation and management.

Logical framework (logframe). A table (matrix) summarizing a project/program's operational design, including: the logical sequence of objectives to achieve the project/program's intended results (activities, outputs, outcomes and goal), the indicators and means of verification to measure these objectives, and any key assumptions.

Monitoring. The routine collection and analysis of information to track progress against set plans and check compliance to established standards. It helps identify trends and patterns, adapt strategies and inform decisions for project/ program management.

Outcome. Outcomes refer to the primary results that lead to the achievement of the goal (most commonly in terms of the knowledge, attitudes or practices of the target group).

Output. As outputs are the tangible products, goods and services and other immediate results that lead to the achievement of outcomes.

Participating National Society (PNS). A National Red Cross or Red Crescent Society that assists a project/program implemented in the country of a Host National Society (HNS).

Primary data. Data is collected directly by the project/program team or specifically commissioned to be collected for the project/ program.

Program. A set of coordinated projects implemented to meet specific objectives within defined time, cost and performance parameters. Programs aimed at achieving a common goal are grouped under a common entity (country plan, operation, alliance, etc.).

Project. A set of coordinated activities implemented to meet specific objectives within defined time, cost and performance parameters. Projects aimed at achieving a common goal form a program.

Qualitative data/methods. Analyses and explains what is being studied with words (documented observations, representative case descriptions, perceptions, opinions of value, etc.). Qualitative methods use semi-structured techniques (e.g. observations and interviews) to provide in-depth understanding of attitudes, beliefs, motives and behaviors. They tend to be more participatory and reflective in practice.

Quantitative data/methods. Measures and explains what is being studied with numbers (e.g. counts, ratios, percentages, proportions, aver- age scores, etc.). Quantitative methods tend to use structured approaches (e.g. coded responses to surveys) that provide precise data that can be statistically analyzed and replicated (copied) for comparison.

Results. The effects of a project/program, which can be intended or unintended, positive or negative. In the logframe, the three highest levels of results are outputs, outcomes and goal.

Results-based management (RBM). An approach to project/program management based on clearly defined results and the methodologies and tools to measure and achieve them.

Sample. A subset of a whole population selected to study and draw conclusions about the population as a whole. Sampling (the process of selecting a sample) is a critical aspect of planning the collection of primary data.

Sample frame. The list of every member of the population from which a sample is to be taken (e.g. the communities or categories of people - women, children, refugees, etc.).

Secondary data. Data that is not directly collected by and for the project/program but which can nevertheless meet project/program information needs.

Stakeholder. A person or group of people with a direct or indirect role or interest in the objectives and implementation of an intervention (project/program) and/or its evaluation.

Stakeholder complaints and feedback analysis. A means for stakeholders to provide comment and voice complaints and feedback about services delivered.

Sustainability. The degree to which the benefits of a project/program are likely to continue once donor input has been withdrawn, including environmental, institutional and financial sustainability

Target. As a term used in indicator tracking, a target is the intended measure (quantity) set to achieve an indicator.

Target group/population. The specific individuals or organizations for whose benefit a project/program is undertaken.

Terms of reference (ToR). Written document presenting the purpose and scope, the methods to be used, the standard against which performance is to be assessed or analyses are to be conducted, the resources and time allocated and reporting requirements.

Triangulation. The process of using different sources and/or methods for data collection. Combining different sources and methods (mixed methods) helps to reduce bias and cross- check data to better ensure it is valid, reliable and complete.

Validity. As a term used in evaluation methodology, it refers to the extent to which data collection strategies and instruments measure what they intend to measure. Internal validity refers to the accuracy of the data in reflecting the reality of the program, while external validity refers to the generalizability of study results to other groups, settings, treatments and outcomes.

Variance. Used as a term in measuring indicator performance. Variance is a difference in the established target to the actual indicator result – percentage of target achieved (actual/ target). For instance, if there are ten (10) communities targeted to participate in community assessment, but there were only five (5) communities that actually conducted assessment, the variance would be 50% (5 communities/10 communities = 50%).

2 Annex
Factors Affecting the Quality of M&E Information

Factors affecting the quality of M&E information*
1. **Accuracy, validity:** does the information show the true situation?
2. **Relevance:** is the information relevant to user interests?
3. **Timeliness:** is the information available in time to make necessary decisions?
4. **Credibility:** is the information believable?
5. **Attribution:** are results due to the project/program or to something else?
6. **Significance:** is the information important?
7. **Representativeness:** does the information represent only the target group or the wider population also?
8. **Spatial** - Issues of comfort and ease determine monitoring sites
9. **Project/program** - The assessor is drawn toward sites where contacts and information is readily available and may have been assessed before by many others.
10. **Person** - Key informants tend to be those who are in a high position and have the ability to communicate.
11. **Season** - Assessments are conducted during periods of pleasant weather, or areas cut off by bad weather are neglected in analysis and many typical problems go unnoticed.
12. **Diplomatic** - Selectivity in projects/program shown to the assessor for diplomatic reasons.
13. **Professional** - Assessors are too specialized and miss linkages between processes.
14. **Conflict** - Assessors go only to areas of cease-fire and relative safety.
15. **Political** - Informants present information that is skewed toward their political agenda; assessors look for information that fits their political agenda.
16. **Cultural** - Incorrect assumptions are based on one's own cultural norms; assessors do not understand the cultural practices of the affected populations.
17. **Class/ethnic** - Needs and resources of different groups are not included in the assessment.
18. **Interviewer or investigator** - Tendency to concentrate on information that confirms preconceived notions and hypotheses, causing one to seek consistency too early and overlook evidence inconsistent with earlier findings; partiality to the opinions of elite key informants.
19. **Key informant** - Biases of key informants carried into assessment results.
20. **Gender** - Male monitors may only speak to men; young men may be omitted.
21. **Mandate or specialty** - Agencies assess areas of their competency without an inter-disciplinary or inter- agency approach.
22. **Time of day or schedule bias -** The assessment is conducted at a time of day when certain segments of the population may be over- or under-represented.
23. **Sampling** - Respondents are not representative of the population.

**Adopted from White, Graham and Wiles, Peter. 2008. Monitoring Templates for Humanitarian Organizations. Commissioned by the European Commission Director-General for Humanitarian Aid (DG ECHO): p. 5*

Annex 3
Checklist for the Project/Program M&E Steps[9]

CHECKLIST - checklist for project/program M&E steps	
STEP 1 CHECKLIST: Identify the purpose and scope of the M&E system	
Activities 1. Review the project/program's operational design (logframe) 2. Identify key stakeholder informational needs and expectations 3. Identify any M&E requirements 4. Scope major M&E events and functions	**Key tools** 1. Refer to the project/program logframe 2. M&E stakeholder assessment table 3. M&E activity planning table (Annex 5)
STEP 2 CHECKLIST: Plan for data collection and management	
Activities 1. Develop an M&E plan table 2. Assess the availability of secondary data 3. Determine the balance of quantitative and qualitative data 4. Triangulate data collection sources and methods 5. Determine sampling requirements 6. Prepare for any surveys 7. Prepare specific data collection methods/tools 8. Establish stakeholder complaints and feedback mechanisms 9. Establish project/program staff/ volunteer review mechanisms 10. Plan for data management 11. Use an indicator tracking table (ITT) 12. Use a risk log (table)	**Key tools** 1. M&E plan table template and instructions (Annex 4) 2. Key data collection methods and tools (Annex 6) 3. Complaints form 4. Complaints log 5. Staff/volunteer performance management template 6. Individual time sheet 7. Indicator tracking table (ITT) examples and instructions (Annex 7) 8. Risk log
STEP 3 CHECKLIST: Plan for data analysis	
Activities 1. Develop a data analysis plan, identifying the follow the key data analysis stages: 1). Purpose of data analysis 2). Frequency of data analysis 3). Responsibility for data analysis 4). Data analysis	**Key tools** 1. Follow the key data analysis stages: 1). Data preparation 2). Data analysis 3). Data validation 4). Data presentation 5). Recommendation and action plan

9 Remember that the checklist is also available on IFRC's M&E web page – www.ifrc.org/MandE

STEP 4 CHECKLIST: Plan for information reporting and utilization	
Activities 1. Anticipate and plan for reporting: 1). Needs/audience 2). Frequency 3). Formats 4). People responsible 2. Plan for information utilization: 1). Information dissemination 2). Decision-making and planning	**Key tools** 1. Reporting schedule 2. IFRC project/programme management report - template and instructions (Annex 8) 3. Decision log 4. Action log 5. Lessons learned log

STEP 5 CHECKLIST: Plan for M&E human resources and capacity building	
Activities 1. Assess the project/program's HR capacity for M&E 2. Determine the extent of local participation 3. Determine the extent of outside expertise 4. Define the roles and responsibilities for M&E 5. Plan to manage project/programme team's M&E activities 6. Identify M&E capacity-building requirements and opportunities	**Key tools** 1. Example M&E job description 2. M&E training schedule

STEP 6 CHECKLIST: Prepare the M&E budget
Activities 1. Itemize M&E budget needs 2. Incorporate M&E costs into the project/programme budget 3. Review any donor budget requirements and contributions 4. Plan for cost contingency

Rencana M&E* "Nama Proyek/Program"*					
Indicator	**Indicator definition (and unit of measurement)**	**Data collection methods/ sources**	**Frequency and schedule**	**Responsibilities**	**Information use/ audience**
GOAL:					
Indicator G.a					
Assumption G.a					
OUTCOME 1:					
Indicator 1.a					
Indicator 1.b					
Assumption 1.a					
OUTPUT 1.1:					
Indicator 1.1a					
OUTPUT 1.2:					
Indicator 1.2a					
OUTCOME 2:					
Indicator 2.a					
Indicator 2.b					
Assumption 2.a					
OUTPUT 2.1:					
Indicator 2.1a					
OUTPUT 2.2:					
Indicator 2.2a					

** Continue adding objectives and indicators according to project/program logframe.*

M&E plan and purpose

- ***An M&E plan is a table that builds upon a project/program's logframe to detail key M&E requirements for each indicator and assumption***. It allows project/ program staff at the field level to track progress towards specific targets for better transparency and accountability within and outside the PMI.

