

# Facilitator Guideline

## PMER Training

(Planning, Monitoring, Evaluation, and Reporting)

**PMER is Everybody's Business**  
PMER adalah tanggung jawab bersama

**Planning** Perencanaan **Failing to plan is planning to fail**  
gagal merencanakan = merencanakan kegagalan

**Monitoring**  
You can manage what you can measure  
Anda bisa mengelola apa yang bisa Anda ukur

**PMER Evaluation** Evaluasi  
What gets evaluated gets produced  
apa yang dievaluasi dapat dihasilkan

**Reporting**  
Your report should be useful to yourself first  
laporan Anda harus berguna untuk diri Anda terlebih dahulu

Assumption  
Performance  
Management  
Risk  
Project  
Indicators  
Activities  
Program Objectives

Supported by:



# PMER TRAINING SYLABUS

Topic	Sub Topic	Learning Objectives	Methods	Media	Duration	Reference
Introduction to Training	<ul style="list-style-type: none"> <li>a. Self-introduction and Expectation</li> <li>b. Training Background and Objectives</li> <li>c. Management Competency Assessment</li> <li>d. Training Material, Methods, &amp; Ground Rules</li> <li>e. RCRC Movement &amp; PMER-Related Policy</li> </ul>	<p>After this session, participants will:</p> <ul style="list-style-type: none"> <li>▪ Able to explain the background and objectives of training</li> <li>▪ Able to understand their level of knowledge and competencies</li> <li>▪ Familiar with the training material, methods, ground rules</li> <li>▪ Able to explain how PMER would help PMI to uphold its fundamental principles and organization policy</li> </ul>	<ul style="list-style-type: none"> <li>▪ Games</li> <li>▪ Manager competences self-assessment</li> <li>▪ Presentation</li> <li>▪ Discussion</li> <li>▪ Brainstorming</li> </ul>	<ul style="list-style-type: none"> <li>▪ LCD</li> <li>▪ Laptop</li> <li>▪ Marker</li> <li>▪ Flipchart paper</li> <li>▪ Manager competences checklist</li> </ul>	3 x 45'	<ul style="list-style-type: none"> <li>▪ PMER Reference Book</li> <li>▪ PMER Training facilitator guidelines, <a href="#">slide PPT # 1</a></li> </ul>
1. Introduction to Planning	<ul style="list-style-type: none"> <li>a. Planning Terminologies</li> <li>b. Project/Program Cycle &amp; Triangle Constraints</li> <li>c. Strategic Plan &amp; Operational Plan</li> <li>d. Levels and Process of Planning in PMI</li> <li>e. Getting Familiar with PMI Planning and Reporting Guideline</li> </ul>	<p>After this session, participants will be able to:</p> <ul style="list-style-type: none"> <li>▪ Remember planning terminologies</li> <li>▪ Identify project/program cycles/phases</li> <li>▪ Comprehend project/program's triangle constraints</li> <li>▪ Define Strategic Plan &amp; Operational Plan</li> <li>▪ Explain the interaction between phases of program/project cycle</li> <li>▪ Explain the implication of the triangle constraints with project/program management</li> <li>▪ Explain the systematics &amp; relations of strategic and operational plan</li> <li>▪ Explain the content of PMI Planning</li> </ul>	<ul style="list-style-type: none"> <li>▪ Presentation</li> <li>▪ Discussion</li> <li>▪ Brainstorming</li> <li>▪ Book review</li> </ul>	<ul style="list-style-type: none"> <li>▪ LCD</li> <li>▪ Laptop</li> <li>▪ Marker</li> <li>▪ Flipchart paper</li> </ul>	3 x 45'	<ul style="list-style-type: none"> <li>▪ PMI Planning and Reporting Guideline</li> <li>▪ PMER Reference Book</li> <li>▪ PMER Training facilitator guideline, <a href="#">slide PPT # 37</a></li> </ul>

Topic	Sub Topic	Learning Objectives	Methods	Media	Duration	Reference
		and Reporting Guideline <ul style="list-style-type: none"> <li>Use terminologies related to planning properly</li> </ul>				
2. Project/Program Identification.	a. Assessment	After this session, participants will be able to: <ul style="list-style-type: none"> <li>Define assessment</li> <li>Conduct assessment as basis to develop annual work plan</li> </ul>	<ul style="list-style-type: none"> <li>Presentation</li> <li>Discussion</li> <li>Brainstorming</li> </ul>	<ul style="list-style-type: none"> <li>LCD</li> <li>Laptop</li> <li>Marker</li> <li>Flipchart paper</li> </ul>	1 x 45'	<ul style="list-style-type: none"> <li>PMI Planning and Reporting Guideline</li> <li>PMER Reference Book</li> <li>PMER Training facilitator guideline, <a href="#">slide PPT # 67</a></li> <li>Case Study</li> </ul>
	b. SWOT Analysis	After this session, participants will be able to: <ul style="list-style-type: none"> <li>Define SWOT analysis</li> <li>Explain steps, key questions, methods, and how to conduct SWOT analysis</li> <li>Conduct SWOT Analysis as basis to develop annual work plan</li> </ul>	<ul style="list-style-type: none"> <li>Presentation</li> <li>Discussion</li> <li>Brainstorming</li> <li>Exercise</li> </ul>	<ul style="list-style-type: none"> <li>LCD</li> <li>Laptop</li> <li>Marker</li> <li>Flipchart paper</li> <li>SWOT Matrix</li> </ul>	1 x 45'	<ul style="list-style-type: none"> <li>PMI Planning and Reporting Guideline</li> <li>PMER Reference Book slide ppt # 73</li> <li>PMER Training facilitator guideline</li> <li>Case Study</li> </ul>
	c. Stakeholder Analysis	After this session, participants will be able to: <ul style="list-style-type: none"> <li>Define stakeholder analysis</li> <li>Explain steps, key questions, methods, and how to conduct stakeholder analysis</li> <li>Conduct stakeholder analysis as basis to develop annual work plan</li> </ul>	<ul style="list-style-type: none"> <li>Discussion</li> <li>Brainstorming</li> <li>Exercise</li> <li>Group work</li> <li>Exercise</li> </ul>	<ul style="list-style-type: none"> <li>LCD</li> <li>Laptop</li> <li>Marker</li> <li>Flipchart paper</li> <li>Stakeholder analysis matrix</li> </ul>	1 x 45'	<ul style="list-style-type: none"> <li>PMER Reference Book slide</li> <li>PMI Planning and Reporting Guideline, slide ppt # 77</li> <li>Case Study</li> </ul>
	d. Problem Analysis	After this session, participants will be able to: <ul style="list-style-type: none"> <li>Define problem analysis</li> <li>Explain steps, key questions,</li> </ul>	<ul style="list-style-type: none"> <li>Presentation</li> <li>Discussion</li> <li>Brainstorming</li> <li>Puzzle</li> </ul>	<ul style="list-style-type: none"> <li>LCD</li> <li>Laptop</li> <li>Marker</li> <li>Flipchart paper</li> </ul>	3 x 45'	<ul style="list-style-type: none"> <li>PMER Reference Book slide</li> <li>PMER training facilitator guideline,</li> </ul>

Topic	Sub Topic	Learning Objectives	Methods	Media	Duration	Reference
		<p>methods, and how to conduct problem analysis</p> <ul style="list-style-type: none"> <li>Conduct problem analysis as basis to develop annual work plan</li> </ul>	<ul style="list-style-type: none"> <li>Group work</li> <li>Exercise</li> </ul>	<ul style="list-style-type: none"> <li>Puzzle of problem tree</li> <li>Example of a problem tree</li> </ul>		<p>slide ppt # 84</p> <ul style="list-style-type: none"> <li>PMI Planning and Reporting Guideline,</li> <li>Case Study</li> </ul>
	e. Objective development and selection	<p>After this session, participants will be able to:</p> <ul style="list-style-type: none"> <li>Define objective analysis and selection.</li> <li>Explain steps, key questions, methods, and how to conduct objective analysis and selection</li> <li>Conduct objective analysis and selection as basis to develop annual work plan</li> </ul>	<ul style="list-style-type: none"> <li>Presentation</li> <li>Discussion</li> <li>Brainstorming</li> <li>Group work</li> <li>Exercise</li> </ul>	<ul style="list-style-type: none"> <li>LCD</li> <li>Laptop</li> <li>Marker</li> <li>Flipchart paper</li> <li>Example of an objective tree</li> </ul>	1 x 45'	<ul style="list-style-type: none"> <li>PMER Reference Book slide</li> <li>PMER training facilitator guideline, slide ppt # 96</li> <li>PMI Planning and Reporting Guideline,</li> <li>Case Study</li> </ul>
3. Project/Program Design	<p>a. Logical framework</p> <p>b. Project/program work plan or proposal</p>	<p>After this session, participants will be able to:</p> <ul style="list-style-type: none"> <li>Define: <ul style="list-style-type: none"> <li>Goal/strategic objective</li> <li>Outcome</li> <li>Output</li> <li>Activity</li> <li>Input</li> <li>Indicator</li> </ul> </li> <li>Define the logframe's elements (objective, indicator, means of verification, assumption).</li> <li>Explain the horizontal/vertical logical relationship of a logframe from goal/strategic objective, outcome, output, activity, input, and assumption</li> </ul>	<ul style="list-style-type: none"> <li>Presentation</li> <li>Discussion</li> <li>Brainstorming</li> <li>Puzzle</li> <li>Group work</li> <li>Gallery walk</li> <li>Exercise</li> </ul>	<ul style="list-style-type: none"> <li>LCD</li> <li>Laptop</li> <li>Marker</li> <li>Flipchart paper</li> <li>Logframe Puzzle</li> <li>Blank Logframe Matrix</li> <li>Annual work plan format</li> </ul>	11 x 45'	<ul style="list-style-type: none"> <li>PMER Reference Book slide</li> <li>PMER training facilitator guideline, <a href="#">slide ppt # 114</a></li> <li>PMI Planning and Reporting Guideline</li> <li>Logframe definition matrix</li> <li>Example of Logframe matrix</li> <li>Example of a proposal</li> </ul>

Topic	Sub Topic	Learning Objectives	Methods	Media	Duration	Reference
		<ul style="list-style-type: none"> <li>▪ Explain the importance of project/program scope identification and how to do it.</li> <li>▪ Explain the purpose and methods of budget development</li> <li>▪ Develop a logical and complete annual work plan, including its budget according to the PMI Planning and Reporting Guideline</li> </ul>				
4. Project/Program Set Up	a. Management Structure b. Project/program Charter c. Project/program launching	After this session, participants will be able to: <ul style="list-style-type: none"> <li>▪ Explain the purpose of Project/Program Set Up</li> <li>▪ Explain Project/Program Management Structure</li> <li>▪ Explain the purpose of Project/Program launching</li> <li>▪ Explain the content of Project/Program Charter</li> <li>▪ Explain the important Project/Program Management Structure.</li> <li>▪ Explain the link between project/program tolerance with Management Structure</li> <li>▪ Develop project/program charter</li> <li>▪ Design and prepare project/program launching</li> </ul>	<ul style="list-style-type: none"> <li>▪ Presentation</li> <li>▪ Discussion</li> <li>▪ Brainstorming</li> <li>▪ Exercise</li> </ul>	<ul style="list-style-type: none"> <li>▪ LCD</li> <li>▪ Laptop</li> <li>▪ Marker</li> <li>▪ Flipchart paper</li> </ul>	1 x 45'	<ul style="list-style-type: none"> <li>▪ PMER Reference Book slide</li> <li>▪ PMER training facilitator guideline, <a href="#">slide ppt # 177</a></li> <li>▪ Example of a project/program charter</li> </ul>
5. Project/Program Implementation Planning.	a. Finalizing project/program scope b. Sequencing Activities c. Estimating duration of	After this session, participants will be able to: <ul style="list-style-type: none"> <li>▪ Define the differences between Proposal/Work Plan with Detail Implementation Plan</li> </ul>	<ul style="list-style-type: none"> <li>▪ Presentation</li> <li>▪ Discussion</li> <li>▪ Brainstorming</li> <li>▪ Group work</li> </ul>	<ul style="list-style-type: none"> <li>▪ LCD</li> <li>▪ Laptop</li> <li>▪ Marker</li> <li>▪ Flipchart paper</li> </ul>	3 x 45'	<ul style="list-style-type: none"> <li>▪ PMER Reference Book slide</li> <li>▪ PMER training facilitator guideline, <a href="#">slide ppt # 182</a></li> </ul>

Topic	Sub Topic	Learning Objectives	Methods	Media	Duration	Reference
	<p>implementation</p> <p>d. Develop detailed implementation schedule</p> <p>e. Finalizing detailed budget</p>	<ul style="list-style-type: none"> <li>▪ Define project/program management principles</li> <li>▪ Define work breakdown structures, activity sequence; duration estimation, resources, and scheduling</li> <li>▪ Explain why scope management is needed</li> <li>▪ Explain the formats to decompose works (WBS)</li> <li>▪ Develop a detailed implementation plan of their annual work plan (including the schedule and its budget) to be used as implementation guideline</li> </ul>	<ul style="list-style-type: none"> <li>▪ Exercise</li> </ul>			<ul style="list-style-type: none"> <li>▪ Example of WBS</li> <li>▪ Example of WBS with duration and activity sequence</li> <li>▪ Example of a Gantt Chart</li> <li>▪ Example of detail budget</li> </ul>
6. Project/Program Implementation	<p>a. Time management</p> <p>b. Human resources management</p> <p>c. Finance management</p> <p>d. Stakeholder management</p> <p>e. Logistics management</p> <p>f. Asset management</p> <p>g. Risk management</p> <p>h. Issue management</p>	<p>After this session participants will be able to:</p> <ul style="list-style-type: none"> <li>▪ Define time, risks, issue management</li> <li>▪ Mention concrete activities to manage human resources</li> <li>▪ Define time logistic and asset management</li> <li>▪ Explain ways and methods to manage time, risks, issue</li> <li>▪ Explain activities to manage human resources, asset and finance</li> <li>▪ Implement good time management</li> <li>▪ Use risk log and issue log</li> <li>▪ Develop an action plan to improve the human resources, asset, and finance management</li> </ul>	<ul style="list-style-type: none"> <li>▪ Presentation</li> <li>▪ Discussion</li> <li>▪ Brainstorming</li> <li>▪ Group work</li> <li>▪ Exercise</li> <li>▪ Gallery walk</li> </ul>	<ul style="list-style-type: none"> <li>▪ LCD</li> <li>▪ Laptop</li> <li>▪ Marker</li> <li>▪ Flipchart paper</li> </ul>	3 x 45'	<ul style="list-style-type: none"> <li>▪ PMER Reference Book slide</li> <li>▪ PMER training facilitator guideline, <a href="#">slide ppt # 218</a></li> <li>▪ Issue log</li> <li>▪ Example of staff performance appraisal</li> <li>▪ Example of asset inventory</li> <li>▪ Example of financial reporting and authorization mechanism.</li> </ul>

Topic	Sub Topic	Learning Objectives	Methods	Media	Duration	Reference
7. Monitoring, Evaluation and Reporting	a. Introduction to M&E b. Project/program M&E steps c. Introduction to ITT	<p>After this session, participants will be able to:</p> <ul style="list-style-type: none"> <li>▪ Define Monitoring, Evaluation, Audit, Baseline, dan Endline</li> <li>▪ Mention the steps to develop program/project M&amp;E system</li> <li>▪ Explain the function, differences and relation between Monitoring, Evaluation, Audit, Baseline, dan Endline.</li> <li>▪ Explain the types of monitoring and evaluation.</li> <li>▪ Explain the criteria, ethics, standard in M&amp;E</li> <li>▪ Identify needs for information, data collection methods, data management, information visualization, ITT</li> <li>▪ Plan and conduct M&amp;E activities for their program/work plan</li> </ul>	<ul style="list-style-type: none"> <li>▪ Presentation</li> <li>▪ Quiz</li> <li>▪ Discussion</li> <li>▪ Brainstorming</li> <li>▪ Sharing experience in couple</li> <li>▪ Exercise</li> <li>▪ Gallery walk</li> </ul>	<ul style="list-style-type: none"> <li>▪ LCD</li> <li>▪ Laptop</li> <li>▪ Marker</li> <li>▪ Flipchart paper</li> <li>▪ ITT form</li> </ul>	5 x 45'	<ul style="list-style-type: none"> <li>▪ PMER Reference Book slide</li> <li>▪ PMER training facilitator guideline, <a href="#">slide ppt # 224</a></li> <li>▪ ITT quiz</li> </ul>
	d. Developing a useful report	<p>After this session, participants will be able to:</p> <ul style="list-style-type: none"> <li>▪ Explain the purpose and benefits of reporting</li> <li>▪ Mention types of reporting</li> <li>▪ Mention the content and format of PMI reporting form.</li> <li>▪ Explain how information needs affecting reporting format and frequencies</li> <li>▪ Explain how to develop an interesting and easy-to-read report</li> <li>▪ Develop report in accordance with</li> </ul>	<ul style="list-style-type: none"> <li>▪ Presentation</li> <li>▪ Quiz</li> <li>▪ Discussion</li> <li>▪ Brainstorming</li> <li>▪ Sharing experience in couple</li> <li>▪ Exercise</li> </ul>	<ul style="list-style-type: none"> <li>▪ LCD</li> <li>▪ Laptop</li> <li>▪ Marker</li> <li>▪ Flipchart paper</li> </ul>	5 x 45'	<ul style="list-style-type: none"> <li>▪ PMER Reference Book slide</li> <li>▪ PMER training facilitator guideline, <a href="#">slide ppt # 320</a></li> <li>▪ Example of a poor report</li> <li>▪ Example of a good report</li> </ul>