- ***The M&E plan should be completed during the planning stage of a project/program and by those who will be using it***. This allows the project/program team to crosscheck the logframe and indicators before project/program implementation (ensuring they are realistic to field realities and team capacities). Team involvement is essential because the M&E plan requires their detailed knowledge of the project/program context, and their involvement reinforces their understanding of what data they are to collect and how they will collect it.

- ***The IFRC M&E plan template and instructions can be accessed at the IFRC-PED web site for M&E:*** *www.ifrc.org/MandE*

M&E plan instructions

Drawing upon the above example, the following is an explanation of each column in an M&E plan:

- **The indicator column** provides an indicator statement of the precise information needed to assess whether intended changes have occurred. Indicators can be either quantitative (numeric) or qualitative (descriptive observations). Indicators are typically taken directly from the logframe, but should be checked in the process to ensure they are SMART (specific, measurable, achievable, relevant and time-bound)[10]. Often, the indicator may need to be revised upon closer examination and according to field realities. If this is the case, be sure any revisions are approved by key stakeholders, e.g. donors.

- **The definition column** defines any key terms in the indicator that need further detail for precise and reliable measurement. It should also explain precisely how the indicator will be calculated, such as the numerator and denominator of a percent measure. This column should also note if the indicator is to be separated by sex, age, ethnicity, or some other variable.

10 SMART and other guidance for indicator development is addressed in more detail in the IFRC Project/Programme Planning Guidance Manual (IFRC PPP, 2010: p. 35).

Our example illustrates two terms that needed clarification. The definition of "schools" clarifies that data should be collected from kindergartens through grade 12 (not higher-level university or professional schools). The definition of "success" tells us the specific criteria needed for a school to be successful in its disaster drill – otherwise, "success" could be interpreted in different ways and leads to inconsistent and unreliable data.

- ✓ **The methods/sources column** identifies sources of information and data col- lection methods and tools, such as the use of secondary data, regular monitoring or periodic evaluation, baseline or endline surveys, and interviews. While the "Means of verification" column in a logframe may list a data source or method, e.g. "household survey", the M&E plan provides more detail, such as the sampling method, survey type, etc. This column should also indicate whether data collection tools (e.g. questionnaires, checklists) are pre-existing or will need to be developed.

  Our example has two primary methods (observation of and focus group discussions about the disaster drills), and two tools (a disaster drill checklist and FGD questionnaire). Both methods illustrate that the data source is often implicit in the method description, in this case the school population.

- ✓ **The frequency/schedules column** states how often the data for each indicator will be collected, such as weekly, monthly, quarterly, annually, etc. It also states any key dates to schedule, such as start-up and end dates for collection or deadlines for tool development. When planning for data collection, it is important to consider factors that can affect data collection timing, such as seasonal variations, school schedules, holidays and religious observances (e.g. Ramadan).

  In our example, in addition to noting the frequency of data collection on the disaster drill checklists (quarterly) and the focus group discussions (every six months), two key dates in the schedule are noted: the start date of date col- lection, as well as the completion date to develop the disaster drill checklist.

- ✓ **The person(s) responsible column** lists the people responsible and accountable for the data collection and analysis, e.g. community volunteers, field staff, project/program managers, local partner(s) and external consultants. In addition to specific people's names, use the job title to ensure clarity in case of personnel changes. This column is also useful in assessing and planning for capacity building for the M&E system.

- **The information use/audience column** identifies the primary use of the information and its intended audience. This column can also state ways in which the findings will be formatted (e.g. tables, graphs, maps, histograms, and narrative reports) and distributed (e.g. internet web sites, briefings, community meetings, and mass media). If an assessment of M&E stakeholders has been done, this would be useful to refer to when completing this column.

  Often some indicators will have the same information use/audience. Some examples of information use for indicators include:

  - Monitoring project/program implementation for decision-making
  - Evaluating impact to justify intervention
  - Identifying lessons for organizational learning and knowledge-sharing
  - Assessing compliance with donor or legal requirements
  - Reporting to senior management, policy-makers or donors for strategic planning
  - Accountability to beneficiaries, donors and partners
  - Advocacy and resource mobilization.

  The same principles for completing the columns for an indicator apply when completing them for an assumption. However, the information use/audience for an assumption will generally be the same for all assumptions: we monitor assumptions for the informed implementation and achievement of the project/ program objective(s) (i.e. the assumptions need to hold true if the objective is to be achieved).

Annex 5
Example of M&E activity table

Example of M&E activity table*			
M&E Activity	**Timing/ Frequency**	**Responsibilities**	**Estimated budget**
(example provided below)			
Baseline survey			
M&E training			
Project/program monitoring			
Context monitoring			
Beneficiary monitoring			
Project/Program management report			
Annual report			
Donor report			
Midterm evaluation			
Endline survey			
Final Evaluation			
etc.			

** This table can be tailored to particular project M&E planning needs; different columns can be used or added, such as a column for capacity building or training for any activity*

6 Annex
Key Data Collection Methods and Tools

The following summarizes key data collection methods and tools used in monitoring and evaluation (M&E). This list is not complete, as tools and techniques are continually emerging and evolving in the M&E field.

Key Data Collection Methods and Tools
✓ Assessment. A quick, cost-effective technique to gather data systematically for decision-making, using quantitative and qualitative methods, such as site visits, observations and sample surveys. This technique shares many of the characteristics of participatory appraisal (such as triangulation) and recognizes that indigenous knowledge is a critical consideration for decision-making.
✓ Case study. A detailed description of individuals, communities, organizations, events, programmes, time periods or a story (discussed above). These studies are particularly useful in evaluating complex situations and exploring qualitative impact. A case study only helps to illustrate findings only when combined (triangulated) with other case studies or methods that can draw conclusions about key principles.
✓ Checklist. A list of items used for validating or inspecting whether procedures/steps have been followed, or the presence of examined behaviors. Checklists allow for systematic review that can be useful in setting benchmark standards and establishing periodic measures of improvement.
✓ Community book/Volunteers record. A community-maintained document of a project belonging to a community. It can include written records, pictures, drawings, songs or whatever community members feel is appropriate. Where communities have low literacy rates, a memory team is identified whose responsibility it is to relate the written record to the rest of the community in keeping with their oral traditions.
✓ Community interviews/meeting. A form of public meeting open to all community members. Interaction is between the participants and the interviewer, who presides over the meeting and asks questions following a prepared interview guide.
✓ Direct observation. A record of what observers see and hear at a specified site, using a detailed observation form. Observation may be of physical surroundings, activities or processes. Observation is a good technique for collecting data on behavioral patterns and physical conditions. An observation guide is often used to reliably look for consistent criteria, behaviors, or patterns.
✓ Document review. A review of documents (secondary data) can provide cost-effective and timely baseline information and a historical perspective of the project/program. It includes written documentation (e.g. project records and reports, administrative databases, training materials, correspondence, legislation and policy documents) as well as videos, electronic data or photos.