Topic	Sub Topic	Learning Objectives	Methods	Media	Duration	Reference
		PMI Planning and reporting Guideline <ul style="list-style-type: none"> <li>Develop external report</li> </ul>				
8. Project/Program Transition/Closure	Project/program closure	After this session, participants will be able to: <ul style="list-style-type: none"> <li>Mention and explain the steps of project/program closure</li> <li>Close a project/program properly</li> </ul>	<ul style="list-style-type: none"> <li>Presentation</li> <li>Discussion</li> <li>Sharing experience in couple</li> </ul>	<ul style="list-style-type: none"> <li>LCD</li> <li>Laptop</li> <li>Marker</li> <li>Flipchart paper</li> </ul>	1 x 45'	<ul style="list-style-type: none"> <li>PMER Reference Book slide</li> <li>PMER training facilitator guideline, <a href="#">slide ppt # 349</a></li> </ul>
9. Evaluation to knowledge and skills improvement	a. Pre-test b. Post-test c. Daily review d. Final review	After this session, facilitators and participants will be able to: <ul style="list-style-type: none"> <li>Identify knowledge and skills improvement before and after training</li> </ul>	<ul style="list-style-type: none"> <li>Quiz</li> <li>Test</li> </ul>	<ul style="list-style-type: none"> <li>LCD</li> <li>Laptop</li> </ul>	6 x 45'	<ul style="list-style-type: none"> <li>Pre-test form</li> <li>Post-test form</li> <li>Quiz</li> <li>PMER training facilitator guideline, <a href="#">slide ppt # 366</a></li> </ul>
10. Post-Training Action Plan					1 x 45'	N/A
					<b>Total</b>	<b>52 X 45'</b>

## PMER Training Schedule

Time	Day 1	Day 2	Day 3	Day 4	Day 5	Day 6	
08.00 - 08.45	<b>Check-in</b>	<b>Daily Review and Test</b>					<b>Check-out</b>
08.45-09.30		<b>1. Introduction to Planning</b> a. Planning terminologies b. Cycle & triangle constraints c. Strategic Plan and Operational Plan d. Planning levels	Presentation and feedback to objective analysis and selection exercise results.	<b>4. Project/Program Set Up</b>	<b>Reporting</b>		
09.30 - 10.15		<b>Introduction to Planning continued</b> e. Getting familiar with PMI 2014-2019 Strategic Plan and Operational Plan	<b>3. Project/Program design/logframe</b> a. Objective b. Assumption	<b>5. Implementation Planning</b> a. Finalizing Scope b. Sequencing activities	Getting familiar with PMI Planning and Reporting Guideline (particularly reporting section)		
10.15 - 10.30		<b>Coffee Break</b>					
10.30 - 11.15		<b>Introduction to Planning continued</b> e. Getting familiar with PMI 2014-2019 Strategic Plan and Operational Plan	Exercise: arranging <i>puzzle</i> of objective and assumption statements	<b>Implementation Planning continued:</b> c. Estimating Duration d. Developing Schedule e. Finalizing Budget	Exercise on Report Writing a. Activity report b. Monthly report c. Quarterly report		
11.15 - 12.00		<b>2. Project/Program Identification:</b> a. Assessment b. SWOT Analysis c. Stakeholder Analysis	<b>Project/Program design/logframe continued</b> c. Indicator d. Means of Verification	Exercise on Project/Program Implementation Planning			
12.00 - 13.00		<b>Break and Lunch</b>					
13.00 - 13.45		Exercise on SWOT Analysis	Exercise: arranging puzzle of Indicators and Means of Verification statements	<b>6. Project/Program Implementation:</b> a. Time management b. Human Resources management c. Financial management d. Stakeholder management	Presentation and feedback to report writing exercise results		
13.45 - 14.15		Presentation and feedback to SWOT Analysis exercise results	Exercise: developing a Logframe based on the result of objective analysis and selection	<b>Project/Program Implementation continued:</b> e. Logistics management f. Asset management g. Risk management h. Issue management	<b>8. Project/Program Transition/Closure</b>		
14.15 - 15.00		Project/Program Identification: d. Problem Analysis		Exercise on Implementation session	Review for Session 1-8		
15.00 - 15.45		Exercise on Problem Analysis: a. Arranging <i>puzzle</i> of problem statements	Presentation and <i>feedback</i> to Logframe exercise result	<b>7. Monitoring &amp; Evaluation (M&amp;E)</b> a. Introduction to M&E	Post-test		
15.45 - 16.15		<b>Coffee break</b>					
16.15 - 17.00		Opening ceremony (by PMI Chapter Board Members) and <i>Pre-test</i>	Exercise on Problem Analysis continued: b. Problem Analysis based on the given scenario	Developing a work plan/proposal	Exercise on M&E Introduction session	Post-Training Action Plan	
17.00 - 17.45		Introduction to Training a. Self-Introduction b. Training background and objectives c. Competence assessment	Project/Program Identification: d. Objective Analysis e. Objective Selection	Exercise: Developing a work plan/proposal : a. Identifying project/program scope and develop budget	M&E continued b. M&E steps	Closing	
17.45 - 19.30	<b>Break and Dinner</b>						
19.30 - 20.15	Introduction to Training continued d. Training Material, methods, and ground rules e. RCRC & PMER policy	Exercise on Objective Analysis a. Transforming problem statement (puzzle) into objective statement.	Developing Logframe and project/program scope into annual work plan format in accordance with PMI Planning and Reporting Guideline	Exercise on M&E Steps	Evening event to build commitment to implement PMER in PMI Office.		
20.15 - 21.00		Exercise on Objective Analysis: a. Objective Analysis based on the given scenario on problem analysis result b. Objective Selection	Presentation of group work result (annual work plan that have been developed)	M&E continued c. Indicator Tracking Table and Exercise to fill ITT			
20.30 - 21.15							

# Introduction to Training Session

To [Introduction to Planning Session](#) - [Identification Session](#) - [Design Session](#) - [Set Up Session](#) - [Implementation Planning Session](#) - [Implementation Session](#) - [M&E and Reporting Session](#) - [Transition/Closure Session](#)

## Important messages for facilitators:

- As there is a saying, “**first impression is critical**”. Hence, this first session is important. Therefore, facilitators need to creatively and attractively lead this session to motivate and encourage all training participants.
- In this session, all facilitators should welcome all participants warmly.
- Each of the participants is given one ID or PIN number to be used during pre-test, self-competence assessment, and post-test. The result should be put into the provided excel spreadsheet, to be presented in the automatically generated chart.
- If the training ground rules have been agreed, therefore training norms should not be necessarily discussed.

 <h2>Welcome to PMER Training</h2> <p><b>PMER is Everybody's Business</b> PMER adalah tanggung jawab bersama</p> <p><b>Planning</b> Perencanaan <b>Failing to plan is planning to fail</b> gagal merencanakan a merencanakan kegagalan</p> <p><b>Monitoring</b> You can manage what you can measure Anda bisa mengelola apa yang bisa Anda ukur</p> <p><b>PMER Evaluation</b> Evaluasi What gets evaluated gets produced apa yang dievaluasi dapat dihasilkan</p> <p><b>Reporting</b> Pelaporan Your report should be useful to yourself first laporan Anda harus berguna untuk diri Anda terlebih dahulu</p> <p>Program Objectives</p> <p>1</p>	<p><b>(Welcoming participants warmly)</b></p> <p>Welcome to PMER Training:</p> <p>Planning, Monitoring, Evaluation, and Reporting. We really appreciate your interest and willingness to improve your knowledge and skill through this PMER Training.</p>
 <h2>Introduction to Training</h2> <ul style="list-style-type: none"> <li>✓ Self-introduction and Expectation</li> <li>✓ Training Background and Objectives</li> <li>✓ Management Competency Assessment</li> <li>✓ Training Material, Methods, &amp; Ground Rules</li> <li>✓ RCRC Movement &amp; PMER-Related Policy</li> </ul> <p>2</p>	<p><b>The topic for Introduction to Training Session</b></p> <p>During this session, this training will start by discussing ... <b>(Read all points in this slide).</b></p> <p>Ultimately, we hope that all of you can participate in the training <b>effectively</b> and supported by <b>conductive, participative, and constructive</b> learning environment.</p>

<div style="text-align: right;">  <span>Palang Merah Indonesia</span> </div> <h3>Introduction Session Objectives</h3> <ul style="list-style-type: none"> <li>1 Participants comprehend training <b>background and objective</b></li> <li>2 Participants identify their level of <b>knowledge &amp; competency</b></li> <li>3 Participants are familiar with the <b>training material, methods &amp; ground rules</b></li> <li>4 Participants comprehend how <b>PMER enables PMI</b> to uphold the <b>fundamental principles</b> of RCRC movement and <b>organization policy</b>.</li> </ul>	<h3>The objectives of Introduction to Training Session</h3> <p><b>(Ask a participant to read the points in this slide).</b></p> <p>This session will answer the question “what are you here for”. Therefore, this session is important to this training’s success.</p>
<div style="text-align: right;">  <span>Palang Merah Indonesia</span> </div> <h3>Introduction and Expectation</h3> 	<h3>Introduction and Expectation:</h3> <p>Please introduce yourself by mentioning:</p> <ul style="list-style-type: none"> <li>- Complete name,</li> <li>- Nickname,</li> <li>- Your PMI origin,</li> <li>- Title</li> <li>- Your expectation to this training</li> </ul> <p><b>(Provide clarification in case for any expectation that is not in line with the training objectives).</b></p>
<div style="text-align: right;">  <span>Palang Merah Indonesia</span> </div> <h3>Training Background</h3>  <p>How is the planning process in PMI?</p> <p>What reports are available?</p> <p>Is PMI able to be accountable/trust worthy?</p> <p>How can PMI compete?</p>	<h3>PMER Training Background.</h3> <p><b>(Ask participants to discuss within their group about PMER implementation in their respective office. In order to have a good discussion, ask the following four questions)</b></p> <ol style="list-style-type: none"> <li>1. Ever since your PMI Office existed in the world, how did the planning process take place?</li> <li>2. What reports are available in your office? What report does your office submit to PMI Chapter, and to partner/government?</li> <li>3. Nowadays, thousands of humanitarian organizations operate in Indonesia. What would make PMI able to compete with them?</li> <li>4. How can PMI be accountable and trusted by government, donor, community and other stakeholder?</li> </ol>

Palang Merah Indonesia

## Annual Meeting

-PMI organizational capacity assessment, 2012-

In 2012, only **60%** of 300 Branches, and **21 Chapters** conducted **Annual Meeting**

RB: 2

### Planning Process within Annual Meeting

Annual meeting is one of the organizational important **agenda written in PMI Statute**. Therefore, annual meeting should be consistently held every year in all PMI level.

While the facts, based on the organizational capacity assessment in 2013, revealed that: Only **60% of 300 PMI Branches**; **21 of 33 PMI Chapters** that conducted annual meeting for 2012.

Palang Merah Indonesia

## Annual Meeting

-PMI organizational capacity assessment, 2012-

When did Branches conduct Annual Planning?

17 % Oct-Dec '11	39 % January '12	19 % February '12	9 % Mar '12	31 % ≥ April '12
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40% conducted Annual Meeting in March/April/May in the ongoing year  
Meaning there's a **loss of 3-6 months** effective time of work plan implementation

RB: 2

### When did the 2012 annual meeting mostly take place?

From the 60% PMI Branches that reported to hold annual meeting for 2012, note the timing as follow:

- Only 17% held annual meeting in timely manner
- 39% in January 2012
- Even 40% held it in March/April and later.

It means, the Branch has lost its effective time! Also left behind the government planning mechanism.

Palang Merah Indonesia

## Consequences of untimely planning

1. Many Branches **did not conduct Annual Meeting**
2. **Loss of effective time** for implementation
3. Difficult to synergize **inter-level planning in PMI**
4. Behind the schedule for the Government Planning Mechanism, facing **challenges to secure funding**

RB: 2

### Consequences of untimely planning

**(Ask one of the participants to read all bullet points in this slide and give opportunity for additional opinions regarding the consequences).**

Palang Merah Indonesia

## Planning and the quality of its process

Percentage of PMI Branches that developed the 2012 work plan and the quality of the following elements (n=286)

Element	Percentage (%)
Strategic Objective	79
Outcome	64
Output	66
Indicator	78
Activities	89
Budget	88

88% PMI Branches have developed the 2012 work plan and 55% of them have engaged board members, staff, and volunteers within the process.

Only **54%** of them that did not fulfill the 6 compulsory elements in the work plan.

61% of them have indicators, but **not SMART yet.**

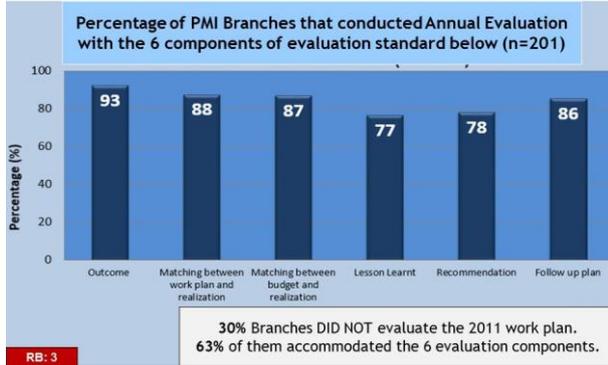
RB: 2

### Quality of Work Plan

Look at this slide!

- Within the process: **88% of PMI Branches reported that board members, staff, and volunteers were involved** during the 2012 work plan development.
- Quality wise, however, only **54% of PMI Branches have work plan consisted of objectives, outcome, activities and indicators.**
- If we look further to the indicators provided, **almost none of them met the standard requirement of an indicator, which is SMART.**

## Evaluation



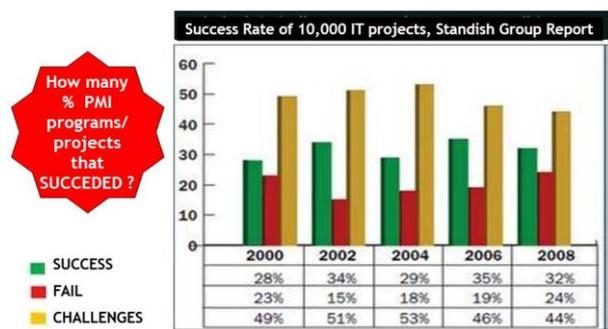
RB-3

## Evaluation of Work Plan

From the organizational capacity assessment, **30% of PMI Branches did not conduct any evaluation at all.** About 63% of PMI Branches reported they have conducted evaluation.

During the M&E session, you will know what are the **criteria** that will be assessed during an evaluation and the **principles and standards for evaluation**, hence you will understand whether your PMI have conducted **evaluation properly or not.**

## Why is PMER Training important?



RB-5

11

## Why is PMER Training needed?

This chart is a result of a study conducted by Standish Group who conducted a survey to over 10,000 Information Technology (IT) Projects in 2008. The findings are as follow:

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

An IT project is definitely not similar with projects/programs in PMI. In fact, PMI projects/programs are often more challenging and complex as they are very much related to promoting social changes, behavioral changes, economy, education and culture, which ultimately lead to improvements in **human well-beings.**

Furthermore, PMI development projects/programs 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.

## Why is PMER Training important?

What are the factors **causing** projects/programs to face **challenges or even fail** in its attempt to **pursue its intended objectives and results?**

RB-7

12

## Why is PMER Training needed?

During your time working in PMI or other organizations, what are the factors that potentially could make a project/program becomes challenging or even fails to achieve its intended objectives?

**(Ask 2-3 participants to give their answer).**

You are correct! I will show you the 9 main causes of why a project/program becomes challenging or even fails.

 <p><b>Why is PMER Training important?</b></p> <p>Example: Community needs <b>clean water facility</b>, but PMI provides <b>roofs for shelters</b>.</p> <p>Incorrect/inadequate understanding of need</p> <p>RB: 7</p>	<p>First, inadequate understanding to the real needs.</p> <p><b>(Read the example).</b></p>
 <p><b>Poor Program/Project design</b></p> <p>Example: Preparedness program design in <b>rural setting</b> is 100% adopted for <b>urban</b> preparedness program</p> <p>RB: 7</p>	<p>Second, poor project/program design; the objectives, outcomes, implementation strategies are not strong enough.</p> <p><b>(Read the example)</b></p>
 <p><b>Unrealistic expectations</b></p> <p>Example: Aiming to provide <b>permanent housing and jobs</b> for communities living in disaster prone areas.</p> <p>RB: 7</p>	<p>Third, unrealistic expectation, not in line with the capacity.</p> <p><b>(Read the example).</b></p>
 <p><b>Inadequate resources</b></p> <p>Example: Aiming to change healthy behavior in community, yet without sufficient health promotion <b>materials, educators</b>.</p> <p>RB: 7</p>	<p>Fourth, insufficient resources: materials; funds; human resources.</p> <p><b>(Read the example).</b></p>

<p>Palang Merah Indonesia</p>  <p><b>Project delays</b></p> <p>Example: Construction of <b>river dyke</b> was delayed until the flood season came and therefore unable to prevent <b>flooding</b>.</p> <p>RB: 7 17</p>	<p><b>Fifth</b>, delayed activity implementation so that even though the results are produced, however, it is not useful or relevant anymore.</p> <p>Delays could happen due to many causes, for instance delayed fund transfer, poor time management, or poor project/program management.</p> <p><b>(Read the example).</b></p>
<p>Palang Merah Indonesia</p>  <p><b>Natural disasters</b></p> <p>Example: <b>Natural disaster</b> changed PMI/community's priorities, needs; <b>system, infrastructure and human resources</b> are weakened, and therefore the project faces challenges to proceed.</p> <p>RB: 7 18</p>	<p><b>Sixth</b>, when a disaster occurs, often an organization must shift their priorities to provide response assistance.</p> <p><b>(Read the example).</b></p>
<p>Palang Merah Indonesia</p>  <p><b>Inadequate capacity</b></p> <p>Example:</p> <ul style="list-style-type: none"> <li>- Poor <b>HR</b> competency</li> <li>- Insufficient <b>fund</b></li> <li>- <b>System and mechanism</b> is not in place</li> </ul> <p>RB: 7 19</p>	<p><b>Seventh</b>, the implementing organization is not ready to run the project/program due to poor capacity.</p> <p><b>(Read the example).</b></p>
<p>Palang Merah Indonesia</p>  <p><b>Unrealistic Budget</b></p> <p>Example: Budget is too <b>high</b> or too <b>low</b></p> <p>RB: 7 20</p>	<p><b>Eighth</b>, project/program budget is unrealistic, either too low or too high. Such budget, either too high or too low, indicates poor planning process.</p> <p><b>(Read the example).</b></p>

  <p><b>Example:</b></p> <p>Poor <b>quality of materials</b> for shelter construction, as a result it is broken easily and <b>not fully functioned</b>.</p> <p><b>Low quality materials</b></p> <p>RB: 7 <span style="float: right;">21</span></p>	<p><b>Ninth</b>, poor quality, either input quality of implementation process quality.</p> <p>This will cause the result to not fully functioned or not sustainable.</p> <p><b>(Read the example).</b></p>
 <p><b>A large-well known NGO experienced the following things within a year:</b></p> <ul style="list-style-type: none"> <li>- <b>70 programs</b> were over budget by &gt;10%</li> <li>- <b>235 projects</b> were over budget by &gt;10%</li> </ul> <p>The total overspending was <b>£15million</b></p> <ul style="list-style-type: none"> <li>- By the end of the year, <b>89 projects</b> were <b>overdue</b>.</li> </ul>  <p>RB: 6 <span style="float: right;">22</span></p>	<p>One well-known international NGO, faced significant challenges in implementing its project/program in many parts of the world. Over a period of one year:</p> <ul style="list-style-type: none"> <li>- 70 programs overspent by more than 10%;</li> <li>- 235 projects overspent by more than 10%;</li> <li>- The amount of project overspending was over GBP 15,000,000 (IDR 300 billion).</li> <li>- At the end of the year, 89 projects had overdue milestones.</li> </ul>
 <p><b>PMI collaborates with a PNS:</b></p> <p>Out of <b>11 ongoing projects</b> in the recent 3 years, 6 projects only absorbed <b>&lt;50% of its budget</b> by the end of the project.</p> <p>All those 6 projects must be <b>extended for another 1-2 year</b>.</p>  <p>RB: 6 <span style="float: right;">23</span></p>	<p><b>What about PMI?</b></p> <p><b>(Read the example).</b></p> <p>PMI projects/programs are not easy works.</p> <p>PMI needs <b>competent head of office and staff</b> to manage PMI organization and its program in a more <b>PROFESSIONAL</b> manner.</p>
  <p><b>Training Objectives</b></p> <p>To improve <b>PMER COMPETENCY</b> among staff and Heads of Office in PMI at all level for them to be more <b>PROFESSIONAL</b> in managing the organization &amp; implementing its work plan</p> <p>RB: 8</p>	<p><b>PMER Training Objectives</b></p> <p>In order to be a modern organization that is able to compete, perform well, PMI needs to be more <b>professional!</b></p> <p>This training aims to improve the competency of Head of Office and Staff in PMI Headquarter, Chapters, and Branches in regards to Planning, Monitoring, Evaluation, and Reporting.</p> <p><b>PMER competency</b> is a <b>core capacity</b> to manage project/program as well as to run the organization effectively.</p>

<p style="text-align: right;">Palang Merah Indonesia</p> <h3 style="text-align: center;">Manager Competencies (Head of Office or Head of Division/Unit)</h3> <div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid green; padding: 5px; width: 60%;"> <p style="text-align: center; margin: 0;"><b>Technical</b></p> <ul style="list-style-type: none"> <li>✓ Developing objective-based work plan</li> <li>✓ Managing program scope (activities/products)</li> <li>✓ Managing implementation schedule</li> <li>✓ Identifying/managing program risks</li> <li>✓ Identifying/managing issues</li> <li>✓ Disseminating information/report</li> <li>✓ Establishing logistic/asset system</li> <li>✓ Ensuring the quality of results/product</li> <li>✓ Assessing progress of the program</li> </ul> </div> <div style="border: 1px solid blue; padding: 5px; width: 35%;"> <p style="text-align: center; margin: 0;"><b>Leadership/ Interpersonal</b></p> </div> </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div style="border: 1px solid blue; padding: 5px; width: 35%;"> <p style="text-align: center; margin: 0;"><b>Self Management</b></p> </div> <div style="border: 1px solid orange; padding: 5px; width: 35%;"> <p style="text-align: center; margin: 0;"><b>Development Sector</b></p> </div> </div> <p style="font-size: small;">RB-10 25</p>	<p><b>What competencies should be owned by a head of office/working unit?</b></p> <p>What competencies do you think are important for a head of office/working unit or a manager?</p> <p><b>(Ask participants to open the table on manager competencies in the reference book;</b></p> <p><b>Ask each group to read one area of competency)</b></p>
<p style="text-align: right;">Palang Merah Indonesia</p> <h3 style="text-align: center;">Manager Competency Self-Assessment</h3> <ul style="list-style-type: none"> <li>• Read each competency item</li> <li>• Assess yourself, where you are on each statement</li> <li>• Give score of 1, 2, 3, or 4; 4 = highest score, it means that the statement absolutely suits you.</li> </ul> <p style="text-align: right;">26</p>	<p><b>(Distribute Competency Self-Assessment Form to each participant and ask them to fill it out privately and anonymously. Read the instruction on this slide)</b></p> <p>When finished, sum up your score and write the total score in the right side/top of the form.</p>
<p style="text-align: right;">Palang Merah Indonesia</p> <h3 style="text-align: center;">Score Interpretation for Manager Competency Self-Assessment</h3> <ul style="list-style-type: none"> <li>• 95-112 → High/good competency</li> <li>• 85-95 → Competency needs to be improved</li> <li>• ≤84 → Insufficient competency, and really needs PMER Training 😊</li> </ul> <p style="text-align: right;">27</p>	<p>Look at your score!</p> <p>Then look at the score in this slide to interpret what your score means.</p> <p>While there are four areas of competency that a manager should have, we only focus on the technical competency during this training.</p> <p>Meanwhile, for other three remaining competencies, you will need to learn from other sources.</p>
<p style="text-align: right;">Palang Merah Indonesia</p> <h3 style="text-align: center;">Getting familiar with training materials and their utilization</h3> <div style="display: flex; justify-content: space-around; align-items: center;">    </div> <p style="text-align: right;">28</p>	<p><b>Getting familiar with the Training Materials</b></p> <ul style="list-style-type: none"> <li>- PMER Reference Book is adapted from IFRC's resources (Manual for Project/Program Planning; M&amp;E Guideline; Framework for Evaluation).</li> <li>- Planning and Reporting Guideline contains the Strategic Plan and Operational Plan for 2014-2019; mechanism/process/formats for planning and reporting.</li> <li>- Facilitator Guideline is a manual to facilitate PMER Training in order to ensure the standard quality wherever and whenever the training is held.</li> </ul>

## Adult Learning Method

- Lecture
- Discussion
- Study Case
- Practice/Exercise
- Sharing discussion results
- Gallery Walk
- Games

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## Adult Learning Method

PMER training uses the adult learning method. Facilitator will provide brief presentation, and then participants will proactively provide feedback or questions and respond to other questions. In addition, all participants are required to work effectively within their group and presenting the result to classroom.

## Training ground rules



- Be on time
- Fully concentrate
- Actively participate
- Cellphone/laptop is shut-down/non-active in class room
- Create conducive learning environment

*(Active listening, know the right time to speak, respect other participants)*

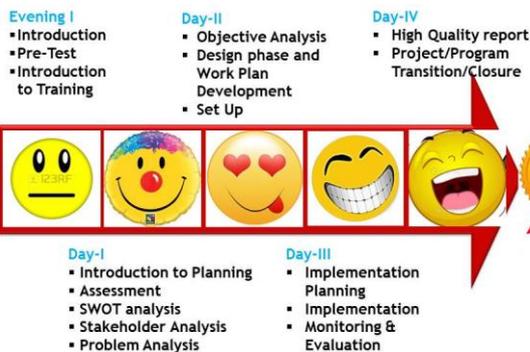
30

## Training Ground Rules

The success of a training depends on the participants' interest/willingness to learn. Nevertheless, we do need an agreed on the ground rules:

- Be on time
- Fully concentrate
- Actively participate
- Cellphone/laptop is shut-down/non-active in class room
- Create conducive learning environment; **active listening, know the right time to speak, respect other participants.**

## PMER Training Road Map



31

This slide describes the PMER Training Road Map.

**(Read each daily topic one by one).  
And then close with:**

At the beginning, you are probably curious with the training materials and about what you will obtain by the end of the training.

But, as the training goes along, with maximum participation and enthusiasm, you will experience things described in this slide, and at the end of the training you will get PMER Training certificate, and eventually will become one of the PMER experts!

## A glimpse of: Red Cross and Red Crescent Code of Conduct Policies related to PMER



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Before we start the PMER training topics, we will discuss the following 3 things:

1. **RCRC movement.** We will discuss how PMER knowledge and skills can help PMI to apply and uphold its seven fundamental principles.
2. **Code of Conduct** of the movement; ethics that should be maintained and obeyed when implementing a program/project.
3. **PMI Organizational Policies** related to PMER, such as Organizational Statute also Planning and Reporting Guideline.

<p style="text-align: right;">  Palang Merah Indonesia </p> <p>Discuss how the following principles are implemented or applied during program implementation in your office</p>  <p>RB: 269 <span style="float: right;">33</span></p>	<p><b>(Ask participants to open Reference Book page 270 and read the meaning of the seven RCRC fundamental principles).</b></p> <p>Give some examples on how you applied these seven principles when managing project/program or organization and its services.</p> <p>For example:</p> <ul style="list-style-type: none"> <li>- During the <b>planning process</b>, which principle that you apply? How do you apply it? <b>(Humanity and Neutrality or Impartiality)</b></li> <li>- When navigating the organizational functions in the midst of various <b>dynamics and political situation</b>, which principles were used? Give some examples. <b>(Independency and Neutrality)</b></li> <li>- When selecting the boards members or providing services to community, which principle you need to uphold? <b>(Volunteerism)</b></li> <li>- Provide other examples that you apply in your office.</li> </ul>
<p style="text-align: right;">  Palang Merah Indonesia </p> <p><b>CODE of CONDUCT for RCRC Movement</b></p> <ol style="list-style-type: none"> <li>1. <b>Humanitarian</b> imperative</li> <li>2. Priority based on <b>needs alone</b></li> <li>3. Not for <b>political/religion</b> standpoint</li> <li>4. Not 'used' by <b>government/foreign policy</b></li> <li>5. Respect local <b>culture/custom</b></li> </ol> <p>Discuss and provide examples on how you apply these codes of conduct in your office</p> <p>RB: 270 <span style="float: right;">34</span></p>	<p>Look at the Reference Book page 271 about RCRC Code of Conduct.</p> <p>Provide examples on how you uphold or obey the codes of conducts when managing an organization or program in your office.</p>
<p style="text-align: right;">  Palang Merah Indonesia </p> <p><b>CODE of CONDUCT for RCRC Movement</b></p> <ol style="list-style-type: none"> <li>6. Build on <b>local capacities</b></li> <li>7. <b>Involve</b> beneficiaries</li> <li>8. Reduce <b>long-term vulnerability</b></li> <li>9. Be accountable to <b>donors/beneficiaries</b></li> <li>10. Respect human <b>dignity</b></li> </ol> <p>Discuss and provide examples on how you apply these codes of conduct in your office</p> <p>RB: 270 <span style="float: right;">35</span></p>	<p>Next, the next five codes of conducts.</p> <p>Provide examples on how you uphold or obey the codes of conducts when managing an organization or program in your office.</p>

## Policies related to PMER

- **PMI Statute 2014-2019**

- ✓ Article 32 clause 6 section c;
- ✓ Article 33 clause 7 section c

- **Strategic Plan for 2014-2019**

- ✓ Vision "PMI demonstrates strong characters, is **professional**,...
- ✓ Strategic Objective 1 "To build a well-functioning PMI"

- **Operational Plan for 2015-2019**

- ✓ Strategic Objective 1, Outcome 1.3. "**PMI's PMER system is well-functioning at all levels**"

PRG: 4

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The PMER system development is a mandate written in the PMI Statute.

- Article 32 about planning and annual meeting in PMI at all level.
- Article 33 about planning based on PMI 2014-2019 Strategic Plan.

Strategic Plan:

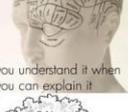
- PMER is essential in order to be professional (Vision).
- PMER contributes to achieve well-functioning PMI at all levels (Strategic Objective 1)

Operational Plan:

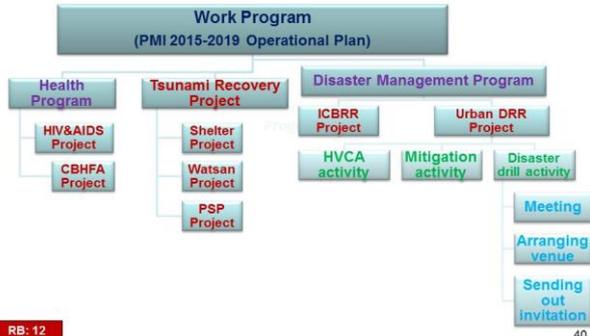
- PMER System is in place in PMI at all levels (Strategic Objective 1; Outcome 1.3.)

# Session 1 - Introduction to Planning

To [Introduction to Planning Session](#) - [Identification Session](#) - [Design Session](#) - [Set Up Session](#) - [Implementation Planning Session](#) - [Implementation Session](#) - [M&E and Reporting Session](#) - [Transition/Closure Session](#)

 <h2 style="text-align: center;">Session 1. INTRODUCTION TO PLANNING</h2> <div style="background-color: #c00000; color: white; padding: 10px;"> <p>1.1. Understanding <b>Terminologies</b></p> <p>1.2. Project/Program <b>Cycle &amp; Triangle Constraints</b></p> <p>1.3. <b>Strategic Plan &amp; Operational Plan</b></p> <p>1.4. <b>Levels and Process</b> of Planning in PMI</p> <p>1.5. <b>Getting Familiar with</b> PMI Planning and Reporting</p> <p style="text-align: center;">Guideline</p> </div> <p style="text-align: right;">37</p>	<p>We will start the first session of PMER Training, where we will discuss the following topics.</p> <p><b>(Read each point in this slide).</b></p> <p>This entire sub-topic is very important, as it is the foundation of planning.</p> <p>Through this session, you will be ready to learn and discuss further about PMER in details within the following session.</p>
 <h2 style="text-align: center;">Objectives of Session 1</h2> <div style="display: flex;"> <div style="flex: 1;">  <p><b>Participants are able to:</b></p> <ul style="list-style-type: none"> <li>▪ Remember planning <b>terminologies</b>.</li> <li>▪ Identify project/program <b>cycles/phases</b></li> <li>▪ Comprehend project/program's <b>triangle constraints</b></li> <li>▪ Define <b>Strategic Plan &amp; Operational Plan</b></li> </ul> </div> <div style="flex: 1;">  <p><b>Participants understand:</b></p> <ul style="list-style-type: none"> <li>▪ <b>The interaction</b> between phases of program/project cycle</li> <li>▪ <b>The implication</b> of the triangle constraints with project/program management</li> <li>▪ <b>The systematics &amp; relations</b> of strategic and operational plan</li> <li>▪ <b>The content</b> of PMI Planning and Reporting Guideline</li> </ul> </div> </div> <p>Participants are able to use terminologies related to planning properly.</p>  <p style="text-align: right;">38</p>	<p>The objectives of session 1:</p> <p><b>(Read this slide or as participants to read it. Encourage then to achieve this objective by the end of this session).</b></p>
 <h2 style="text-align: center;">Understanding Terminologies</h2> <div style="text-align: center;"> <p><b>Work Program (Strategic Plan and Operational Plan)</b></p>  </div> <p>RB: 12</p> <p style="text-align: right;">39</p>	<p>Understanding Terminologies</p> <p>How do you define a Program and a Project? What are the differences between them?</p> <p><b>(Afterwards, explain the following definition!)</b></p> <ul style="list-style-type: none"> <li>- <b>Program:</b> a set of <b>coordinated projects</b> implemented to meet specific objectives within defined time, cost and performance parameters.</li> <li>- <b>Project:</b> a set of <b>planned and coordinated activities</b> implemented to meet specific objectives within defined time, cost and performance parameters.</li> <li>- <b>Activity:</b> a <b>combination of several tasks</b> required to be done to deliver product/result/services. To be well implemented, an activity needs to be planned in detail</li> <li>- <b>Task:</b> the simplest actions that make up activities.</li> </ul>

## Understanding Terminologies



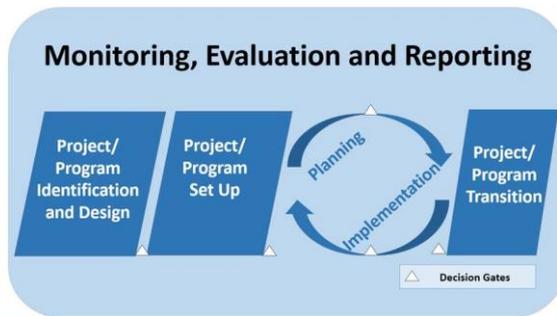
RB: 12

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## Understanding Terminologies

- For a clearer understanding, following are the examples :
- **Work Program based** on the Operational Plan for 2015-2019 that can be detailed into annual work plan.
  - **Health and Social Program**; Disaster Management Program; Organizational Development Program, etc.
  - **ICBRR Project**; Well-Prepared School Project; ABHFA Project; etc.
  - **DRT Training**, Health Promotion, Disaster Drill, etc.
  - **Task**: developing training materials, sending out the invitations, arranging the training venue, etc.