Key Data Collection Methods and Tools

- ✓ Focus Group Discussion (FGD). Focused discussion with a small group (usually eight to 12 people) of participants to record attitudes, perceptions and beliefs relevant to the issues being examined. A moderator introduces the topic and uses a prepared interview guide to lead the discussion and extract conversation, opinions and reactions.
- ✓ Interviews. An open-ended (semi-structured) interview is a technique for questioning that allows the interviewer to probe and pursue topics of interest in depth (rather than just "yes/no" questions). A closed- ended (structured) interview systematically follows carefully organized questions (prepared in advance in an interviewer's guide) that only allow a limited range of answers, such as "yes/no" or expressed by a rating/number on a scale. Replies can easily be numerically coded for statistical analysis.
- ✓ Laboratory testing. Precise measurement of specific objective phenomenon, e.g. infant weight or water quality test.
- ✓ Live in within the object of study. This technique requires the researcher to spend considerable time (days) with the group being studied and to interact with them as a participant in their community. This method gathers insights that might otherwise be overlooked, but is time-consuming.
- ✓ Most significant change (MSC). A participatory monitoring technique based on stories about important or significant changes, rather than indicators. They give a rich picture of the impact of development work and provide the basis for dialogue over key objectives and the value of development programmes (Davies & Dart 2005).
- ✓ Participatory rapid appraisal (PRA). This uses community engagement techniques to understand community views on a particular issue. It is usually done quickly and intensively - over a two to three week period. Methods include interviews, focus groups and community mapping.
- ✓ Questionnaire. A data collection instrument containing a set of questions organized in a systematic way, as well as a set of instructions for the data collector/interviewer about how to ask the questions (typically used in a survey).
- ✓ Statistical data review. A review of population censuses, research studies and other sources of statistical data.
- ✓ Story. An account or recital of an event or a series of events. A success story illustrates impact by detailing an individual's positive experiences in his or her own words. A learning story focuses on the lessons learned through an individual's positive and negative experiences (if any) with a project/program.

Key Data Collection Methods and Tools

- ✓ Survey: Systematic collection of information from a defined population, usually by means of interviews or questionnaires administered to a sample of units in the population (e.g. person, beneficiaries and adults). An enumerated survey is one in which the survey is administered by someone trained (a data collector/enumerator) to record responses from respondents. A self-administered survey is a written survey completed by the respondent, either in a group setting or in a separate location. Respondents must be literate.

- ✓ Visual techniques. Participants develop maps, diagrams, calendars, timelines and other visual displays to examine the study topics. Participants can be prompted to construct visual responses to questions posed by the interviewers; e.g. by constructing a map of their local area. This technique is especially effective where verbal methods can be problematic due to low-literate or mixed-language target populations, or in situations where the desired information is not easily expressed in either words or number

** Adapted from Chaplowe, Scott G. 2008. "Monitoring and Evaluation Planning". American Red Cross/CRS M&E Module Series. American Red Cross and Catholic Relief Services (CRS), Washington, DC, and Baltimore, MD*

Annex 7
Indicator Tracking Table (ITT) Benefits and Instructions[11]

ITT purpose and benefits

- ✓ **The ITT is an important data management tool for recording and monitoring indicator performance. It informs project/program implementation and management,** tracking progress towards specific targets for better transparency and accountability.
- ✓ **This ITT format is to be used by all projects/programs** to inform other indicator reporting formats as appropriate.
- ✓ **ITT submission should follow the agreed (required) frequency and reporting.** Typically the ITT is completed on a quarterly reporting basis, as the spread- sheet is currently formatted. However, for shorter projects/programs, it can be reformatted to a monthly basis.
- ✓ **Typically, the ITT is completed by project/program team members and submitted by the project/program manager.** The ITT should be included as an annex in the project/program management report. Indicator performance (especially any variance greater than ten per cent) should be discussed in the report

ITT instructions[12]

- ✓ **Initial set-up of the ITT for a specific project/program will take some time,** but thereafter it will be easier to complete.
- ✓ **The ITT is designed and managed** in **an Excel worksheet** that contains all of the objectives of the project/program logframe, with indicators listed under their objectives. The Excel worksheet for the IFRC's ITT can be accessed at the IFRC's web site for M&E: www.ifrc.org/MandE.
- ✓ **Excel formulas should be embedded in some cells of the ITT worksheet.** These formulas make automatic calculations (e.g. percentages) and therefore reduce the amount of data that must be entered manually. However, even with the help of formulas to automatically calculate, it is important to be careful that the data has been calculated as intended. If there are problems with the formulas, you may need to re-enter them. If necessary, seek the assistance of someone experienced with Excel.
- ✓ **As the ITT mirrors the project/program logframe, the listed objectives and indicators in the work sheet should remain the same throughout the life of the project/program** (unless the logframe itself is to be changed).
- ✓ Additional guidance for the ITT and the overall M&E system can be found in the IFRC project/program M&E guideline (www.ifrc.org/MandE).

11 Remember that the ITT Excel work sheet for this template and relevant instructions are also available separately on IFRC's web page: www.ifrc.org/MandE

12 The IFRC's format and instruction for the ITT were largely adopted from those developed and piloted by the American Red Cross for its Tsunami Recovery Program (2005-2010)

ITT completion – overall reminders

- ✓ **Data reported in the ITT should be confirmed for the reporting period, and not made up of estimates or guesses.** If you are confused about what an indicator means or how to report on it, refer to your project/ program M&E plan.
- ✓ **Values for indicators should be numeric with descriptions reserved for the narrative report.**
- ✓ **Remember that "0", "Not Applicable" and "Unknown" all mean different things.** Entering "0" means that no progress was made against an indicator for the given time period. If your project/program does not measure an indicator for a given time period (e.g. no target was set), enter "NA" (not applicable). Only enter "UK" (un- known) for instances where an indicator target has been set, but the indicator cannot be measured due to missing or unreliable data (e.g. the M&E system may not be in place yet).
- ✓ **Target could not be "0", it ought to be larger than "0" (absolute or percentage)**
- ✓ **You cannot change the target whenever you like** (reduce or add or change the due)
- ✓ **For indicators that are measured in percentages,** enter the numerator and denominator as a ratio and then **format the cell as a percentage** (e.g. 50 percent, not 0.5). This ensures that all of the relevant data is entered into the ITT.
- ✓ If the percentage between the actual target of ± 20%, you should explain why it happens.
- ✓ When the indicator is assessed regularly, consider when to use the highest achievements or the recent achievements on the annual achievements or during the project lifetime.
- ✓ A new TTI worksheet must be added for each year of the project / program.

Project/program background information

1. **Project/Program Name:** Enter the project/program name used in the proposal.
2. **Project/Program Manager:** Enter the project/program manager's name.
3. **Project/Program Sector:** Select the appropriate project/program sector, e.g. disaster management.
4. **Project/Program Location:** Enter the field location of where the project/program is being implemented (e.g. district(s) and/or province and country).

5. **Reporting Period:** Enter the reporting period for which the ITT is being completed.
6. **Project/Program Start Date:** Enter the date for when the project/ program implementation will begin.
7. **Project/Program End Date:** Enter the expected date for when the project/program will end.

Logframe objective and indicators statements

Enter the project/programme statements for the project/programme goal, outcome(s), outputs, and indicators as they appear in the logframe.

Logframe indicators reporting

- ✓ **Project/program baseline date/value** - Enter the date of the project/ program baseline and value for this indicator. If a baseline has not yet been conducted but is planned, leave this blank. If no baseline will be conducted or no data is required for a particular indicator, write "NA" (for "not applicable"). Remember, not all indicators will need to be measured during the baseline.

- ✓ **Target** - Targets should be set for each quarter and are usually entered into the indicator tracking sheet during the same time period as the planning of the annual project budget for the next year. If your project/ program does not measure (set a target) an indicator for a respective quarter, enter "**NA**" not "0".

- ✓ **Actual** - Enter the actual indicator value for the current reporting period. Enter only accurate data, not estimated data. Entering "0" means that no progress was made against an indicator for the given time period If your project/program does not measure this indicator for a respective quarter, write "NA". Enter "UK" (unknown) for instances where an indicator target has been set, but the indicator cannot be measured due to missing or unreliable data (e.g. the M&E system may not be in place yet).

- ✓ **Percentage of target** - This cell has a formula to automatically calculate the percentage of the target that was actually achieved by the indicator during the reporting period (by dividing actual by the target). Double check to make sure that the percentage is accurate and that the formula is working correctly.

- ✓ **Annual target** – Annual targets are entered into this column at the start of the project/program. All annual targets should be included in each annual indicator tracking sheet. Annual targets for individual indicators may be revised at the end of the year to reflect major programmatic changes/revisions. However, revisions should not affect total life of project targets, and any revision should be authorized (e.g. approved by the donor).

- ✓ **Year to date actual** – This value will change each quarter there has been indicator performance. A formula to tabulate this column can be made automatically, in accordance to the indicators. Some indicators may need to be calculated manually (e.g. where the actual is not the sum of all quarterly actuals but the highest number).

- ✓ **Percentage of annual target** – This cell has a formula to automatically calculate this value by dividing the Year to date actual by the Annual target. Double-check to make sure that this is the accurate percentage and that the formula is working correctly.

- ✓ **Life of project (LoP) target** – LoP targets are entered into this column at the start of the project/program. All LoP targets should be included in each annual indicator tracking sheet. Generally, LoP targets should not be revised except under rare instances, and with the proper authorization (e.g. from donors).

- ✓ **Life of project actual** – This value will change each quarter there has been indicator performance. Depending on the indicator, you may want to create a formula to tabulate this automatically. Some indicators may need to be calculated manually (e.g. where the LoP actual is not the sum of all quarterly actuals but the highest number).

- ✓ **Percentage of LoP target** – This cell has a formula to automatically calculate this value by dividing the actual to date by the life of project/program target. Double-check to make sure that this is the accurate percentage and the formula is working correctly.

Annex 8
IFRC's Project/Program Management Report

Ifrc's Project/Program Management Report

- ✓ **The purpose of this reporting format is to highlight key information to inform project/ program management for quality performance and accountability.** This format informs the project/program's reporting mechanism and it may compile information from other reports (e.g. community activity reports), as well as provide information for other external reports for accountability and advocacy (e.g. donor reports).
- ✓ This report format is to be applied to all IFRC funded project/program.
- ✓ **Report submission should follow the agreed (required) frequency and reporting lines according to the specific project/program** – typically reports are submitted from the project/program manager to headquarters on a monthly basis for shorter projects/programs, on a quarterly basis for longer projects/programs.
- ✓ **Attach the indicator tracking table (ITT),** which should be referred to in the analysis of implementation.
- ✓ **Instructions for completing each section in this report are included in italic. Please delete all italicized instructions when first using the report template.**
- ✓ **Additional guidance for project/program reporting can be found in the IFRC project/program M&E guideline:** www.ifrc.org/MandE.

Remember - all instructions throughout the report template (written in italic) can be removed once the template is put to use.

1. Project/Program Information

Project/program reporting period: XX/month/XXXX to XX/month/XXXX
Project/program start date: XX/month/XXXX
Project/program end date: XX/month/XXXX
Project/program code: e.g. G/PXXXXX
Project/program manager:
Project/program location: Town or city (Country)
Project/program sector:

2. Executive Summary

This section should summarize key points from the other sections of this report to provide a snapshot overview of the project/program's current status and key actions planned to address any ongoing or new issues and support project/ program implementation.

Overall project/program status. *Concisely summarize the overall project/program status and whether or not it is on track/target for the reporting period - explain why in the respective subsection below.*

Federation-Wide Reporting System (FWRS) indicators. *For the two FWRS indicator tables below, please refer and adhere to the reporting requirements as detailed in the FWRS indicator guideline (https://fednet.ifrc.org/en/re-sources-and-services/ns-development/performance-development/federation-wide-reporting-system/). Counts should be for this reporting period. If this is not possible, please outline the reasons why.*

People reached for reporting period								
Direct recipients						Indirect recipients	Total people reached	Total people covered
Male		Female		Total				
Planned	Actual	Planned	Actual	Planned	Actual			

Volunteers during reporting period		
Male	Female	Total

Key issues. *Concisely summarize any key issues (problems or challenges) that affect whether the project/program is being implemented according to target - identify whether the issue is pending or new.*

Key accomplishments. *It is not necessary to list everything accomplished, but concisely highlight any notable accomplishments for this reporting period.*

Plans for next quarter. *Concisely summarize the overall plan of action for next quarter, highlighting any key considerations*

3. Financial Status

This section should provide a concise overview of the project/program's financial status based on the project/program's monthly finance reports for the reporting quarter. It is important that this report is aligned with and reflects the information in the IFRC project financial management report (which is usually completed on a monthly basis).

Please use the project quarterly finance status table below to *summarize key financial data. Particular attention should be given* **to spend rates and forecasts for the current reporting period.**

Project/program quarterly finance status					
YTD* budget to date	YTD expenses to date	% of budget	Annual budget	Annual expenses	% of budget
XX/Month/XXXX	XX/Month/XXXX				

* *Year to date*

Financial status explanation. *Please answer the following questions in your financial analysis:*

- ✓ If there have been any budget revisions greater than ten per cent from the original plan, please give reasons.
- ✓ If implementation rate looks like it will be less than 80 per cent of the budget by the end of the year, give reasons.
- ✓ If the project/program's budget versus actual variance is more than 20 per cent, please explain.
- ✓ If the project/program is not fully funded for the year, how will this affect the project/program's implementation and what is being done to address this issue?

4. Situation/Context Analysis (Positive and Negative Factors)

This section should identify and discuss any factors that affect the project/program's operating context and implementation (e.g. change in security or a government policy, etc.), as well as related actions to be taken. Some key points to guide analysis include:

- ✓ **Use the table below to discuss any specific developments and planned response in the situation/context that require action.**
- ✓ **Refer to the assumptions (risks) identified in the project/program logframe** and list any assumptions (positive conditions) that are no longer valid and have become risks.
- ✓ **List any other risks that may have arisen but may not appear as an assumption in the logframe.**
- ✓ **In addition to risks that have arisen, include positive factors that may affect the project/programme.** (positive factors can be important as well, such as an improved municipal transportation infrastructure that can positively affect the distribution of Red Cross Red Crescent services, or the actions of another humanitarian organization working in the context that affects Red Cross Red Crescent service delivery.)
- ✓ **If there have been no significant issues affecting the project/program's situational context,** state that no major factors are currently affecting the project/program's operating context and implementation

Risk and positive factors				
Risk or positive factors	**Date**	**Priority High, Medium, Low**	**Responsibility and recommended action**	**Date closed**
1.				
2.				
Add rows as needed…				

5. Analysis of Implementation

This section should be based on the objectives as stated in the project/ program's logframe and data recorded in the project /program indicator tracking table *(IT T guidance and template can be accessed at www.ifrc.org/MandE). It is a very important part of the report and should be carefully completed. Some key points to guide analysis and reporting include:*

1. ***Remember not just to state what happened, but to elaborate,*** *explaining why it happened, what were the contributing factors, why were specific actions taken, who was involved and what further action is required and by whom.*

2. ***Relate quarterly performance to the project/program's overall targets for the year and the life of project/program.***

3. ***If not activity was taken for a specific objective during the reporting period, explain why*** *(e.g. activities under this objective are planned for next quarter).*

4. ***Keep it simple and short*** *- as much as possible, only write what is necessary and sufficient to explain objective and indicator performance. Keep it concise and relevant to the specific objective you are reporting on.*

Analysis Table of Project/Program Implementation		
PROJECT/PROGRAM GOAL: State the goal statement as it appears in the project/program logframe- you do not need to report on the goal performance because such overall analysis should be covered in the executive summary above.		
OUTCOME 1: State the outcome statement as it appears in the project/program logframe. **OUTPUT 1.1:** State output as appears in the logframe. **OUTPUT 1.2**, etc.: State additional outcomes as needed.		
INDICATOR VARIANCE EXPLANATION. *Variance is the difference between identified targets and actual results. Referring to the ITT,* ***explain any variance greater than 10%*** *(percentage of target) for outcome and output indicators reported on during this period. Explanations should be concisely listed below by indicator number, and can be expanded on in the additional explanation section.* **ADDITIONAL EXPLANATION:** *Use this space for additional information not covered by the variance explanation. This should include, but is not limited to:* *1. Any notable beneficiary and partner perception of work in this outcome area.* *2. Any unintended consequences associated with the outcome area - these can be positive or negative consequences that were not planned for.* *3. An update on the outcome's* ***sustainability*** *(the eventual continuation of the outcome by local stakeholders).*		
OUTCOME 1 ACTION POINTS		
Action	**Person responsible**	**Timing**
1. Include pending communities from prior quarter in VCA implementation in next quarter. Add rows for action points as needed…	Heru Santoso, VCA field coordinator.	30 January 2011.
OUTCOME 2: Complete information for Outcome 2 according to the instructions above. *OUTPUT 2.1:* *OUTPUT 2.2, etc.:*		
INDICATOR VARIANCE EXPLANATION. Complete information for Outcome 2 according to the instructions above. Indicator 2.X: Add indicators and variance explanations as needed. **ADDITIONAL EXPLANATION:** Complete information for Outcome 2 according to the instructions above.		
OUTCOME 2 ACTION POINTS		
Action	**Person responsible**	**Timing**
1. Include pending communities from prior quarter in VCA implementation in next quarter. Add rows for action points as needed…	Heru Santoso , VCA field coordinator.	30 January 2011.
- - - - - Add additional outcome sections as needed - - - - -		

6. Stakeholder Participation and Complaints

Stakeholder participation. *Concisely describe how key stakeholders, **particularly local beneficiaries**, have been involved in the project/program (project/program design, implementation, monitoring, evaluation and reporting). **Do not include partnership issues, which are covered in the next section, partnership agreements and accountability.***

Stakeholder feedback. *Using the table below, summarize any key stakeholder feedback, especially any complaints logged through the project/program's stakeholder feedback mechanism. If it is a complaint, be sure to explain how it will be handled in the recommended follow-up column. If there is no feedback, then leave blank.*

Stakeholder Feedback Summary				
Complaint (Clearly indicate whether it is a complaint or positive feedback)	**Date**	**Priority High, Medium, Low**	**Recommended follow-up** *(Write "NA" is not applicable. If applicable, explain what, who and when follow will occur.)*	**Date closed**
1.				
2.				
Add rows as needed…				

7. Partnership Agreements and Other Key Actors

Only fill in this section if it is relevant to the project/program.