## Project/Program Cycle



RB: 15

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## Project/Program Cycle.

This cycle model/phase is adopted from PMD Pro Guideline developed by Inside-NGO (USAID). This model portrays a balanced and comprehensive project/program phase model that covers the entire life of project/program.

Look to this slide in a minute and I will ask you to explain it.

**(Afterwards, complete their answer with the following explanation. REMEMBER, do not be too detailed because in the following section you have an opportunity to discuss them thoroughly).**

**Identification Phase** - you identify and understand the current situation including issues, and its causes, needs, organizational SWOT analysis, stakeholder analysis, problem analysis, and objective analysis to address the problem and design a project/program.

**Project/Program Set Up** - the fund is secured, and then you need to set up a project/program by developing a Charter, establish management structure, and launch the project/program.

**Project/Program Planning** - Based on the initial proposal or work plan, the team will develop a detailed and comprehensive activity implementation plan. This plan covers the entire activities/works required for the project/program success.

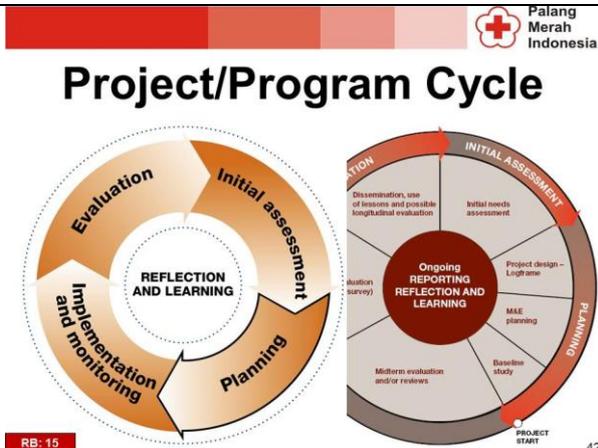
This planning is **not only done at once**, but iterative. It means that this work plan will be revisited periodically, and adjusted when needed.

**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; with the manager leading the team to complete activities, managing resource, stakeholders, dealing with risks and issues during the life of the project/program.

**Project/Program Monitoring and Evaluation -**  
**Monitoring** is a routine collection and analysis of information to track progress against the set plans and check compliance to the established standards, and it helps to identify trends and patterns, adapt strategies and inform decisions for project/program management. While **Evaluation** is “an assessment, as systematic and objective as possible, of an ongoing or completed project/program including policy, its design, relevance, and impact.”

**Project/Program Transition** - implementing all of 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.

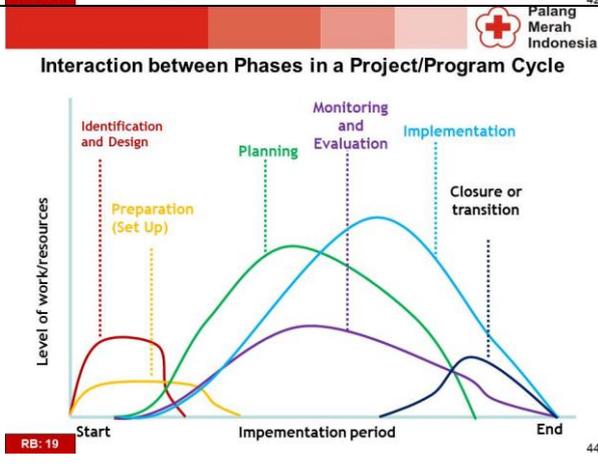
Note, in particular, the small triangles that appear in several places on the phase model. These are called ‘Decision Gates’. As project/program progresses through the six phases, the team must periodically make sure that the project/program is still contributing to the changes and producing the results 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 or even to stop the project/program.



Are you familiar with these diagrams as well? What is the difference between these diagrams with the previous ones?

Which one clearly helps you to see each project/program phase proportionally?

This diagram is similar with the previous one, yet the previous one describes all project/program phase more proportionally and clearer.



At a glance, the six-phase model gives the impression that these 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 are 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 arrives.

## Understanding project/program triangle constraints



RB: 20

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Look at this Diagram! Please tell us what this means to you!

Every project/program has constraints often called “Triple Constraints” which is explained further.

- **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?

Pay attention to the surrounding risks of the triangle, for instance the risk of over budget, delays and poor quality. It is the task of the 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 three basic classifications for the constraints are **inflexible (cannot be changed anytime; adaptable or negotiable, may concede** - indicates a constraint where trade-offs can be made in order to manage the inflexible constraint or optimize the adaptable constraint,

## Strategic Plan---Operational Plan--- Annual Work Plan



RB: 24

45

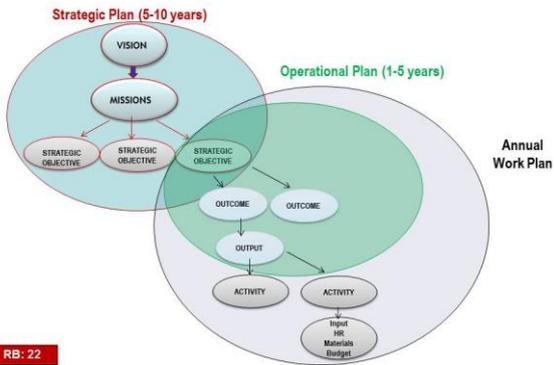
## Levels of Planning

Look at this diagram, let’s read from top to bottom:

- IFRC global strategies inspire PMI Strategic Plan
- PMI Strategic Plan navigates the Operational Plan
- Operational Plan is operationalized through some key programs.
- Work program is run with annual work plan, projects.

From top to bottom the relations is “directing or guiding”; while from bottom to top the relations is “influencing”.

Strategic Plan---Operational Plan--- Annual Work Plan



RB: 22

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Levels of Planning

Strategic planning is vision, missions, and strategic objective statements to direct where an organization wants to get to and why, to guide the development of operational plan.

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. This operational plan can then be grouped and organized into “work plans”, “programs” and “projects”.

Annual work plan is the activity plan for a year.

In another visualization, the levels of planning can be described within this matrix.

Levels of Planning

Levels of Planning	Elements of Planning
Strategic Plan (5 – 10 years)	<ul style="list-style-type: none"> <li>• Vision</li> <li>• Missions</li> <li>• Strategic Objectives</li> </ul>
Operational Plan (1 – 5 years)	<ul style="list-style-type: none"> <li>• Strategic Objectives</li> <li>• Outcome + Indicator + Target</li> <li>• Output + Indicator + Target</li> </ul>
Work Plan (annual)	<ul style="list-style-type: none"> <li>• Strategic Objectives</li> <li>• Outcome + Indicator + Target</li> <li>• Output + Indicator + Target</li> <li>• Activity Plan</li> <li>• Budget Plan</li> <li>• Detail Implementation Plan</li> </ul>

RB: 22

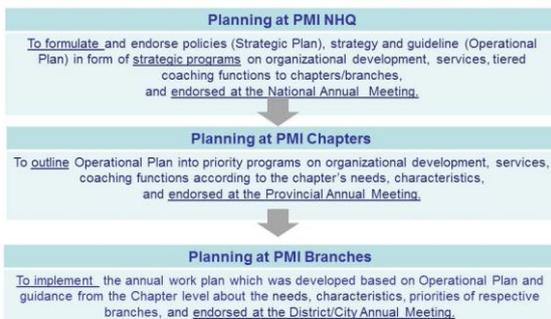
47

(Ask a participant to read the levels of planning and its elements).

Note where the overlaps are and its relation. It means, Strategic Plan and Operational Plan that are well developed will influence the annual plan.

If Strategic Plan and Operational Plan are poorly developed, or well developed but not used as reference, the annual work plan will get off track.

Long-Term Planning Mechanism – Top Down



PRG: 102

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Long-Term Planning Mechanism

(Ask a participant to read this slide from the top to bottom to explain how the strategic plan is used as a basis to develop plan at the Chapter level and then at the Branch level).

This is called “Top Down” planning process to ensure that PMI work plans throughout the country contribute to achieve strategic objectives through organization mission and ultimately to realize PMI vision.

Annual Planning Mechanism - Bottom up



PRG: 102

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Annual Planning Mechanism

(Ask a participant to read this slide from the top to bottom to explain how inter-level planning, starting from the branch level to chapter and then to headquarter).

This is called “bottom up” planning process, where the annual plan development starts from the bottom to the top to ensure that planning between levels is synergized and accommodative nationally.

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### Schedule of Annual Meeting at all Level

Scenario for 2016/2017 work plan

Activity	PMI Branch	PMI Chapter	PMI NHQ
<b>Annual Meeting</b> • Endorsement of the 2015 report • Endorsement of the 2016 work plan • Endorsement of the 2017 indicative work plan	<b>December 2015</b>	<b>January 2016</b>	<b>February 2016</b>
<b>Follow up of Annual Meeting: Participate in the 2016 government planning mechanism, PMI proposes the 2017 work plan</b>	<b>January 2016</b>	<b>Feb/Mar 2016</b>	<b>Apr 2016</b>
Initiatives to <b>diversify</b> sources of funding for the 2016 work plan, including Local Budget (APBD)			
<b>During 2016</b>			

PRG: 104

In addition to the planning process, PMI Headquarter have established a schedule for planning, including when to conduct Annual Meeting in PMI at all level. In this slide, a scenario is given to the planning for 2016 and 2017 work plan.

**(Explain this slide clearly! Then, ask participants why they need to follow this cycle?)**

*The objective of this cycle is to:*

- Improve the timeliness of planning and Annual Meeting.
- **Synergize** inter-level planning.
- Increase opportunity to **propose funding** to the government, for instance, through government planning mechanism.

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## Getting Familiar with PMI STRATEGIC PLAN AND OPERATIONAL PLAN 2014-2019

52

In this sub-topic, we will explore PMI 2014-2019 Strategic Plan and Operational Plan.

The objectives:

- You understand the **objectives** that PMI would like to achieve in the upcoming 5 years.
- You will be able to identify **gaps** between the objectives with the current situation in your PMI.
- At the end of this training, you will be able to **develop work plan** in line with PMI Strategic Plan and Operational Plan.

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### 2014-2019 STRATEGIC PLAN

**VISION: PMI demonstrates strong characters and is professional, self-sustaining, and respected by communities.**

**Mission 1**

To become the **forefront** humanitarian organization that provides quality services to communities in line with the fundamental principles of the Red Cross and Red Crescent Movement.

**Mission 2**

To strengthen PMI's **self-sufficiency** through sustainable strategic partnerships with the government, private sector, movement partners, communities, and other stakeholders at all levels.

**Mission 3**

To improve PMI's **organizational reputation** at the national and international levels.

**Strategic Objectives**

- To build a well-functioning PMI at all levels, with the capacity to create synergy between program activities and the organizational policies, procedures, and system.
- To strengthen the capacity of PMI's organizational resources at all levels, both its human resources and the facilities and infrastructures needed to serve the communities.
- To improve the quality of disaster and health emergency responses across Indonesia, either in terms of rapidity, coverage, and effectiveness of the services.
- To strengthen community resilience in order to reduce the risks and impact of disasters and diseases through disaster preparedness, health, and social programs, also referral health services.
- To increase the availability of safe, accessible, and quality blood services.

**Strategic Objectives**

- To strengthen the partnership with national and local governments, public and private sectors, movement partners, donor agencies, and other stakeholders in order to assure PMI's mandate and functions.

**Strategic Objectives**

- To improve PMI's accountability as a humanitarian organization at the national and international levels.
- To improve the understanding of all elements of committees on humanitarian values, fundamental principles of the International Red Cross Movement, as well as International Humanitarian Law (IHL) through communication, education, and dissemination strategies.

PRG: 9

PMI 2014-2019 Strategic Plan

**(Ask participants to open PMI Planning and Reporting Guideline).**

**(Ask participants to read this diagram in one minute and explain it briefly)**

**(Afterwards, explain this diagram clearly and briefly)**

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### PMI 2015-2019 OPERATIONAL PLAN

**STRATEGIC OBJECTIVE 1**  
To build a well-functioning PMI at all levels, with the capacity to create synergy between program activities and the organizational policies, procedures, and system.

**Outcome 1.1**

PMI's Legal Entity is strengthened.

**Outcome 1.2**

PMI's Statutes, Organizational Procedures (PO), and Implementation Guidelines (Juklak), as well as the legal products issued are institutionalized at all levels.

**Outcome 1.3**

PMI's Planning, Monitoring, Evaluation, and Reporting (PMER) system is well-functioning at all levels.

**Outcome 1.4**

Coordination, communication, and coaching mechanism is operational at all levels.

**Output**

1.1.1 RC Bill is included in the National Legislation Program agenda.

**Output**

1.2.1 PMI Statutes, Organizational Procedures (PO), and Implementation Guidelines (Juklak), as well as legal products are in place and implemented at all levels.

**Output**

1.3.1 PMI board members and staff at all levels are regularly coached on the implementation of Planning, Monitoring, Evaluation, and Reporting (PMER) system by competent facilitators.

1.3.2 Planning and reporting documents that are in line with the Planning and Reporting Guidelines are available and adopted at all levels.

1.3.3 Assessment tools (questionnaires/analysis tools) for PMI organizational capacity mapping are available and adopted at all levels.

1.3.4 PMI work plans at all levels are evaluated based on the Planning, Monitoring, Evaluation, and Reporting (PMER) Reference Book.

1.3.5 PMI Board Members and Staffing Database is updated on regular basis.

**Output**

1.4.1 Internal and cross-chapter/branches communication and coordination are implemented in line with the procedures.

1.4.2 Tiered coaching on organizational and program development is carried out on regular as well as need based.

PRG: 11

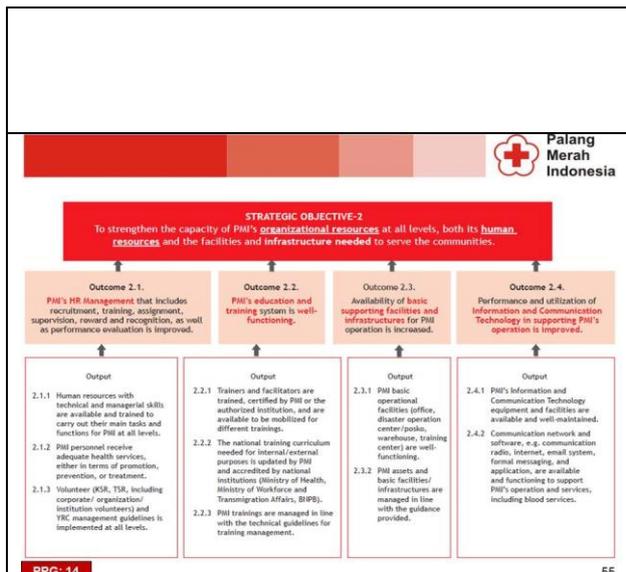
PMI 2015-2019 Operational Planning

**(Ask participants to open PMI Planning and Reporting Guideline).**

**(Ask participants to read this diagram in one minute and explain it briefly)**

**(Afterwards, explain this diagram clearly and briefly)**

Through PMER Training, we would like to achieve the outcome "Planning, Monitoring, Evaluation, and Reporting system is well functioned in PMI all levels". Its indicators are # 13 and 14:



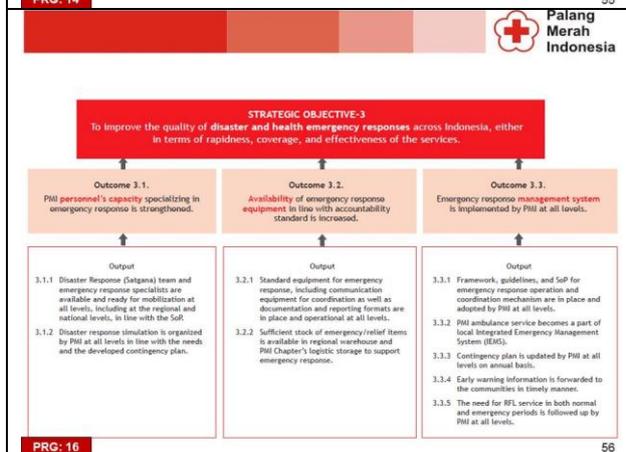
- PMI has its annual plan in accordance with PMI Planning and Reporting Guideline.
- PMI has its annual report in accordance with PMI Planning and Reporting Guideline.