Use the table below to list any project/program partners and agreement type (e.g. project/program agreement, MoU). Key comments include the status of the agreement (e.g. date signed or if it remains unsigned), roles and responsibilities for agencies under agreement/MoU (e.g. who is providing financial versus technical support), etc.

Project/Program Partnership Agreements		
Partner	**Agreement type**	**Status/comments**
Add rows as needed…		

Gunakan table di bawah ini untuk menuliskan isu-isu yang tertunda, yang sudah diselesaikan, atau isu-isu baru, juga tindak lanjut yang telah dilakukan. Jika tidak ada isu-isu yang berarti, biarkan kosong.

Project/Program Partnership Issues and Recommended Actions	
Issue	**Comment - update status of issue and action taken**
Add rows as needed….	

Only complete the following table if there are any notable non-partner actors (government, civil society organization, profit organization, etc.) that may affect project/program objectives and should be monitored

Other Key Actors to Monitor	
Organization	**Comment (Target and program area, timing, any notable influence on the project/program and related actions)**
Add rows as needed….	

8. Cross-Cutting Issues

*This section discuss activities undertaken or results achieved that relate to any cross-cutting issues (gender equality, environmental conservation, etc.). Please discuss only **new** developments.*

9. Project/Program Staffing – Human Resources

This section should list any new hires, recruitment or other changes in project/programme staffing, highlighting any implications for project/ program implementation. It should also include whether any management support is needed to help resolve any issues. If there have been no significant staffing issues this quarter, state that the project/program is fully staffed and there are no relevant issues.

10. Exit/Sustainability Strategy Summary

This section should be completed for all projects/programs by summarize overall progress towards the exit strategy and eventual continuation of the project/program objectives after handover to local stakeholders (e.g. a local community-based organization or other partner) and any other relevant information.

11. PMER Status

This section should provide a concise update of the project/program's key planning, monitoring, evaluation and reporting (PMER) activities. Using the table below, summarize the key activities planned, their timing and their status (e.g. completed, in process, planned, etc.). PMER activities will vary according to project/program needs. Some examples included in the following table.

Pmer Activity Status		
M&E activities/events	**Timing**	**Comments - status and relevant information**
Quarterly project/program monitoring reports		
Baseline study/survey (required of all project/programs)		
Midterm evaluation/review		
Final evaluation (endline study)		

12. Key Lessons

Use this section to highlight key lessons and how they can be applied to this or other similar projects/programs in future. Note that this section should not repeat the specific action points summarized in the executive summary (Section 1). Instead, it should highlight lessons that inform organizational learning for this and similar projects/programs in the future.

13. Report Annex

Attach the project/program's indicator tracking table.

Attach any useful supplementary information for the project/program monitoring reporting, such as:

1. ***ToRs*** *(terms of reference) for any key assignments, such as technical assistance, an evaluation, a baseline survey, etc.*
2. ***Case study*** *- if possible, a case study can be useful information for future assessment, and for distribution to appropriate stakeholders (e.g. donors). A case study is a detailed description of individuals, communities or events illustrating how the project/program is having an effect locally, what that effect is and if it is in line with intended results. It can be supplemented with photos (sent separately).*
3. ***Relevant pictures, letters, commissioned studies, reports, etc.***

Annex 9
Example of Proposal Template

9.1. USAID/OFDA Proposal Summary Template

USAID/OFDA requires a proposal summary of approximately two pages with each application. USAID/OFDA strongly recommends the following summary template, also available at http://www.usaid.gov/what-we-do/working-crises-and-conflict/crisis-response/resources

Request to USAID/OFDA for a

☐ **New Award or**

☐ **Modification to an Existing Award (#_____)**

Applicant Organization Name:	
Headquarters Contact Information	**Field Contact Information**
Contact Person:	Contact Person:
Mailing Address:	Mailing Address:
Telephone:	Telephone:
Fax:	Fax:
E-mail:	E-mail:

Country/Region of Country:
Submission/Revision Date:
Program/Project Title:

For new awards:
Proposed Start Date:
Proposed Program Duration:

For modifications to existing awards:
Original Award Start Date:
Original Award End Date:
Proposed Extension Duration:

Dollar Amount Requested from USAID/OFDA	$_____
Dollar Amount from Other Sources	$_____
Dollar Value of In-kind Contributions	$_____
Total Dollar Amount of Program	$_____

Program Goal:
Total Number of People Affected in the Target Area:
Total Number of People Targeted (Individuals):
Total Number of internally-displaced persons (IDP) People Targeted (Individuals) as subset of above:

Executive Summary
Provide a half-page executive summary of the program. Include an overview of the proposed activities, the issues that the activities will address, and why the activities are appropriate.

Sector Table:

Complete a separate Sector Table for each sector included in the proposal. Sector Tables summarize some of the information to be covered in the Program Description and Cost/Budget portion of the proposal. You must report against all indicators for each sub-sector unless otherwise indicated. You must strongly justify any requests to not report against a particular indicator (e.g., the proposed activity has no components corresponding to that indicator). The justifications will be discussed during the review process.

Sector Name:	*Of the 12 possible sectors (see Summary Table on page 18), list the first sector of the proposed intervention. Complete a separate table for each sector included in the proposal.*
Objective:	*Describe the aim of the proposed work in this sector.*
Dollar Amount Requested:	*Specify how much money this proposal is requesting from USAID/OFDA for activities in this sector.*
Number of People Targeted:	*Indicate the total number of people targeted for activities in this sector, including IDPs.*
Number of IDPs Targeted:	*Of the total number of people targeted for activities in this sector, note how many are IDPs. Both natural and human-made disasters can result in IDPs.*
Geographic Area(s):	*Identify the geographic area or areas where the planned work for this sector will sector. District-level identification is preferable.*
Keyword(s):	*List all keywords (see Keyword List on page 26) applicable to the proposed activities.*
Sub-sector name:	*Of the possible sub-sectors available for this sector (see Summary Table on page 18), list the first sub-sector of the proposed intervention.*
Indicator 1:	*Copy the first indicator for this sub-sector (see Summary Table) to measure the success of planned activities.*
Indicator 2:	*Copy the second indicator for this sub-sector (see Summary Table) to measure the success of planned activities.*
Indicator 3:	*Copy the third indicator (if there is one) for this sub-sector (see Summary Table) to measure the success of planned activities.*

9.2. United Nations Development Programme (UNDP) Summary Proposal Template

PROJECT PROPOSAL COVER SHEET

Project No. _____ (For Official Use. Do not write anything here)
Project Title: _____ (Title must capture the essence of project)

Applicant
Name of Organization : _____
Mailing Address : _____
Telephone : _____
Fax : _____ E-mail: _____
Principal Officer : _____
(Name and Position)
Project Contact : _____
(Name and Position)

Proposed Starting Date : _____
(Ideally this should be at least six months after submission)

Proposed Project Duration : _____

Finances
Total Fund Request : [local currency] _____ (US$ _____)
Total from Other Sources : [local currency] _____ (US$ _____)
Total project cost : [local currency] _____ (US$ _____)
Exchange Rat : _____

SAMPLE TABLE OF CONTENTS

Section A.

1. PROJECT PROPOSAL OUTLINE AND CONTENT

1.1. Project Summary (1 page)

The Project Summary should be a brief write up of the key points contained in the Proposal. This should include a brief description of the proposing organization, project objectives, activities, indicators of achievement and the context (or rationale/justification) upon which the project is based. This shall also include a statement of the total cost of the project, the amount of funding requested, how those funds will be used, the amount, nature, and status of community contributions, and the status and sources of additional funding required.

1.2. Organizational Background and Capacity to implement the project (1 page)

This section should clearly demonstrate that the proposing organization has the experience, capacity, and commitment to implement successfully the proposed project. Among the issues to be covered in this section include:

- ✓ Nature of the proposing organization — Is it a community-based organization, national or sub-national NGO, research or training institution?
- ✓ Purpose and core activities of the organization,
- ✓ Organizational approach (philosophy) for project implementation, i.e. how does the organization deliver its projects?
- ✓ Length of existence and project management experience,
- ✓ Organizational structure, governance and administrative framework: number of paid staff members,
- ✓ Membership and affiliation to associations or umbrella groupings,
- ✓ Legal status — registration with government approved authority,
- ✓ Target population group (women, indigenous people, youth, etc.),
- ✓ Previous experience relevant to the proposed project.

1.3. Project Objectives and Expected Results (1 page)

This section should contain a clear and specific statement of what the proposed project will accomplish. Among the issues to address include:

- ✓ **The problem statement** or challenge the project is intended to address,
- ✓ **The primary objective and specific objectives** of the proposed project,
- ✓ **The rationale** (justification for the project,
- ✓ **The specific results** that the project will produce. The expected results are the measurable changes which will have occurred by the end of the project as a result of the planned intervention.

1.4. Description of Project Activities (2.5 pages)

This section should describe what will actually be done to produce the expected results and accomplish the project's objectives. There should be a clear and direct linkage between the activities and the outcomes. (The proponent must ensure that the activities are a means to getting to intended outcomes). **Note that weakness in this area may be a major reason for failure to receive funding as this is the actual component to be implemented as a project.**

Activity descriptions should be as specific as possible, identifying **what** will be done, **who** will do it, **when** it will be done (beginning duration, completion, and **where** it will be done. In describing the activities, an indication should be made regarding the organizations and individuals involved in or benefiting from the activity.

1.5. Implementation Plan and Time Frame (2 pages)

This section may be presented in graphical (table) form and can be attached as an annex. It should indicate the sequence of **all major activities and implementation milestones,** including targeted beginning and ending dates for each step. Provide as much detail as possible. The Implementation Plan should show a logical flow of steps, indicating that all the things that must happen have been carefully though through from the current to the end of project situation. Include in the Implementation Plan all required highlight reports, project reviews and evaluation activities.

1.6. Plan to Ensure Community Participation (1 page)

Describe how the stakeholder communities were (and are being) involved in:

- ✓ Project planning and design,
- ✓ Project implementation,
- ✓ Project monitoring and evaluation to ensure efficiency and effectiveness in delivery. This is the basis for generating and understanding project impact.

Section B

Project Work Plan and Monitoring Schedule

1.7. Risks to Successful Implementation (0.5 pages)

Identify and list the major risk factors that could result in the project not producing results. These should include both internal factors (for example, the technology involved fails to work as projected) and external factors (for example, significant currency fluctuations resulting into changes in the economics of the project).

Include in this section also the key **assumptions** on which the project plan is based. In this case, the assumptions are mostly related to external factors (for example, government environmental policy remaining stable) which are anticipated in project planning, and on which the feasibility of the project depends.

1.8. Monitoring and Evaluation Plan and Indicators (1 page)

This section should contain an explanation of the plan for monitoring and evaluating the project, both during its implementation (formative) and at completion (summative). Among the key issues to be addressed are:

- ✓ How the performance of the project will be tracked in terms of achievements of the steps and milestones set forth in the Implementation Plan;
- ✓ How the impact of the project will be assessed in terms of achieving the project's objective(s);
- ✓ How the mid-course correction and adjustment of the project design and plans will be facilitated on the basis of feedback received;
- ✓ How the participation of community members in the project monitoring and evaluation processes will be achieved.

Propose specific and measurable **indicators** relating to project performance and impact which can form the basis for monitoring and evaluation.

1.9. Sustainability (1 page)

Sustainability is a critical aspect in all the UNDP funded projects. The proposal should outline the steps to be taken before, during and at the completion of project implementation to ensure that once all the SGP funds have been disbursed, the activities of the project and the organization will continue for many years thereafter.

Project proponents should envision the project three or even five years after UNDP has given out the agreed upon funds, and consider the factors that could contribute to the success and failure of sustainability of their project, and address them accordingly.

2. PROJECT BUDGET INFORMATION SHEET

The Project Budget Information Sheet is an important part of every project proposal. Once a project has been approved for funding, the budget information becomes part of the binding contract between UNDP and the proposing organization.

The development and management of a realistic budget is an important part of developing and implementing a successful project. Careful attention to issues of financial management and integrity will enhance the effectiveness and impact of the project. in keeping with the role of UNDP as a support mechanism for community-level initiatives, every effort has been made to keep financial management requirements as straightforward and non-burdensome as possible. The following important principles should be kept in mind in preparing a project budget.

- ✓ Include only costs which directly relate to efficiently carrying out the activities and producing the objectives which are set forth in the proposal. Other associated costs should be funded from other sources.
- ✓ The budget should be realistic. Find out what planned activities will actually cost.
- ✓ The budget should include all costs associated with managing and administering the project. In particular, include the cost of monitoring and evaluation.
- ✓ “Indirect costs” or administrative overhead costs such as staff salaries and office rent are not funded by UNDP. These therefore should not be part of the funding request.
- ✓ UNDP funds should be spent according to the agreed budget.
- ✓ All relevant, financial records should be made available. These may be independently audited, and may become public information.
- ✓ The budget line items are general categories intended to assist in thinking through where money will be spent. If a planned expenditure does not appear to fit in any of the standard line item categories, list the item under other costs, and state what the money is to be used for.
- ✓ The figures contained in the Budget Information Sheet should agree with those on the Proposal Cover Sheet and in the text of the proposal.
- ✓ UNDP grant requests should not exceed fifty thousand United States Dollars (US$50,000) per project.

Section C

2.1. Project Funding Summary

Funding Source	Funding Plan [local currency]		Total (local currency)	Total US$
	Year 1	Year 2		
a. UNDP				
b. Community				
c. Proposing organization				
d. Other co-financiers				
Total Project Cost				

a. Community Contribution

All cost-sharing contributions (cash and in-kind) should be itemized as below. This should include sources and nature of the contribution (e.g. Youth Organization contributing labor, land, cash, etc.). please indicate whether the contribution is already committed or just a projection.

Sources of Community Contribution	Type	Committed or Projected?*	Value, in local currency
1.			
2.			
Total			

* Write 'C' for committed and 'P' for projected funds

b. Proposing Organization Contribution

It is important that proposing organizations make some contribution towards the cost of the project. contributions can be outlined as follows.

Sources of Community Contribution	Type	Committed or Projected?*	Value, in local currency
1.			
2.			
Total			

* Write 'C' for committed and 'P' for projected funds

c. Other Contributions

Sources of Contribution	Type	Committed or Projected?*	Value, in local currency
1.			
2.			
Total			

* Write 'C' for committed and 'P' for projected funds

2.2. Projected Expenditures

Expenditure Category	Year 1, [local currency]	Year 2, [local currency]	Total, [local currency]	US$	% Total
1. Personnel/Labor					
2. Equipment/Materials					
3. Training/Seminars/ Travel/ Workshop					
4. Contracts					
5. Other costs**					
6. Incidentals					
7. Other support requested					
8. Contingency (5%)					
Total Project Cost					

** Specify here (category and cost):_____

Exchange Rate (local currency/US$): _____

Notes and Remarks:

2.3. Bank Details

Provide information on any of the Organization's bank account. Upon being successful, a separate bank account would have to be opened for handling of grant funds — No combining of funds is allowed in UNDP.

Account Name :_____
Type (current, savings, etc.) :_____
Account Number :_____
Branch/Service Center :_____
Bank Name & Address :_____

3. MAKING A GRANT APPLICATION

National and local NGOs and CBOs may propose projects for grant support, with procedures for project proposal screening and approval are generally as follows:

1. The project proponent contacts UNDP Coordinator to receive project application guidelines.
2. The project proponent prepares a project concept paper and submits it to UNDP. UNDP reviews and approves concept paper.
3. Approved concept paper is developed into a full proposal by project proponent, who later submits it to UNDP.
4. Submitted proposal is then appraised and reviewed.
5. UNDP reviews the proposal and agrees to accept, reject or return it to the proponent with a request that further work be done to refine the project proposal.

Grants are usually paid in three or four installments.

9.3. Multistakeholder Forestry Programme (MFP) Indonesia Proposal Summary Template

GRANT PROPOSAL FORM

I. GRANT APPLICANT

1. Name of grant applicant
   (please write down abbreviations, if there is one)

2. Address of grant applicant
   (please write down official address and mailing address)

Official address:

Mailing address:

3. Registration Number/Taxpayer Number (NPWP)
   (if there is one)

4. Telephone

5. Fax

6. E-mail

7. Website

8. Principal Officer

II. PROJECT INFORMATION

1. Title of proposed project

2. Project location and duration

   Location: [city/regency], [province]
   Duration: months, from [month] [year] to [month] [year]

3. Summary of Budget

Total budget	(local currency)	(100%)
✓ Proposed amount	(local currency)	(%)
✓ Grant applicant contribution	(local currency)	(%)

4. *OPTIONAL: Partners involved in the project - Use as necessary*
(please write down all partner organizations involved in the project; add lines as necessary)

Name Of Partner	Role In The Project	Contact Information
		Official address: Telephone and fax: E-mail: Principal officer:
		Official address: Telephone and fax: E-mail: Principal officer:

III. STATEMENT OF RESPONSIBILITY

I, the undersigned, hereby agree to accept full responsibility for the organization applying grant for the project, warrants that the information in this grant proposal is true and accurate.

First name and surname:	
Title:	
Signature and stamp:	
Date and time:	

A. Project Description

1. Project summary
(Please write down a brief summary on your project and the necessary background information; the summary should be 2 pages at maximum and should mention clearly what will be achieved by your project, also why and how the project will be implemented.)

2. Project objectives, activities, and results
(Please write down the information accurately and in detail, 5 pages at maximum.)
   a) How will the grant applicant fulfill the objectives in the RFA?
   b) What are the specific activities to be implemented?
   c) What are the specific, intended results from your project?

3. Strategy
   a) Explain what positive changes are expected from the project (e.g., change in people's life, government policy, people's behavior, attitude, and belief.)
   b) Clarify why such changes are important.
   c) Explain how the project will create the intended positive changes.
   d) Mention the time period for project implementation, including time period for each intended target/change.