**PMI 2015-2019 Operational Planning**

**(Ask participants to open PMI Planning and Reporting Guideline).**

**(Ask participants to read this diagram in one minute and explain it briefly)**

**(Afterwards, explain this diagram clearly and briefly)**

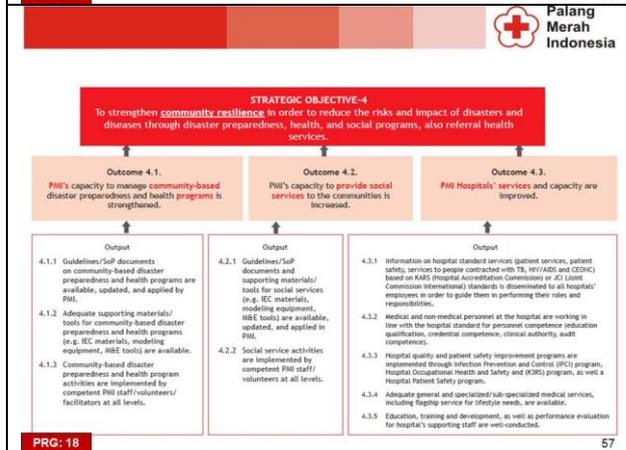


**PMI 2015-2019 Operational Planning**

**(Ask participants to open PMI Planning and Reporting Guideline).**

**(Ask participants to read this diagram in one minute and explain it briefly)**

**(Afterwards, explain this diagram clearly and briefly)**

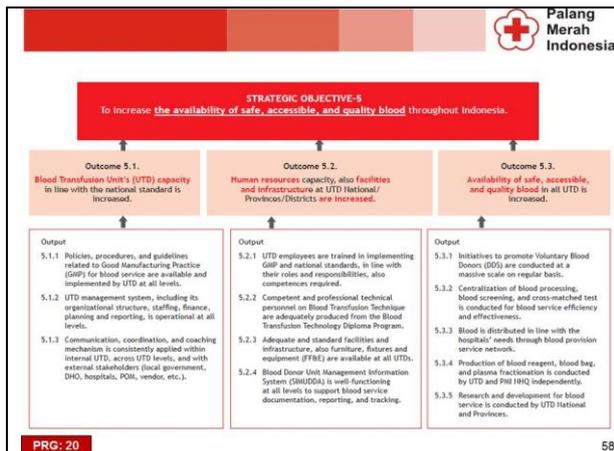


**PMI 2015-2019 Operational Planning**

**(Ask participants to open PMI Planning and Reporting Guideline).**

**(Ask participants to read this diagram in one minute and explain it briefly)**

**(Afterwards, explain this diagram clearly and briefly)**

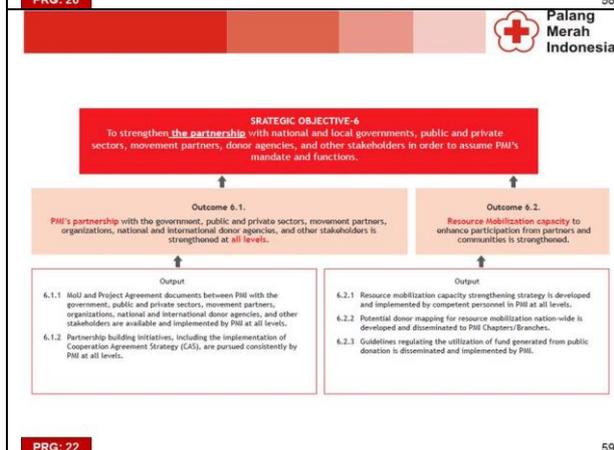


**PMI 2015-2019 Operational Planning**

(Ask participants to open PMI Planning and Reporting Guideline).

(Ask participants to read this diagram in one minute and explain it briefly)

(Afterwards, explain this diagram clearly and briefly)

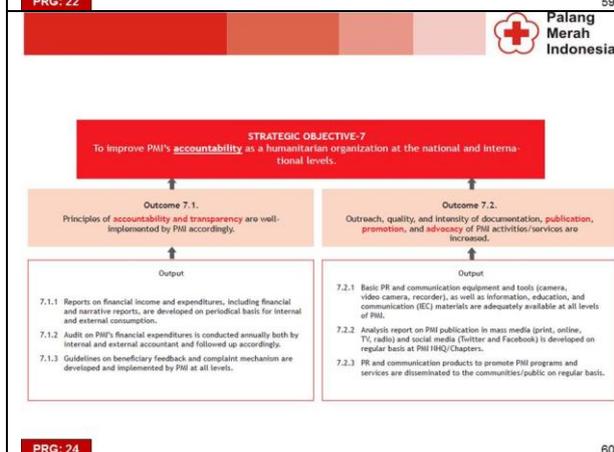


**PMI 2015-2019 Operational Planning**

(Ask participants to open PMI Planning and Reporting Guideline).

(Ask participants to read this diagram in one minute and explain it briefly)

(Afterwards, explain this diagram clearly and briefly)

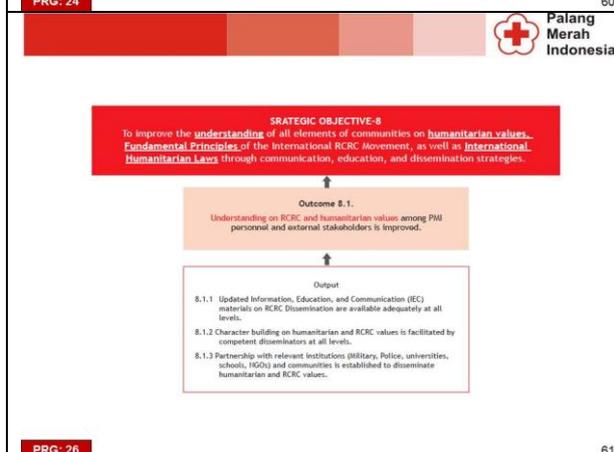


**PMI 2015-2019 Operational Planning**

(Ask participants to open PMI Planning and Reporting Guideline).

(Ask participants to read this diagram in one minute and explain it briefly)

(Afterwards, explain this diagram clearly and briefly)



**PMI 2015-2019 Operational Planning**

(Ask participants to open PMI Planning and Reporting Guideline).

(Ask participants to read this diagram in one minute and explain it briefly)

(Afterwards, explain this diagram clearly and briefly)

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### Strategic Plan Matrix

VISION: PMI demonstrates strong characters and is professional, self-sustaining, and respected by communities

VISION	GOAL/STRATEGIC OBJECTIVE	KEY PERFORMANCE INDICATOR	TARGET 2019
1. To become the foremost humanitarian organization that provides quality services to communities in line with the fundamental principles of the Red Cross and Red Crescent Movement.	1. To build a well-functioning PMI at all levels, with the capacity to create synergy between program activities and the organizational policies, procedures, and system.	1. RC Law is legalized.	- Year 2017 - 1/31/235
	2. To strengthen the capacity of PMI's organizational resources at all levels, both its human resources and the facilities and infrastructures needed to serve the communities.	2. PMI HQ/Chapters/Branches are well-functioned.	- 50 people
	3. To improve the quality of disaster and health emergency responses across Indonesia, either in terms of speed, coverage, and effectiveness of the services.	3. Number of disaster response specialists at the national level.	- 6 warehouses
	4. To strengthen community resilience in order to reduce the risks and impact of disasters and diseases through disaster preparedness, health, and social programs, also referral health services.	4. Regional warehouses are well-functioning.	- 120 PMI Branches
	5. To increase the availability of safe, accessible, and quality blood throughout Indonesia.	5. PMI Branches are prepared for disaster.	- Actual
	6. To strengthen the partnership with national and local governments, public and private sectors, movement partners, donor agencies, and other stakeholders in order to assume PMI's mandate and functions.	6. Number of direct beneficiaries of PMI services.	- 235 PMI Branches
	7. To improve PMI's accountability as a humanitarian organization at the national and international levels.	7. PMI Branches have 5 villages receiving intervention, which are disaster resilient.	- 200 UTDs
	8. To improve the understanding of all elements of commitment on humanitarian values, fundamental principles of the International RCRC movement, as well as International Humanitarian Law (IHL) through communication, education, and dissemination strategies.	8. Blood Transfusion Unit (UTD) Districts/Cities meet the service minimum standard.	- 30%
2. To strengthen PMI's self-sufficiency through sustainable strategic partnerships with the government, private sector, movement partners, communities, and other stakeholders at all levels.	9. Percentage of increase in local government funding allocation to PMI Chapters/Branches.	- 30%	
	10. Percentage of total increase in income at PMI HQ/Chapters/Branches.	- 15	
	11. Number of new program/project funded by donors.	70%	
	12. Percentage of surveyed respondents who are able to mention PMI mandate correctly.		

PRG: 30 62

### PMI 2015-2019 Operational Planning

**(Ask participants to open PMI Planning and Reporting Guideline).**

**(Ask participants to read this diagram in one minute and explain it briefly)**

**(Afterwards, explain this diagram clearly and briefly, particularly on the indicators and target)**

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### Operational Plan Matrix

STRATEGIC OBJECTIVE 1: To build a well-functioning PMI at all levels, with the capacity to create synergy between program activities and the organizational policies, procedures, and system.

OUTCOME	OUTCOME INDICATOR	TARGET 2019 FOR OUTCOME INDICATOR	OUTPUT	OUTPUT INDICATOR	TARGET 2019 FOR OUTPUT INDICATOR
1.1 PMI's Legal is strengthened.	1. RC Law is passed.	Year 2017	1.1.1 RC Bill is included in the National Legislation Program agenda.	2. Number of activities to disseminate information on RC Bill.	10
1.2 PMI's Statutes, Organizational Procedures (PO), and Implementation Guidelines (LIS/IG), as well as the legal products issued are institutionalized at all levels.	3. PMI HQ/Chapters/Branches conducted the First Party assembly writing in statutory manner.	1/31/400	1.2.1 PMI Statutes, Organizational Procedures (PO), and Implementation Guidelines (LIS/IG), as well as legal products are in place and implemented at all levels.	6. PMI Chapters/Branches receive dissemination of information on Statutes.	33/400
	4. PMI HQ/Chapters/Branches conducted annual meeting in accordance with the assigned schedule.	1/31/320		7. PMI Branches use PMI bank account for its transactions.	420
	5. Number of Organizational Procedures (PO) adjusted to the Statute.	5		8. Number of PMI employees who have written employment contracts.	Determined by Branches
				9. PMI HQ/Chapters/Branches develop asset inventory in line with the technical guidelines.	17/33/420
				10. PMI Chapters/Branches have HR regulation in place.	33/420
1.3 PMI's Planning, Monitoring, Evaluation, and Reporting (PMER) system is well-functioning at all levels.	13. PMI HQ/Chapters/Branches develop annual work plan in line with the Planning and Reporting Guidelines.	1/31/375	1.3.1 PMI board members and staff at all levels are regularly coached on the implementation of Planning, Monitoring, Evaluation, and Reporting (PMER) system by competent facilitators.	16. PMI Chapters/Branches receive technical assistance visit on PMER.	20/235
	14. PMI HQ/Chapters/Branches develop annual report in line with the Planning and Reporting Guidelines.	1/31/375	1.3.2 Planning and reporting documents that are in line with the Planning and Reporting Guidelines are implemented at all levels.	17. PMI Chapters/Branches receive information regarding the Planning and Reporting Guidelines.	33/330
			18. PMI Chapter/Branches submit quarterly report to one level above, in line with the Planning and Reporting Guidelines.	18. PMI Chapter/Branches submit quarterly report to one level above, in line with the Planning and Reporting Guidelines.	33/375

PRG: 31 63

### PMI 2015-2019 Operational Planning

**(Ask participants to open PMI Planning and Reporting Guideline).**

**(Ask participants to read this diagram in one minute and explain it briefly)**

**(Afterwards, explain this diagram clearly and briefly, particularly on the indicators and target)**

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### Annex 1. Sample of PMI Branch Planning Document

1. SAMPLE OF ANNUAL WORK PLAN MATRIX OF PMI SUKARIA BRANCH

Outcome	Outcome Indicator	Target for Outcome Indicator	Output	Output Indicator	Target for Output Indicator	Activity	Budget
STRATEGIC OBJECTIVE 1: To build a well-functioning PMI at all levels, with the capacity to create synergy between program activities and the organizational policies, procedures, and system.							
Outcome 1.2. PMI Statutes, Organizational Procedures (PO), and Implementation Guidelines (LIS/IG), as well as the legal products issued are institutionalized at all levels.	4. PMI HQ/Chapters/Branches conducted annual meeting in accordance with the assigned schedule.	December 2015	Output 1.2.1. PMI Statutes, Organizational Procedures (PO), and Implementation Guidelines (LIS/IG), as well as legal products are in place and implemented at all levels.	6. PMI Chapters/Branches receive dissemination of information on Statute.	10 people (board member and staff)	1. Disseminate PMI Statute to Staff and Board Member.	GR 500,000
				8. Number of PMI employees who have written employment contracts.	1 people	2. Develop HR regulation.	GR 1,000,000
				9. PMI HQ/Chapters/Branches develop asset inventory in line with the technical guidelines.	10	3. Register assets based on implementation/technical guidelines.	GR 0
				10. PMI Chapters/Branches have HR regulation in place.	March 2015	4. Update employee database.	GR 0
				11. PMI Chapters/Branches have employee database that is updated on annual basis.	November 2015	5. Conduct Annual meeting.	GR 6,000,000
Outcome 1.3. PMI's Planning, Monitoring, Evaluation, and Reporting (PMER) system is well-functioning at all levels.	13. PMI HQ/Chapters/Branches develop annual work plan in line with the Planning and Reporting Guidelines.	December 2015	Output 1.3.1. PMI board members and staff at all levels are regularly coached on the implementation of Planning, Monitoring, Evaluation, and Reporting (PMER) system by competent facilitators.	17. PMI Chapters/Branches receive information regarding the Planning and Reporting Guidelines.	2 people	1. Participate in the SP/OP dissemination workshop.	GR 13,230,000
	14. PMI HQ/Chapters/Branches develop annual report in line with the Planning and Reporting Guidelines.	December 2015				2. Conduct workshop to develop annual work plan and annual report.	GR 4,000,000

PRG: 155 64

From the assessment result and program design based on PMI operational plan, you will develop an annual work plan using a matrix in this slide.

However, before developing a work plan, you will learn first on how to identify and design a work plan, which is the first phase within the cycle that we will discuss during the training.

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## Important Message on Getting Familiar with Strategic and Operational Plan

**In the age of 70 years old, PMI throughout Indonesia should not only be united by its emblem, but also by a shared vision, missions, and objectives.**

This will happen if PMI at all levels and places develop their work plans based on to the strategic plan and operational plan and implement them accordingly.



65

**(Pass on this message).**

## Are the objectives for session 1 achieved?



- Explain the differences between **program, project, and activity!**
- Explain the differences between **strategic plan and operational plan** and how they relate to each other!
- Explain the **project triangle constraints** and what should manager do about it!

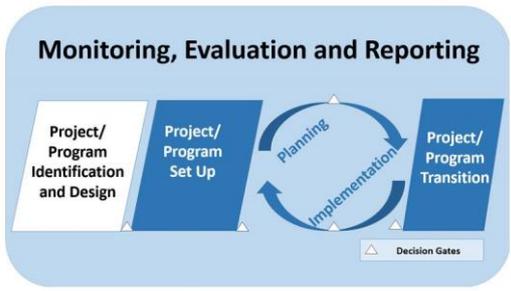
66

(To ensure that the objectives of this session are achieved, ask participants to provide answer to the following questions in this slide).

(Complete participants' answer when necessary).

# Session 2 - Project/Program Identification

To [Introduction to Planning Session](#) - [Identification Session](#) - [Design Session](#) - [Set Up Session](#) - [Implementation Planning Session](#) - [Implementation Session](#) - [M&E and Reporting Session](#) - [Transition/Closure Session](#)

 <p><b>Session 2.</b> <b>PROJECT/PROGRAM IDENTIFICATION (ASSESSMENT &amp; ANALYSIS)</b></p>  <p>67</p>	<p>Now, we start from Project/Program Identification and Design.</p> <p>Note the area with white background.</p>
 <p><b>Session 2.</b> <b>PROJECT/PROGRAM IDENTIFICATION (ASSESSMENT &amp; ANALYSIS)</b></p>  <p>68</p>	<p>In this 2<sup>nd</sup> session, we will discuss <i>assessment</i>, and then followed by SWOT, stakeholder, problem, objective analysis.</p> <p>During this session, you will work together in your group to practice the theory you have learned.</p> <p>So be prepared to do the exercise right after the facilitator presented the theory.</p>
 <p><b>Objectives of Session 2</b></p>  <p>Participants are able to correctly define:</p> <ul style="list-style-type: none"> <li>Assessment</li> <li>SWOT Analysis</li> <li>Stakeholder Analysis</li> <li>Problem Analysis</li> <li>Objective Development and Selection.</li> </ul>  <p>you understand it when you can explain it</p> <p>Participants are able to explain the key steps, key questions, methods &amp; process of SWOT, stakeholder, problem analysis and identification, also objective selection.</p>  <p>Participants are able to conduct the analyses above as a basis to develop their annual work plan at their respective PMI office.</p> <p>69</p>	<p>The objectives of session 2:</p> <p><b>(Read this slide or ask participants to read it. Encourage them to achieve this objective by the end of this session).</b></p>

## 2.1 Assessment

What needs to be assessed?

- Organizational capacity, experience, and successes
- Local stakeholder capacity
- Community problems, strength, opportunity, and vision
- Local organizations networks
- Infrastructure (system or facilities)
- Institution (politics, law, and policy)
- Social and cultural conditions/context



RB: 26

70

Assessment is data collection required as a basis to plan for program/work plan.

**(Before you proceed to show “what needs to be assessed?” ask the following questions):**

“Before you develop your annual work plan, what data that you usually collect?”

Following are the things you need to assess:

**(Read all the points in this slide)**

What is the different between this assessment with VCA or HVCA (Hazard Vulnerability Capacity Assessment)? HVCA focuses on the risk reduction activity, while this assessment is broader and will be used as basis to develop a work plan or project.

## Types of needs:

**Normative:**  
Clean water meets the MoH standard from  
Shelter infrastructure meets the building standard;  
Babies are completely immunized before 1 year old

**Comparative:**  
Fewer diarrhea cases in villages with good sanitation facilities;  
Lighter flood impact in villages with EWS;  
Blood availability in Blood Units A District vs B District

**Felt:**  
Community members want a meeting hall, Community members want a larger health centre;  
PMI A Branch wants to build a post command building.

**Expressed:**  
Community members willing to go far to Health Centre for immunization, long queue in health posts,  
Community members start to agree on early warning signs

RB: 27

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## Types of needs

Needs are the most important thing to know when planning for a program or a project.