4. Related issues
   ✓ Will the project address/respond to other important issues, including:
      a) gender/women's rights issue how will women and men be involved in the project? Is there any difference in the project benefit/impact to each gender?
      b) issues related to disability or other inability can disability be involved in and receive benefit from the project?
      c) climate change/disaster risk reduction issue; and other issues related to environment.
   ✓ Explain if there are any other important issues to be addressed in the project.

5. Grant beneficiaries
   a) How many people will directly feel the benefit of your project? Please explain details on those who will be the grant beneficiaries (e.g., age, gender, and other similarities).
   b) If suitable, please explain how you will fulfill the needs of youth, women, or other vulnerable groups.

6. Budget
   All applications should include a complete budget. See Section C for further details.

   Through this template, you can see sample of budget in Excel format that can be adjusted based on your project's needs.

   Please include detailed budget for the overall project duration, using the provided template in Annex 3.

7. Cost-sharing
   (Explain project cost-sharing in terms of type and value of contribution.)

   Cost-Sharing Contribution: Details on the cost-sharing proposed by your organization should be included. MFP3 highly encourages grantees from Indonesia to provide cost-matching.

   In-kind contribution is allowed as cost-sharing, including proportional time from the management and staff, office equipment, and other programmatic operational costs. Staff service cost is equal to those who are paid to do similar work in the grant applicant organization. The equipment value (i.e. computer) should not exceed the reasonable market price for the same lifetime and condition. The basis in determining the valuation of service, tools, and equipment should be documented in the grant application.

8. Monitoring and evaluation
   How would you know that the project is successfully implemented? What criteria will you use to measure your project achievement?
   (Please include the Monitoring and Evaluation plan also the tools you will use to monitor project activities and evaluate project results.)

9. Sustainability
   Explant how activities in your project can be sustained after funding ends. How will your project activities or results be sustained?

10. Activity schedule and project time management (work plan)
    (Please complete the work plan using the template provided in Annex 2.)

B. Project Team

Illustrated staff:

i) Communication outreach coordinator
ii) Campaign specialist
iii) Media outreach coordinator
iv) Additional field staff work depending on the research design and implementation, and will be decided by grant applicant.

All proposed staff should be fluent in Bahasa Indonesia.

Please include all project team members, including title, role, and brief description about the assigned responsibility. (Attach CV for several main personnel involved in the project, use the template in Annex 4; and attach salary history form that should be completed by all main personnel.)

C. Preparation Instruction Financial and Administrative Documents

1. Completed budget. All budget units should be clearly connected to specific project activities. Even though MFP3 will support organizational staff cost and operational cost needed to achieve project objectives, grant applicant should direct resources, in particular for project implementation, compared to the organization's operational cost. Sample of budget is attached in the template package. See budget form in Annex 3. Supporting information should be made available, according to needs, with sufficient details to enable comprehensive analysis towards each cost item.

2. Documentation that grant applicant has the ability to fulfill grant requirement by considering every existing commitment at the moment and commitment in the future from grant applicant. Grant applicant should display the ability to separate the fund received through grant awards from other activities in the organization. A separate bank account is needed when grant is awarded. (Documentation can include certificate from grant applicant's bank or previous grant awards, including type of funding, value, and client.)

D. Grant Applicant's Past Capability and Performance

1. Organization capability and resources
   Annual revenue for the last 3 years, write down the name(s) of your main financial contributor (if possible).

Year	Total Annual Revenue (In Rupiah)	Main Financial Contributor

Please explain various sources used by your organization, e.g. equipment and office.

2. Past performance
   Please explain three large projects at maximum where your organization was involved in the last three years using the table below.

a. Project title	
b. Duration (month)	
c. Year	
d. Location	
e. Role of your organization (leader, partners)	
f. Project objectives	
g. Project results	
h. Total budget (Rp)	
Source and type of funding (grant, contract, or others) Please include contact information for funding source.	

Annex 10
Guideline for Evaluation Questions

Evaluation Criteria	Evaluation Questions
Seven Fundamental Principles, Code of Conduct, PMI Strategic Plan	1. Did the project/program comply to/operate in line with the Seven Fundamental Principles of Red Cross, Code of Conduct, PMI Strategic Plan and policies, and other humanitarian standards?
Relevance and Accuracy/Suitability	1. To what extent the project/program can answer the need as well as priority of beneficiaries and stakeholders? 2. Was the project/program in line with programs or policies from the government or other organizations operating in the same area? 3. Was the project/program design based on need assessment and analysis and the right context? 4. Was the strategy or method or approach used in the project/program the most appropriate way to achieve the intended outcomes? 5. Where there other more appropriate strategies or methods or approaches in which similar outcomes could have been achieved? 6. How did the project/program design compare to similar projects/programs implemented by other organizations? 7. Are your project/program objectives and design still relevant for potential future phases of the project/program?
Effectiveness	1. Did the project/program achieve the intended outcomes? 2. Were there any positive or negative unintended outcomes? 3. What were the main factors that determined whether intended outcomes were or were not achieved? Which were under PMI control and which were not? 4. Were activities implemented as planned? 5. Were quality standards defined? Did activities achieve high level of quality in implementation? 6. Were activities/outputs generated on time? 7. Could the developed logframe provide clear guidance in implementing the project /program? 8. How was the quality of monitoring mechanism and plan built in monitoring the progress of project/program indicators?
Scope/Coverage	1. Compared to the initial plan, to what extent the project/program managed to reach beneficiaries? 2. Was there any difference felt/received by beneficiaries and other community members outside the project/program coverage? 3. Did project/program beneficiaries face any problem/difficulty in accessing project/program benefits/activities?

Evaluation Criteria	Evaluation Questions
	4. Were there any criteria in selecting beneficiaries? If yes, were the criteria followed? 5. To what extent beneficiaries were involved/included in your project/program implementation? 6. How have gender and environmental or other important issues been taken into project consideration in making decision during the implementation phase?
Impact	1. What was the change resulted from the project /program? 2. Was there any wider or unintended impact beyond the project/program objectives? 3. Was there any unintended change? 4. Was there any contribution from other actors towards the changes occurred? How much was the contribution given from your project/program? 5. How does the project monitor beneficiary satisfaction, feedback, and complain mechanism?
Coherence	1. How did the project/program adjust or synchronize the design and objectives with the existing enabling environment? 2. To what extent the project/program was developed based on or adjusting to the previous or existing project/program experience? 3. Was there any partnership/collaboration established with PNSs, community, other organizations, or the government? How did the project/program run coherently or in line with their programs?
Efficiency	1. How did the project/program compare to similar projects/programs run by other organizations, in terms of cost per beneficiary served? 2. Were outputs generated economically? Was there any other method with lower costs? 4. Were there any noticeable, verifiable instances of waste or inefficiency?
Sustainability and Connectedness	1. How sustainable were the outcomes of the project/program? 2. What are the main factors that affect, either positively or negatively, the sustainability of project/program outcomes? 3. Was there any policy that supports the sustainability of project/program results? 4. Do beneficiaries and implementing partners have sufficient technical skills and funding to maintain project/program results after donor support ends? 5. What exit strategies were incorporated into project/program design? Were such strategies implemented? If yes, to what extent did they contribute to project/program sustainability? 6. What lessons learned can be taken from project/program implementation? 7. How likely is it to expand or replicate project/program after donor support ends?

Annex 11
Red Cross and Red Crescent

The Fundamental Principles of the International Red Cross and Red Crescent Movement

Humanity
The International Red Cross and Red Crescent Movement, born of a desire to bring assistance without discrimination to the wounded on the battlefield, endeavors, in its international and national capacity, to prevent and alleviate human suffering wherever it may be found. Its purpose is to protect life and health and to ensure respect for the human being. It promotes mutual understanding, friendship, cooperation and lasting peace amongst all peoples.

Neutrality
In order to enjoy the confidence of all, the Movement may not take sides in hostilities or engage at any time in controversies of a political, racial, religious or ideological nature.

Impartiality
It makes no discrimination as to nationality, race, religious beliefs, class or political opinions. It endeavors to relieve the suffering of individuals, being guided solely by their needs, and to give priority to the most urgent cases of distress

Independence
The Movement is independent. The National Societies, while auxiliaries in the humanitarian services of their governments and subject to the laws of their respective countries, must always maintain their autonomy so that they may be able at all times to act in accordance with the principles of the Movement.

Voluntary service
It is a voluntary relief movement not prompted in any manner by desire for gain.

Unity
There can be only one Red Cross or Red Crescent Society in any one country. It must be open to all. It must carry on its humanitarian work throughout its territory.

Universality
The International Red Cross and Red Crescent Movement, in which all societies have equal status and share equal responsibilities and duties in helping each other, is worldwide.

The Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief

Principles of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Response Programs.