You need to understand the types of need in community or in your organization to identify which needs are prioritized and able to be met through PMI program.

There are four types of needs in the community.

**Normative need** - comparing 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 the 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; babies should receive complete basic immunization before celebrating their first birthday based on World Health Organization’s (WHO) standard.

**Comparative need** - comparing the current situation with the situation of others. One of the most common uses of this approach is the comparison of people’s access to resources. For example, incidence of diarrhea cases is higher in villages with insufficient sanitation facilities compared to villages that have them; flood impact is more severe in villages that have no early warning system compared to other villages with well-functioning early warning system; the ability to provide sufficient blood product in Blood Transfusion Unit (BTU) in District A compared to BTU in District B.

**Felt need** - focused on the thoughts and dreams of the community themselves. 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, the community wants to build meeting points in every hamlet.

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

REMEMBER, Normative need often becomes the top priority and then the comparative needs. While felt and expressed need can be a way to confirm whether the first two needs are real.



### Source of Assessment Data



- Secondary Data
- Primary Data (Quantitative & Qualitative)

**Before collecting data, you need to ask: 'How will these data be used?'**

RB: 28

72

**Sources of assessment data**

There are various data sources when conducting an assessment, and it highly depends on what data or information you need.

**Secondary data** - is the data collected not specifically for the project/program we intended to design. (for example: data from Statistic Center, data from Ministry of Health, Ministry of Education, National Agency for Disaster Management).

**Primary quantitative data** - is the data collected specifically to be used for a project/program design (such as: KPC survey, assessment, etc.).

It is important that you must gather data effectively, by:

- ✓ Collecting only the data that you need
- ✓ Using secondary data as much as possible,
- ✓ Triangulating the sources or methods.



## 2.2. SWOT Analysis

	<b>USEFUL</b> (to achieve PMI objectives)	<b>DANGEROUS</b> (to achieve PMI objectives)
<b>INTERNAL</b> (from PMI internal)	<b>Strengths</b> <b>S</b>	<b>Weaknesses</b> <b>W</b>
<b>EXTERNAL</b> (from PMI external)	<b>Opportunities</b> <b>O</b>	<b>Threats</b> <b>T</b>

RB: 31

73

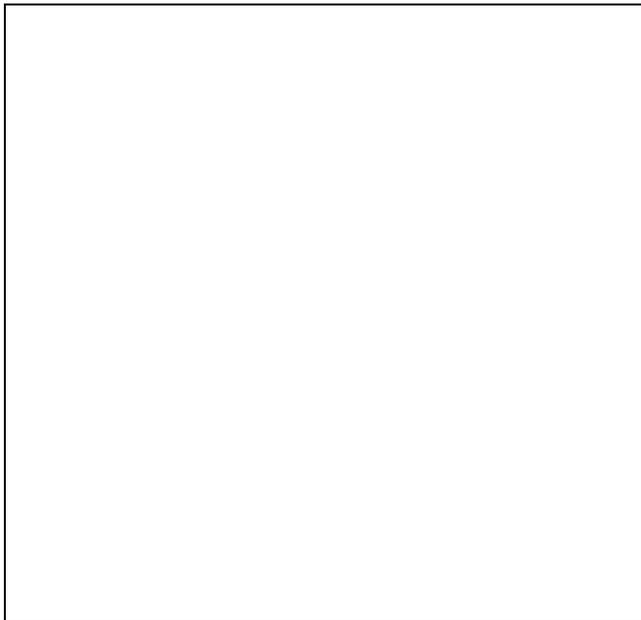
**SWOT Analysis**

Based on the information from assessment, you will start to understand what problems need to be addressed, within the organization or in the community.

The next phase is SWOT analysis, which identifies the Strength, Weakness, Opportunity, and Threat that PMI has to face/address through a project/program.

Through SWOT, you can also identify opportunities from the outside that can support the project/program's success. Instead, using SWOT, you can also identify weaknesses and threats that could hamper the implementation or achievement of the expected results and objectives.

Some of the key questions to be answered in SWOT analysis would be:



1. **What capacities PMI has today?** For instance: number of staff, board members, volunteers, branch 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.)?

Palang Merah Indonesia

### Steps of SWOT Analysis

Ask what are the organizational:

Strengths	Weaknesses
Opportunities	Threats

RB: 33 74

To strengthen your understanding of SWOT analysis, pay attention to this diagram. Following are the steps to conduct SWOT analysis.

**(Ask each group to discuss and write 1 answer to the following question in a post-it and put it on the SWOT Matrix. This is to help them identifying SWOT quickly).**

- "What are the Strengths and Weaknesses of PMI?"
- "What are the Opportunities and Threats from outside PMI?"

**(Afterwards, ask participants to refer to the example of SWOT Analysis in the Reference Book and read the steps of SWOT analysis).**

Palang Merah Indonesia

### 2.3. Stakeholder Analysis

Stakeholder Analysis

Identifying:

- Roles/functions
- Interest
- Potential
- Interaction

↓

To ensure that the project/program is implemented in the **best condition**

RB: 33 77

#### Stakeholder Analysis

**(Ask participants: "Who are the stakeholders; and what is Stakeholder Analysis?")**

A "stakeholder" in this context is a person or group of people who have an interest in the planned project/program.

For example: community, community leaders, district Health Office, Local DM Agency, NGO, Schools, etc.

Stakeholder analysis is a technique used to identify and assess the interests/capacity/interaction with the people, groups or institutions who may significantly influence the project/program's success.

This analysis could be done by using comparative matrix or Venn Diagram.

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.

### Example of Stakeholder Analysis Matrix related to vulnerability to disaster

Factors	Community leaders	Women groups	School Students	Local DM Agency
<b>Problems</b>	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
<b>Interest</b>	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
<b>Potential</b>	Knowledge of the local situation and power relations.	In-depth knowledge of the community (gender and human patterns) and have regular group activities.	Keen to learn, creative, and willing to participate in passing on messages	Resources (personnel, materials, and funds)
<b>Interaction</b>	Through monthly local committee meeting 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.
<b>Others' actions</b>	Also work with the local NGO/Disaster Relief Action and several church groups.	Some groups have relations with local Women Welfare Groups	Many children attend scout and mosque group activities.	Collaborate with other government working units in disaster response.

RB: 35

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### Steps to analyze stakeholder:

**(Ask participants to open Reference book and read the stakeholder analysis matrix in 2 minutes).**

**First**, identify stakeholders, such as:

- **Institutions/Organizations** that are potential to become partners.
- **Targeted group**, such as mothers, children, students, teenagers, etc.
- **Other groups**, such as community leaders, media, etc.

**Second**, the problems, interests, needs, potential, interaction and other relevant factors are identified.

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

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

**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.

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

**Others' actions:** Is there 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, the Education District Office might release and promote DRR curricula for schools.

<p style="text-align: right;"> Palang Merah Indonesia</p> <h3 style="text-align: center;">Quiz – Stakeholder Analysis</h3> <p style="text-align: center;">(Blood Unit – related to limited blood supply)</p> <ul style="list-style-type: none"> <li>• Impact of inadequate blood supply to hospitals</li> <li>• → Poor quality of service to patients; unable to save lives.</li> <li>• What motivates hospital related to blood supply</li> <li>• → Serving patients; hospital performance</li> <li>• What are hospital's potentials related to blood supply</li> <li>• → Adequate equipment, skilled personnel</li> <li>• Interaction between PMI and hospitals</li> <li>• → Coordination meeting at District Health Office</li> </ul> <p style="text-align: right;">79</p>	<p>(Check participants' understanding about stakeholder analysis by asking the questions in this slide one by one)</p>
<p style="text-align: right;"> Palang Merah Indonesia</p> <h3 style="text-align: center;">Important Message on SWOT and Stakeholder Analyses</h3> <ul style="list-style-type: none"> <li>- PMI should honestly identify its strengths and weaknesses</li> <li>- PMI should be able to see opportunities and anticipate threats</li> <li>- PMI should not be exclusive, must coordinate and collaborate with other stakeholders!</li> </ul>  <p style="text-align: right;">80</p>	<p>(Pass on this message):</p> <ul style="list-style-type: none"> <li>- If you do not know PMI's strengths and weaknesses and the opportunities and threats, it will be challenging to be a well-functioning PMI.</li> <li>- PMI will not be able to address problems on its own, PMI needs other stakeholders and they also need PMI. Therefore PMI should be exclusive, it has to know its stakeholders well, and to be known well too".</li> </ul>
<p style="text-align: right;"> Palang Merah Indonesia</p> <h3 style="text-align: center;">Exercise Instruction for SWOT Analysis</h3> <ol style="list-style-type: none"> <li>1. Read the case study thoroughly</li> <li>2. Identify which are the S,W,O,T</li> <li>3. Write the information into SWOT Matrix</li> <li>4. You could add things that are not included in the case study</li> </ol>  <p style="text-align: right;"><b>Time 30 minutes</b></p> <p style="text-align: right;">81</p>	<h3 style="text-align: center;">Exercise - SWOT and Stakeholder Analysis</h3> <p>Facilitator should present each instruction in this slide clearly to ensure all participants understand what they are going to do during the exercise)</p> <ol style="list-style-type: none"> <li>1. After the case studies have been distributed, provide one example of each S &amp; W &amp; O &amp; T.</li> <li>2. Read the instruction for this exercise and ensure they understand well.</li> <li>3. After finished, each group will present their SWOT analysis result (in 5 minutes) and other groups provide feedback.</li> </ol>
<p style="text-align: right;"> Palang Merah Indonesia</p> <h3 style="text-align: center;">Exercise Instruction for Stakeholder Analysis</h3> <p style="text-align: center;">(Optional: if time is sufficient)</p> <ol style="list-style-type: none"> <li>1. Read the case study thoroughly</li> <li>2. Identify potential stakeholders</li> <li>3. Complete the stakeholder matrix</li> <li>4. You could add things that are not included in the case study</li> </ol>  <p style="text-align: right;"><b>Time 30 minutes</b></p> <p style="text-align: right;">82</p>	<p>(If time is sufficient, it is highly suggested to conduct exercise on stakeholder analysis as well).</p> <p>Within the case study, information on stakeholders are provided.</p> <ol style="list-style-type: none"> <li>1. Read the instruction for this exercise and ensure they understand well.</li> <li>2. Facilitator provides one example of stakeholder and how to fill the matrix accordingly.</li> <li>3. After finished, each group will present their Stakeholder analysis result (in 5 minutes) and other groups provide feedback.</li> </ol>

## Feedback for Groups Work Results (Not to be displayed)

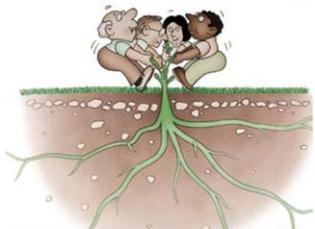
- Ensure that all information in the SWOT matrix is properly placed.
- Often one thing should be seen from two sides, whether it is S or W or whether it is O or T. However at the end, you need to decide which category fits it most. For example, staff, by numbers could be S, however by competency, could be W.
- Check the stakeholder analysis matrix, whether the groups have included all relevant stakeholders.
- Afterwards, check the written statements in the matrix, especially on how those stakeholder are affected by the identified problems.

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(To maximize the result, facilitator should provide support DURING the group work/discussion (NOT ONLY during presentation)).

(Feedback on this slide can be used to review and refine group work result).

## 2.4. Problem Analysis



Identifying **causes and effects** of a problem to decide **whether and how to address it.**

RB: 36

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### Problem Analysis (Using “Problem Tree”)

(Ask Participants):

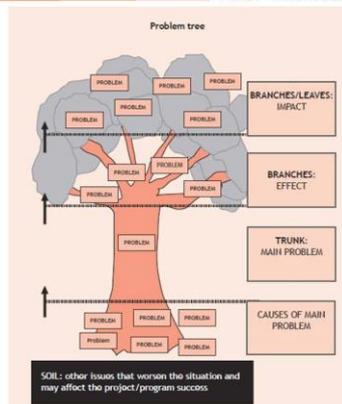
What is “Problem”?

What is Problem Analysis? Have you ever done it?

A “problem” is defined here as “an unsatisfactory situation that may be difficult to cope with”. If it is easy to be addressed, we do not need any project/program planning to overcome it.

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.

## Problem Tree



RB: 37

### Steps to do 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.

The main problem as the “trunk”, the causes of the problem as the “roots” and the effects of the problem as the “branches”. A problem tree should only be made for one main problem.

## Steps to Analyze Problems

1. Identify existing problems.

2. Agree on the main problem, put it as the trunk.

3. Identify causes of the main problem, put them as roots.

4. Identify effects of the main problem and put them as branches/leaves

RB: 38

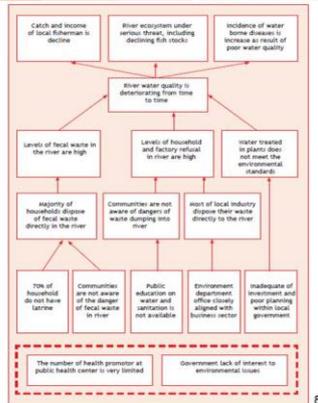
86

Creating Problem Tree with four steps:

1. Discuss and list all identified problems during the assessment.
2. Identify and agree upon the main problem.
3. Identify the causes and effects of the main problem.
4. At the end, check the logical relationship (causes - effects).

**Remember** that a “problem tree” should provide a robust but simplified version of reality. A problem tree **cannot and should not** contain or explain the complexities.

### Example of Problem Tree



RB: 41

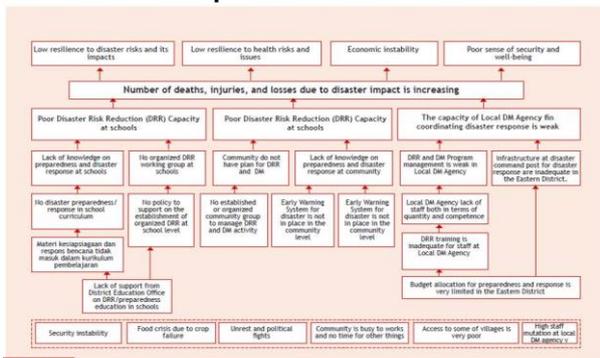
87

Observe this slide, please identify what is the main problem; what is its causes and effects and how they are mapped out in this problem tree.

(Afterwards, ask participants to mention which are the):

- Main problem
- Causes of the main problem
- Effects/impact of the main problem

### Example of Problem Tree



RB: 42

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Observe this slide, please identify what is the main problem; what is its causes and effects and how they are mapped out in this problem tree.

(Afterwards, ask participants to mention which are the):

- Main problem
- Causes of the main problem
- Effects/impact of the main problem

## Creating Problem Statement

**PROBLEM** is a negative situation or condition thus it is stated in adjective or adverb form

Income is decreasing  
Vulnerability is low  
Death is increasing  
Illness is high

Policy is not available  
Volunteers are inactive  
Equipment is not adequate  
System is not functioning

This slide will help you to understand how to write problem statements correctly.

(Read and explain the text in the yellow box)

At impact/effect level, adjective is often used, such as “decreasing”, “poor”, etc. While at the causes level, adverb is often used, such as “not available”, “not active”, etc.

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## Tips to Create Problem Tree

- No big balloons or big vague concepts, (e.g. no infrastructure)
- 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)
- Don't focus to "the absence of something" (e.g., no volunteers) But identify the causes of why it is not exist.
- No formulation of interpretations, (e.g. the government is lazy)

- ✓ Be precise, e.g. there is no paved road from village A to city center.
- ✓ School fees are not affordable
- ✓ Poor knowledge to establish group of volunteers.
- ✓ The government does not issue licenses

RB: 40

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## Tips to create Problem Tree

There are several things you need to avoid when creating statements for a problem tree. Pay attention to the "don'ts" in the following red box, and note how it is fixed in the green box.

**(Read each tip in this slide, starting from the "don'ts" and how they have been corrected).**

## Important Message on Problem Analysis

**If you know the real problem (its causes and effects) You will be likely to be able to address them**



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**(Pass on this message):**

If you analyze problem incorrectly, then you will go wrong for a long time, and by the end of the project/program, you will not address the real problem.

On the contrary, if you identify the real problem correctly then you are half-way in addressing them.

## Arranging Puzzle of a Problem Analysis

1. Your group will be given pieces of puzzle of a problem tree.
2. Read the puzzles thoroughly.
3. Arrange them into a problem tree
4. Test the cause and effect relationship.
5. Learn how to create the problem statements.



Time  
**20 minutes**

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**(Read the instruction for this exercise and ensure they understand what to do in this exercise)**

**(When finished, each group will present the result; afterwards provide feedback and then refine if necessary).**

## Exercise instruction for Problem Analysis (Case Study)

1. Read the case study thoroughly
2. Identify the problems
3. Create a problem tree
4. Test the cause and effect relationship



Time  
**75 minutes**

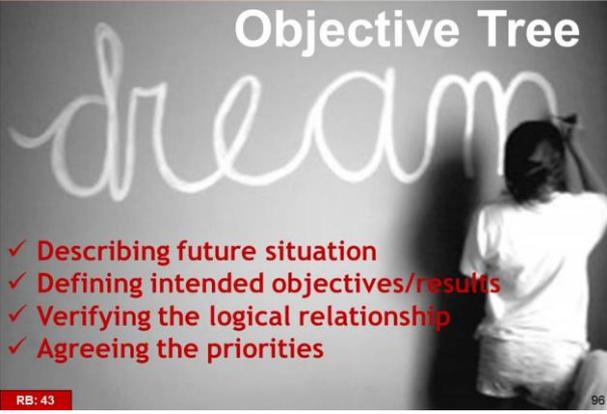
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## Exercise - Problem Analysis with Case Study

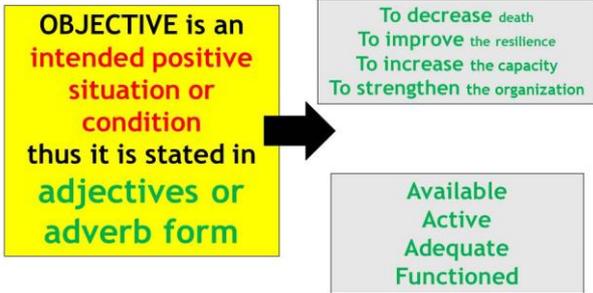
With the puzzle exercise, you have understood how to create a problem tree. Now, you will create a problem tree based on real problems using information provided in the case study.

**(Read the instructions in this slide clearly to ensure all participants understand well what they are going to do during the exercise)**

1. (Read some information in the case study, and provide one example of information and transform it into a problem statement)
2. After finished, each group will present the result (in 5 minutes) and other groups provide

<p style="text-align: right;">Palang Merah Indonesia</p> <p style="text-align: center;"><b>Feedback for Groups Work Results</b> <b>Developing a Problem Tree</b> <b>(Not to be displayed)</b></p> <ul style="list-style-type: none"> <li>• Make sure that the problem has been identified comprehensively, not simplistic (or too narrow). If it is too narrow/simple, it will not be strong enough to base a project or program.</li> <li>• Check the logic of the core problems with the causes and effects. Problem tree should describe a logic causality.</li> <li>• Make sure that external factors that worsen the problem or affect the success of your attempt to address the problems were identified as well. These factors will be the assumptions in the log frame.</li> </ul> <p style="text-align: right;">94</p>	<p style="text-align: center;"><b>feedback.</b></p> <p style="text-align: center;"><b>3. Refine accordingly based on the discussion.</b></p> <p><b>(To maximize the result, facilitator should provide support DURING the group work/discussion (NOT ONLY during presentation)).</b></p> <p><b>(Feedback on this slide could be used to review and refine group work result).</b></p>
<p style="text-align: right;">Palang Merah Indonesia</p> <p style="text-align: center;"><b>2.5. Objective Development</b></p> <div style="display: flex; align-items: center;">  <div style="margin-left: 20px;"> <p>Determining the project/program's intended <b>OBJECTIVES</b> or <b>RESULTS</b> in the future to <b>ADDRESS</b> the identified <b>PROBLEMS</b></p> </div> </div> <p style="text-align: right;">95</p>	<p><b>Objective Analysis</b></p> <p><b>(Ask participants "what is objective?")</b></p> <p><b>Ask participants to provide one example of objective in their annual work plan)</b></p> <p>An objective is an intended result that a project/program sets out to achieve at different levels, such as goal, outcome, and output.</p> <p>Objective analysis 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.</p> <p>It is again critical to conduct the process in a <b>participatory</b> way, involving the main stakeholders, including representatives of the people whom the project/program aims to help.</p>
<p style="text-align: right;">Palang Merah Indonesia</p> <div style="text-align: center;"> <p><b>Objective Tree</b></p>  </div> <ul style="list-style-type: none"> <li>✓ Describing future situation</li> <li>✓ Defining intended objectives/results</li> <li>✓ Verifying the logical relationship</li> <li>✓ Agreeing the priorities</li> </ul> <p style="text-align: right;">96</p>	<p><b>Objective tree</b> is a common method of developing, identifying and selecting objectives based very closely on the "problem tree".</p> <p><b>An objective tree will help you and team to:</b></p> <ul style="list-style-type: none"> <li>➤ Analyze and present objectives/ideas/solution to address problems in the problem tree.</li> <li>➤ Demonstrate and describe the situation in the future if all the identified problems were remedied.</li> <li>➤ Identify possible objectives (intended results) and verify the hierarchy between them, start from highest level result (goal) until the lowest level (output).</li> <li>➤ Illustrate and verify the causal (means-ends) relationships through a diagram</li> <li>➤ 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.</li> </ul>

## Creating Objective Statement



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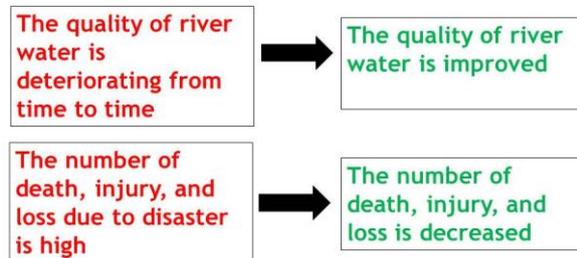
This slide will help you to understand how to write objective statement correctly.

**(Read and explain text in the yellow box)**

At impact/effect level, adjective is often used, such as “decreasing”, “strengthened”, etc.

While at the causes level, adverb is often used, such as “active”, “sufficient”, etc.

## Transforming Problem → Objective Statements



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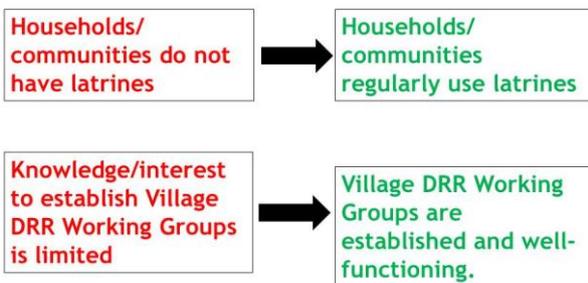
Look at this slide, how a problem statement is transformed into an objective statement.

**(Ask a participant to read the box in the left and then in the right).**

This example describes high-level objective, at the outcome and goal level.

RB: 44

## Transforming Problem → Objective Statements



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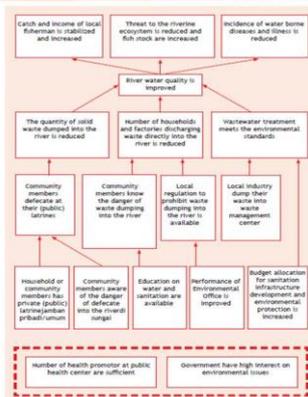
Look at this slide, how a problem statement is transformed into an objective statement.

**(Ask a participant to read the box in the left and then in the right).**

This example describe lower-level objective, at the outcome or output level.

RB: 44

## Example of Objective Tree



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## Steps to create an Objective Tree:

Within 3 minutes, please identify the objectives mapped out in this problem tree.

If you want to create an objective tree, the steps are as follow:

**Step 1:** Turn each of the problems in the problem tree into positive statements (objective)

**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?

RB: 45

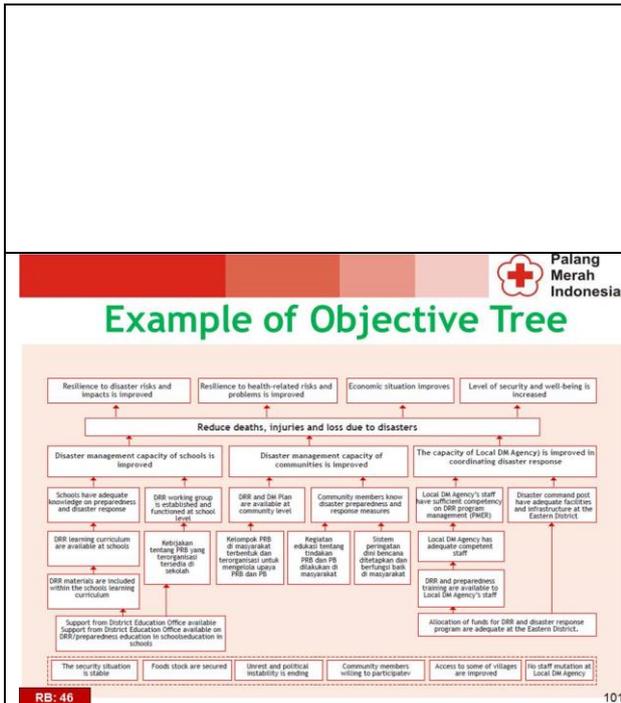
**Step 3: Modify the objectives, if necessary, by:**

- Revising the statements to be more clear/accurate
- 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

**(While you present this slide, ask participants to open the Problem Tree in the Reference Book).**

**(For this session, it is suggested to print Problem Tree and Objective Tree in A0 size to enable participants to see how the problem statements have been transformed into objective statements).**

Compare the problem tree in your book with this objective tree in the slide. Take a look on how the problem statements are transformed into objective statements.



**2.6. Objective Selection**

**You CANNOT address ALL problems, select your PRIORITIES according to your CAPACITIES**

**Selecting Objectives**

Once the objective 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 due to 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.

**Main steps suggested to select objectives (reference book page 47).**

- Based on the objective tree, define potential solutions/objectives to address the problems.
- Then select the **MOST RELEVANT**/appropriate solutions to address the problems.

If you identify and select objective correctly, you will be more likely to achieve them.

**Matrix to Select Objectives**

Objective selection criteria	Score (e.g. 1 is the lowest and 5 is the highest) for Solution/Objective:			
	A	B	C	D
1. This solution/objective is compatible with PMI's (RCRC) fundamental principles, mandate and policies.				
2. PMI and team have the capacity to implement this solution/objective effectively.				
3. There are no other organizations that already implemented this solution/objective				
4. This solution/objective is not vulnerable to external factors that may make it fail.				
5. This solution/objective is acceptable by local community and stakeholders and respects the local culture				
6. What is/are the most cost-efficient option(s)?				
Total Score				

**Selecting Objective Using Matrix**

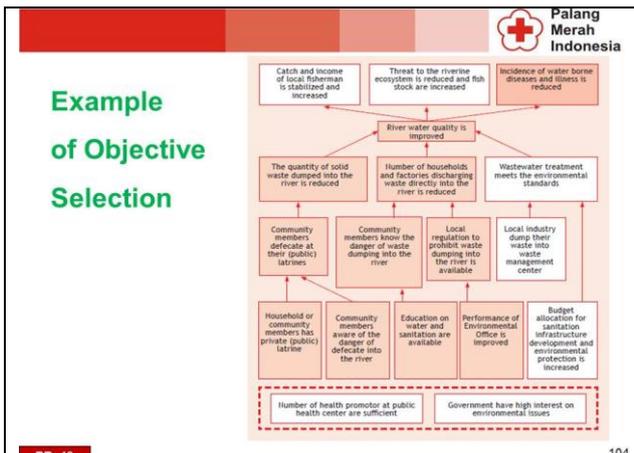
**(Ask participants to read the matrix of objective selection).**

There are selection criteria that you need to consider for each of the identified objectives. Provide score to assess whether this solution meets the criteria. The score range is 1 (not suitable) to 5 (most suitable).

**(Read all six criteria)**

**REMEMBER!** All of these 6 categories are most relevant to the problems outside the organization that PMI aims to address.

If the problems are more on internal organization, then the assessment criteria during objective selection would be based on organizational capacities and priorities.



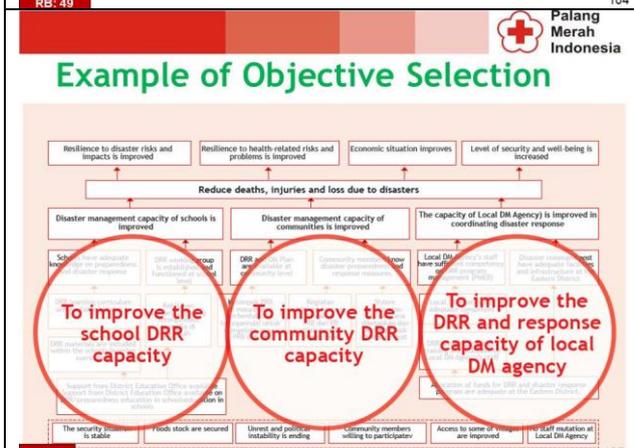
RB: 49

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**Example of Objective Selection**

In this Objective Tree, how many objectives are provided? Please mention what are those objectives?

From those objectives, the team decided to select two objectives, only those with the dark background, while the other one will not be intervened within the program/project.



RB: 50

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**Example of Objective Selection**

Look at Reference Book page 46.

There are three objectives or solutions to address the main problem:

- To improve the School DRR Capacity
- To improve the Community DRR Capacity
- To improve the Government (Local DM Agency) DRR Capacity

From those three objectives, the team will select which one they will prioritize. This will be decided using an assessment matrix.

**Example of Objective Selection Matrix**

select Contoh Matriks Pemilihan Tujuan

Objective selection criteria	Improving School's DRR Capacity	Improving Communities DRR Capacity	Improving Agency's DRR Capacity
1. This solution/objective is compatible with PMI's (RCRC) 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 that already implemented this solution/objective	4	4	1
4. This solution/objective is not vulnerable to external factors that may make it fail.	4	3	1
5. This solution/objective is acceptable by local community and stakeholders and respects the local culture	5	4	2
6. What is/are the most cost-efficient option(s)?	4	4	2
<b>Total Score</b>	<b>26</b>	<b>21</b>	<b>9</b>

RB: 51

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Look at this matrix; see the assessment score to the six criteria on the left column. **(Read one by one).**

From the total score, which solution or which objective is selected to "reduce death and injury due to disaster"?

✓ PMI team decided to have a DM project with two main components: "School DRR capacity building and Community DRR capacity building".

**Meanwhile for the 3<sup>rd</sup> objective/solution ("Government capacity building ") was not selected because it was currently handled by the Local DM Agency. Furthermore, PMI do not have either sufficient capacity or specific mandate to do so.**

**Important Message on Objective Analysis and Selection**

**Without clear OBJECTIVES, you will be like a GYROSCOPE that spins fast, but do not move from one place to another.**

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**(Pass on this message to motivate participants to develop an objective-based annual plan, not only a list of activities).**

<p style="text-align: right;"> Palang Merah Indonesia</p> <h2 style="color: red;">Are the objectives for session 2 achieved?</h2>  <ul style="list-style-type: none"> <li>- Explain what is <b>SWOT Analysis</b> and how to do it!</li> <li>- Explain why you need to <b>analyze the problem</b> before developing a work plan (project/program)!</li> <li>- Explain how to <b>select objectives (priorities)</b> among all of the existing objectives!</li> </ul> <p style="text-align: right;">108</p>	<p>To ensure that the objectives of this session are achieved, ask participants to provide answer to the following questions in this slide).</p> <p>(Complete participants' answer when necessary).</p>
<p style="text-align: right;"> Palang Merah Indonesia</p> <h2 style="color: red;">Exercise Instruction for Objective Analysis (Case Study)</h2> <ol style="list-style-type: none"> <li>1. Revisit the problem tree you have developed based on the case study.</li> <li>2. Transform the negative statements into positive statements.</li> <li>3. Consolidate some similar objectives, merge them.</li> <li>4. Check the logical relations of cause and effect from lower level to the higher level.</li> </ol>  <p style="text-align: center;"><b>Time 60 minutes</b></p> <p style="text-align: right;">109</p>	<h3 style="color: red;">Exercise on Objective Analysis using Objective Tree (Puzzle and Case Study)</h3> <p>(Facilitator should present the instructions in this slide clearly to ensure all participants understand well what they are going to do during the objective analysis exercise. Follow these guidance!)</p> <ol style="list-style-type: none"> <li>1. Please create an objective tree from the problem tree you have created based on the case study.</li> <li>2. After finished, each group will present their result (in 5 minutes) and other groups provide feedback.</li> <li>3. Refine things as necessary</li> <li>4. Close this exercise by saying "Objectives should be clearly and precisely stated so that other people understand them well."</li> </ol>
<p style="text-align: right;"> Palang Merah Indonesia</p> <h2 style="color: red;">Feedback for Group Work Result (Not to be displayed)</h2> <ul style="list-style-type: none"> <li>• Developing an objective tree is not merely reversing the negative statements in the problem tree into positive statements. <b>Remember that several problems might be able to be addressed with one objective.</b> Use the example from Sanitation project to explain this.</li> <li>• An objective tree also has to portray logical relations, where if the objectives at the lower level (roots) are achieved, then the main objective (trunk) will be achieved, therefore the long-term objectives or impacts (branches/leaves) will be achieved.</li> <li>• An objective tree will be the basis in developing a logframe and a work plan, therefore it has to be made carefully.</li> </ul> <p style="text-align: right;">110</p>	<p>(To maximize the result, facilitator should provide support DURING the group work/discussion (NOT ONLY during presentation)).</p> <p>(Feedback on this slide could be used to review and refine group work result).</p>

### Exercise Instruction for Objective Selection

1. Read the objective tree you developed based on the case study.
2. Fill out the Objective Selection Matrix by giving scores.
3. Determine the objectives you want to achieve.



Time  
20 minutes

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### Exercise - Selecting Objectives

(Facilitator should present the instructions in this slide clearly to ensure all participants understand well what they are going to do during the objective analysis exercise).

After finished, ask one group to present their result and other groups provide feedback.

(Close this session by saying)

If you incorrectly identify and prioritize the objectives, the effects are:

- You will go wrong in the next stage.
- You will face challenges and difficulties when implementing it.
- You ultimately will not address the real problem.

### Feedback for Groups Work Results (Not to be displayed)

- Selecting or prioritizing objectives is not just about scoring. It is about selecting the most effective objectives to address the existing problems, and based on organizational capacity.
- Sometimes, there are objectives that you cannot achieve, but maybe you can do something about it. For example, you cannot build adequate sanitation infrastructure, because it is not your organization mandate and you do not have the capacity to do so. For this, you can still do advocacy through various means. For example, providing information to the media, facilitating rural development planning, etc.

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(To maximize the result, facilitator should provide support DURING the group work/discussion (NOT ONLY during presentation)).

(Feedback on this slide could be used to review and refine group work result).