1. The humanitarian imperative comes first.
2. Aid is given regardless of the race, creed or nationality of the recipients and without adverse distinction of any kind. Aid priorities are calculated on the basis of need alone.
3. Aid will not be used to further a particular political or religious standpoint.
4. We shall endeavor not to act as instruments of government foreign policy.
5. We shall respect culture and custom
6. We shall attempt to build disaster response on local capacities.
7. Ways shall be found to involve program beneficiaries in the management of relief aid.
8. Relief aid must strive to reduce future vulnerabilities to disaster as well as meeting basic needs.
9. We hold ourselves accountable to both those we seek to assist and those from whom we accept resources.
10. In our information, publicity and advertising activities, we shall recognize disaster victims as dignified human beings, not hopeless objects.

The Code of Conduct for The International Red Cross and Red Crescent Movement and NGOs in Disaster Relief, was developed and agreed upon by eight of the world's largest disaster response agencies in the summer of 1994.

The Code of Conduct, like most professional codes, is a voluntary one. It lays down ten points of principle which all humanitarian actors should adhere to in their disaster response work, and goes on to describe the relationships that agencies working in disasters should seek with donor governments, host governments and the UN system.

The code is self-policing. There is as yet no international association for disaster-response NGOs which possesses any authority to sanction its members. The Code of Conduct continues to be used by the International Federation to monitor its own standards of relief delivery and to encourage other agencies to set similar standards.

It is hoped that humanitarian actors around the world will commit themselves publicly to the code by becoming a signatory and by abiding by its principles. Governments and donor organizations may want to use the code as a yardstick against which to measure the conduct of those agencies with which they work. Disaster-affected communities have a right to expect that those who assist them measure up to these standards.

Safer Access Framework (Guideline for Security and Safety)

Elemen Safer Access	Actions and measures
Context and Risk Assessment National Societies have a clear understanding on the interlinked political, social, cultural and economic aspects of the evolving operational environment and the inherent risks, which forms the basis for preventing and managing those risks.	✓ Understand the similarities and differences between preparing for and responding in sensitive and insecure contexts and in disasters. ✓ Explore and analyze emerging political, social, cultural and economic trends that could influence humanitarian action and use knowledge to guide preparedness and response. ✓ Develop and maintain a continually evolving context assessment to better understand the context and needs. ✓ Conduct an ongoing risk assessment. ✓ Assess and develop the National Society's capacity and ability to manage identified risks. ✓ Develop and refine a contingency plan which builds on community preparedness and takes account of specific anticipated scenarios.
Legal and Policy Base National Societies have sound legal and statutory instruments and develop policies that provide a basis from which to carry out their humanitarian mandate and roles in conformity with Movement policies, international humanitarian law (IHL) and domestic legislation.	✓ Know the relevant provisions of international humanitarian law and domestic legislation in order to determine how best to carry out the National Society mandate. ✓ Develop and strengthen domestic legislation, statutes, policies, agreements and plans to reinforce the National Society mandate to respond in sensitive and insecure contexts. ✓ Promote a common understanding among internal and external stakeholders of the National Society mandate, its status within the Movement, its auxiliary role and its commitment to act in accordance with the Fundamental Principle. ✓ Know and respect the legal base and mandates of other Movement components and establish a strong Movement coordination framework. ✓ Ensure that domestic legislation regulating the use of the emblem, National Society logo and name exists, is known, respected and enforced. ✓ Know and incorporate relevant Movement policies into National Society policies, strategies, programmes, operations and security risk management systems, tools, training and practice.

Elemen Safer Access	Actions and measures
Acceptance of the Organization National Societies have attained a high degree of acceptance among key stakeholders by providing relevant, context-sensitive humanitarian assistance and protection for people and communities sin a manner consistent with the Fundamental Principles and other Movement policies.	✓ Develop and provide relevant humanitarian programmes and activities, working closely with communities, throughout the country. ✓ Establish and implement strong human resource management practices to reinforce acceptance, security and access. ✓ Engage in ongoing dialogue with State bodies to ensure that they understand the importance and value of the National Society as a neutral, impartial and independent humanitarian organization. ✓ Develop and use appropriate context-sensitive response approaches (i.e. do no harm), grounded in the context and risk assessment. ✓ Know and apply the Fundamental Principles to guide thought processes, communication, decision-making and practice. ✓ Identify and map all stakeholders and develop engagement strategies to increase acceptance by them. ✓ Foster trust, respect and accountability with all stakeholders through active acceptance and positioning strategies. ✓ Establish mechanisms to guide the formation of partnerships and ensure they are consistent with Movement policy thus preserving neutrality, impartiality and independence. ✓ Establish and implement a reputation risk management system. ✓ Establish and implement an integrity management system. ✓ Establish and implement a distinct and recognized visual identity system.
Acceptance of the Individual Staff and volunteers have attained a high degree of acceptance among key stakeholders by working in a manner consistent with the Fundamental Principles and other Movement policies.	✓ Screen and select personnel to increase acceptance and security for them and the National Society. ✓ Staff and volunteers act in conformity with the code of conduct and Fundamental Principles, thus preserving their own and the National Society's positive reputation. ✓ Provide adequate preparatory training, mentoring, guidance and protection. ✓ Staff and volunteers understand their personal responsibility towards their own security and access and take or suggest appropriate actions. ✓ Establish working terms and conditions, systems and procedures to ensure adequate support.

Elemen Safer Access	Actions and measures
	✓ Establish compliance systems related to policies, guidelines, standard operating procedures and practice. ✓ Establish a stress management (psychosocial) support system for staff and volunteers. ✓ Staff and volunteers know how to monitor their stress levels; apply this knowledge in practice; they know how to access the Society's stress management support system.
Identification National Societies take all necessary steps to protect and promote the organization's visual identity and that of its staff and volunteers.	✓ Know the extent of and support the authorities in addressing emblem misuse. ✓ Promote knowledge of the functions of the emblems with key stakeholders. ✓ Take measures to ensure the National Society's visual identity is distinct from that of armed actors and of their medical services. ✓ Establish and implement internal guidelines and systems to support the correct use of the emblems/logos and to protect visual identity. ✓ Ensure that any joint display of identification with select partners remains exceptional and discreet and does not create confusion.
Internal Communication and Coordination National Societies implement well-developed internal communication and coordination strategies and mechanisms, which enhance coordination with other Movement components.	✓ Establish and implement an internal communication strategy and action plan supported by templates, tools, equipment and training. ✓ Establish internal communication systems, equipment and technology to reinforce the security of field teams. ✓ Establish and implement an information management system that captures key information on the context and its inherent risks. ✓ Develop and implement an internal operational management and coordination structure, system and processes (crisis management unit). ✓ Establish a strong Movement strategic and operational communication framework.
External Communication and Coordination National Societies implement well-developed external communication and coordination strategies and mechanisms, which enhance coordination with external actors.	✓ Establish and implement an external communication strategy and action plan, supported by templates, tools, equipment and training. ✓ Promote knowledge and acceptance of domestic legislation, statutes, policies, agreements and plans to key stakeholders. ✓ Promote the national implementation of international humanitarian law and support the public authorities in its dissemination to key stakeholders. ✓ Promote compliance with international humanitarian law with key stakeholders and advocate for the respect and protection of affected people and communities.

Elemen Safer Access	Upaya dan Tindakan yang perlu dilakukan
	✓ Establish, communicate and enforce a social networking policy and guidelines for staff and volunteers. ✓ Conduct regular, targeted operational communication among key stakeholders. ✓ Use online and electronic media to preserve the dignity of and to protect people and communities; harmonize with Movement partners. ✓ Participate in external operational coordination mechanisms in a way that preserves independence and confidentiality of information as required. ✓ Establish two-way communication mechanisms with affected people and communities.
Operational Security Risk Management National Societies assume responsibility and accountability for the safety and security of staff and volunteers by developing and implementing an operational security risk management system and structure.	✓ Establish and implement a safety and security policy. ✓ Build on community self-protection practices that contribute to safer response teams and communities. ✓ Establish an integrated operational security risk management system and structure in accordance with duty of care provisions, the application of the Fundamental Principles and other Movement policies. ✓ Provide regular training in operational security risk management. ✓ Foster a security culture among all staff and volunteers at all level. ✓ Provide adequate insurance coverage for staff and volunteers.

References

1. IFRC. 2010. ***IFRC Project/Program Planning Guidance Manual Guidance*** introducing analysis and a logical framework model for results-based project management.

2. IFRC. 2011. ***IFRC Monitoring and Evaluation Guide*** to promote a common understanding and reliable practice of M&E for IFRC projects/ programs

3. IFRC. 2011. ***IFRC Framework for Evaluation*** identifying the international criteria and standard, including ethical, by which IFRC secretariat-funded evaluations are to be planned, managed, conducted and utilized.

4. INSIDE NGO, ***2011. A Guide to the PMD Pro Project Management for Development Professionals***.

"A vision without a plan is just a dream.
A plan without a vision is an empty effort.
But a vision with a good plan can change the world."

PMER helps PMI to realize
PMI with strong characters, professional,
self-sufficient, and respected by communities.

Palang
Merah
Indonesia

Markas Pusat
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