# Session 3 - Project/Program Design

To [Introduction to Planning Session](#) - [Identification Session](#) - [Design Session](#) - [Set Up Session](#) - [Implementation Planning Session](#) - [Implementation Session](#) - [M&E and Reporting Session](#) - [Transition/Closure Session](#)

 <h2 style="text-align: center;">Session 3 DESIGN PHASE</h2> <div style="background-color: red; color: white; padding: 10px; margin-top: 10px;"> <h3 style="margin: 0;">3.1 Understanding Logical Framework (Logframe)</h3> <h3 style="margin: 0;">3.2 Developing Work Plan or Project/Program Proposal</h3> </div> <p style="text-align: right;">113</p>	<h3>Design Phase</h3> <p>In the design phase, you will design the objectives you have selected from the Objective Tree into a logical framework (Logframe).</p> <p>At this stage, you still have opportunity to clarify those objectives and make them clearer, precise, and measurable.</p> <p>Beforehand, you need to understand the levels of result or objectives and then be familiar with the logframe matrix and its component.</p>
 <h3>Objectives of Session 3</h3> <div style="display: flex; align-items: flex-start;">  <div style="margin-left: 10px;"> <p><b>Participants are able to define:</b></p> <ul style="list-style-type: none"> <li>▪ Goal, outcome, output, activity, and input, indicator.</li> <li>▪ Logframe components (objectives, indicators, means of verification, assumptions)</li> </ul> </div> </div> <div style="display: flex; align-items: flex-start; margin-top: 10px;">  <div style="margin-left: 10px;"> <p><b>Participants are able to explain:</b></p> <ul style="list-style-type: none"> <li>▪ The horizontal/vertical logical relations in the logframe; goal, outcome, output, activities, input and assumption.</li> <li>▪ The importance of project/program scope identification and steps to do so.</li> <li>▪ The objectives and methods of budget development</li> </ul> </div> </div> <div style="display: flex; align-items: flex-start; margin-top: 10px;">  <div style="margin-left: 10px;"> <p><b>Participants are able to develop a logical and comprehensive annual work plan along with a rational budget plan, in accordance with PMI Planning and Reporting Guideline.</b></p> </div> </div> <p style="text-align: right;">114</p>	<h3>The objectives of session 3:</h3> <p style="background-color: yellow;">(Read this slide or ask participants to read it. Encourage them to achieve these objectives by the end of this session).</p>
 <h3 style="text-align: center;">Understanding Objective Hierarchy</h3> <div style="display: flex; align-items: center;">  <div style="margin-left: 20px;"> <ul style="list-style-type: none"> <li>▪ Ultimately, some outcomes will <u>contribute</u> to achieve the goal.</li> <li>▪ Then some outputs will <u>enable</u> the achievement of outcome.</li> <li>▪ One or few activities will <u>produce</u> output.</li> <li>▪ With adequate inputs, activity can be <u>conducted</u>.</li> </ul> </div> </div> <p style="background-color: red; color: white; padding: 2px; display: inline-block;">RB: 54</p> <p style="text-align: right;">115</p>	<h3>Defining Results and Objectives</h3> <p>“Results” are defined as “the effects” of actions, and can be intended or unintended, positive or negative”.</p> <p>The <i>intended</i> results that a project/program sets out to achieve are often referred to as “objectives”. They are used as the basis of planning. Therefore, PMI should develop its work plan based on objectives, instead of list of activities.</p> <p>Results or objectives can be split by levels, sometimes referred as “objectives hierarchy”; namely <i>output</i>, <i>outcome</i>, dan <i>goal</i>.</p> <p><b>This hierarchy diagram above can be read as follows:</b> With sufficient input, the activities can be conducted. One or several activities will deliver one output. Furthermore, some outputs will enable the achievement of an outcome. Finally, some outcomes will ultimately contribute to achieve the final goal.</p>

(Afterwards, ask participants to define goal, outcome, output, activity, and input with their own words. Complete them as necessary).

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### 3.1. Understanding Logframe

## What is LOGFRAME?

# Logframe = SUMMARY OF Project/Program DESIGN

RB: 54 99

**Getting familiar with Logframe**

(Ask participants to explain what logframe is; and then explain the following information).

Log frame is a summary of project/program design; it sets out a logical sequence of cause-effect relationships based on the results chain/objectives hierarchy.

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.

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### Logframe Matrix

Objectives (What we want to achieve)	Indicators (How to measure change)	Means of verification (Where/how to get information)	Assumptions (What needs to happen)
Goal			
Outcome 1			
Output 1.1.			
Output 1.2.			
Outcome 2			
Output 2.1.			
Output 2.2.			
Outcome 3			
Etc...			

RB: 55 117

**Logframe Matrix**

As the logframe is a summary of a project/program design therefore it will not contain detailed information. The detailed information will be described in the proposal, budget and implementation plan. As shown in the following table, a logframe consists of:

- **Objective:** what would we like to achieve (at different level, such as output, outcome, goal)?
- **Indicator:** what are the measurement of changes or success or our achievements?
- **Means of verification:** how to obtain all needed information to measure an indicator.
- **Assumption:** things/situation that is required to happen/hold true in order to success.

**Remember, you could include key activities within a logframe, but sometimes it is not necessary.**

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### Explanation of Logframe Matrix

Objectives (What we want to achieve)	Indicators (How to measure change)	Means of verification (Where/how to get information)	Assumptions (What needs to happen)
<b>Goal</b> The long-term results that projects/program seeks to achieve. The achievement does not entirely depend on PMI but may be contributed by factors outside PMI project/program.	<b>Impact indicators:</b> Quantitative and/or qualitative criteria to measure progress against goal.	How the information on indicator(s) will be collected (may include who will collect it and how often).	External factors beyond the control of the project/program, yet necessary for the goal to contribute to higher-level results.
<b>Outcome(s)</b> The primary result(s) that an intervention seeks to achieve, most commonly in terms of knowledge, attitudes or practices of the target group.	<b>Outcome indicators:</b> Quantitative and/or qualitative criteria to measure progress against outcomes.	As above	External factors beyond the control of project/program, yet necessary for the outcomes to contribute to achieving the goal.
<b>Output:</b> The tangible products, goods and services and other immediate results that lead to the achievement of outcomes.	<b>Output indicators:</b> Quantitative and/or qualitative criteria to measure progress against outputs.	As above	External factors beyond the control of the project/program, yet necessary if outputs are to lead to the achievement of the outcomes.

RB: 56 118

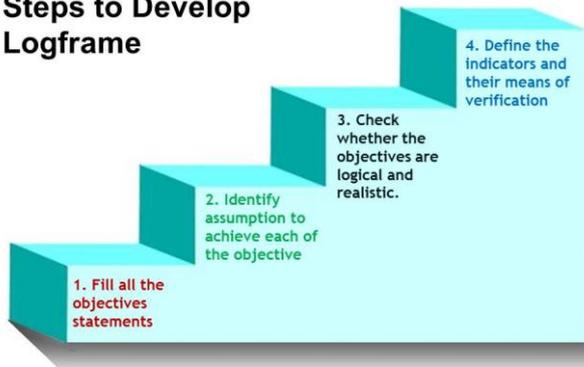
**Explanation to Logframe Matrix**

Look at this “Logframe Matrix”, think about the definition of each component and try to explain with your own words:

- What is output, outcome, goal/objective?
- What is output, outcome, goal/objective indicator and what are the differences?
- What is means of verification and assumption?

(Complete participants' answer by referring to the Reference Book).

## Steps to Develop Logframe



RB: 56

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## Steps to develop a Logframe Matrix

- First, fill out all objective statements (goal, outcome, and output) with clear sentences.
- Second, identify assumptions required to happened/hold true to achieve those objectives.
- Third, check whether each objective and assumption is logical and realistic.
- Fourth, define the indicator and its means of verification.

## Column 1: OBJECTIVE Statement



What differentiates these three statements?

- **How easy to achieve them**
- **Our control over them**
- **The numbers required**
- **Semantics**

RB: 56

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## Step 1. Writing objective statements

To better understand the difference between objective statement (goal, outcome, and output), let's look at this slide.

- **In terms of the ease to achieve**, it is easier to achieve outputs than outcomes. An outcome is easier to achieved than a goal, as we only contribute to it
- **In terms of the level of control**, usually we can control outputs. For instance, we have the control to ensure the process and quality of an activity. While for outcome, the level of our control is lower due to many factors that could influence it.  
The goal is usually beyond our control.
- **It needs several outputs** to achieve an outcome. You also need to achieve several outcomes to contribute to the goal.
- **The semantic** is also different, which will be discussed in the following slide.

## Semantics

- **Goal:** To reduce death and injury rate due to disaster.
- **Outcome:** Preparedness measures/practices among community members are increased.
- **Output:** Community members are trained to save themselves during disaster taking place.
- **Activity:** Conducting disaster drill at community level; Educating community members on disaster preparedness measures.

RB: 56

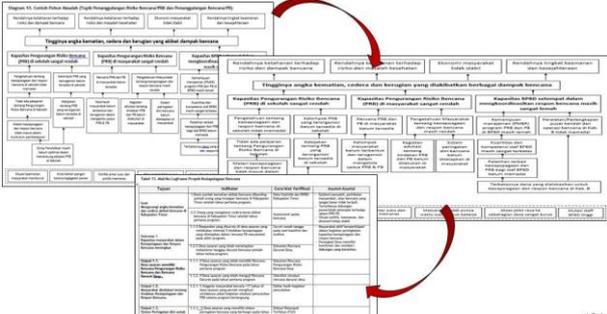
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## Semantic on writing the objectives correctly

When you write down objective statements, you need to pay attention to the semantic to clearly differentiate objective, outcome, and output. If not, people might misunderstand your logframe.

**Semantic is a simple thing and yet very important!**  
Following the rules to write objectives:

- **Goal or Strategic Objective** is written in an active sentence and is directive, for instance "to reduce, to increase, to strengthen, etc.
- **Outcome** is written in a passive sentence, as 'as if it is already achieved; for example: "increased, strengthened, declined, functioned, etc.
- **Output** is written in a passive sentence; for example: "available, trained, distributed, established, used, developed, etc.
- **Activity** is written in an active sentence; for example "to train, to promote, to educate, to

<p style="text-align: right;">Palang Merah Indonesia</p> <p style="text-align: center;"><b>Transforming/modifying objectives statement in the objective tree</b> → <b>Goal</b></p> <ul style="list-style-type: none"> <li>• Objective Tree: The number of death, injury, and loss due to disaster is <b>decreasing</b>.</li> <li>• Goal: <b>To reduce the number of death and injury rate due to disaster impact in Eastern District</b></li> </ul> <p style="text-align: right;">122</p>	<p>held, etc.”</p> <p><b>(Ask participants to read this slide and understand how to transform the statement from of the Objective Tree into a goal statement).</b></p> <p>Note that the word “declined” is changed into “to reduce”.</p> <p>You can add additional information such as geographical areas or modify the sentence to make it more comprehensive.</p>
<p style="text-align: right;">Palang Merah Indonesia</p> <p style="text-align: center;"><b>Transforming/modifying objective statement in the objective tree</b> → <b>Outcome</b></p> <ul style="list-style-type: none"> <li>• <b>Objective Tree:</b> The communities' capacity to prepare for and respond to disaster is improved.</li> <li>• <b>Outcome:</b> The communities' capacity to prepare for and respond to disaster is improved.</li> </ul> <p style="text-align: right;">123</p>	<p><b>(Ask participants to read this slide and understand how to transform the statement from the Objective Tree into an outcome statement).</b></p> <p>You can add additional information such as geographical areas or modify the sentence to make it more comprehensive.</p>
<p style="text-align: right;">Palang Merah Indonesia</p> <p><b>Observing how the statements are changed</b> Ask participants to step near the displayed flip chart</p>  <p style="text-align: right;">124</p>	<p><b>(In the previous session, it was suggested to compare the problem tree with the objective tree. Now, please compare the objective tree with the logframe. If these documents are available in A0 size, you can display them and present how those statements have been transformed).</b></p>

### Column 4: Identifying Assumption

Assumption: external factors needed to happen/hold true to ensure the project/program's success but are beyond our control



I will arrive at the office at 8 am, if I depart at 6am from home with the assumption that there is low traffic.

RB:60

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### Step 2. Identifying assumption

#### What is an assumption?

Look at this picture: if I depart at 6 from home, with an assumption that there would be less traffic, then I will arrive at 7 at the office.

“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. For example:

- The early warning system will function properly if the government agencies (such as: National DM Agency, Meteorological and Climatology Agency, or Volcanology Agency) are able to provide accurate and timely disaster forecasts.
- The blood availability will be sufficient if community members are willing to regularly donate their blood.
- PMI’s income from private sector will increase if companies are interested to cooperate with PMI.

### Assumption VS Risk?

Assumption describes Risk in a positive statement

Risk is a negative form of an assumption

“political and security situation is uncertain”



“political and security situation remains stable”.

RB:61

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(Before proceeding to show all information in this slide, ask participants: “what is the difference between Assumption and Risk? Complete their answer with the following information).

Assumption and risk are basically similar, they are different in how they are sentenced, one in a positive sentence; while the other in a negative sentence.

Assumptions are external factors that have been identified during problem analysis and will influence the project/program’s success in addressing the problem.

During implementation phase, the assumption in the logframe will be treated as risks that need to be controlled and managed.

### Assumption VS Risk?

Why do we need to identify Assumption during project/program design?

Why do we put Assumption instead of Risk in the LOGFRAME matrix?

RB:60

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(This is an analytical question, ask participants to provide their answer. Afterwards, complete their answer with the following information.)

Logframe is a tool to articulate the intended objectives of a project/program. As the assumption written in a **positive sentence**, then it is in line with the objective statement. Therefore, the horizontal logic relationship can be verified.

In addition, including risks in the logframe will potentially put the objectives and risks in contrast because risks are written in a negative form.

### Steps to identify assumption?



1. **Identify** risks
2. **Rewrite** risks as assumption
3. **Align** the assumption with specific objectives
4. Check that the assumption:
  - ✓ **is indeed important**
  - ✓ **out of our control**
  - ✓ **probable to happen**

RB: 61

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### Steps to identifying assumption

Identifying assumption is similar with “thinking out of the box”, it means you anticipate things that could potentially make your project/program fail.

Look at Reference Book page 61.

**(Ask some participants to take turns in reading it with a clear voice)**

The level of our control to the assumption is different. **The higher the objectives, the less control we have to the assumption.** Conversely, even for the output level, we should be able to control things required to achieve the expected output. Nevertheless, there are always assumptions that are beyond our control, such as weather, community interest, etc.

### Logical Relations of: IF; AND; THEN

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

RB: 62

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### Verifying the logical relationship “IF-AND-THEN”

If the objective hierarchy is read from the 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.

Remember, that you could exclude activity and input in your logframe. However, to help the logic thinking, input and activity is included in this table.

### Example on how to read the logic of --If; And; Then-- (see logframe in page 78)

**IF** the targeted communities have DRR and contingency plan; community members are educated on disaster response and preparedness measures; the Early warning System to monitor disaster risks is well-functioning.

**AND** the community members actively participate in activities to improve the preparedness and response capacity; Community Structures have high commitment and provide consistent supports.

**THEN** the communities’ preparedness and response capacity is improved.

RB: 63

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**(Ask one of the participants to read the slide).**

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### Exercise Instruction to Arrange Puzzle of Objectives & Assumption Statements

1. I will distribute pieces of objective and assumption statements. Read them carefully!
2. Arrange those objectives statements into a proper hierarchy of Goal, Outcome, and Output.
3. Arrange assumption statements for each of the objective statement.
4. Check the logic and read the logframe using IF, AND, THEN.



**Time**  
**45 minutes**

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### Puzzle Games “Objectives and Assumption”

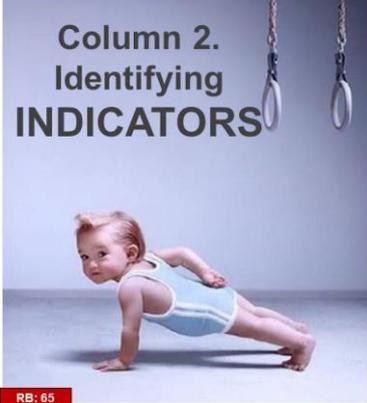
**(Facilitator should present the instructions in this slide clearly to ensure all participants understand well what they are going to do during the exercise. Please read the instructions in this slide)**

This exercise aims to enable participants to:

- Understand objective statement according to its level, place them in a correct hierarchy, and then examine the logical relationship and how realistic they are.
- Identify assumption at different levels, place them in a correct hierarchy, and then examine the logical relationship.

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### Column 2. Identifying INDICATORS



“Are you healthy?  
What are the measurements?  
What are the indicators?”

**Indicator is a measurement or indication or proof that the intended objectives/results are achieved**

RB: 65

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### Step 3. Defining Indicator

**(Ask participants)** “What is indicator? Why do you need to define indicator?”

For example, to know that you are physically healthy, what are the indications? (Answer: Body Mass Index, temperature, blood pressure, and some other parameters).

An indicator is a unit of measurement that helps to determine what progress is being made towards the achievement of an intended result (objective). Indicators can be quantitative (e.g., numbers, percentages) or qualitative (e.g., level of understanding and quality of implementation).

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### Indicators must measure:

- ✓ Results/Impacts
- ✓ Process
- ✓ Compliance to standard
- ✓ Relevance
- ✓ Sustainability



RB: 65

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### What should an indicator measure?

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*)

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**Percentage of Primary School Students in 4-6<sup>th</sup> grade at District A who are able to mention 3 response measures during earthquake, by the end of the first year of the Well-Prepared School program**

**Number of targeted communities in District B that have had community contingency fund of at least IDR 20 million by the end of project implementation**

RB: 66

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### Indicator Criteria

As indicator is a measurement, therefore it should be SMART to be able to measure the progress or achievement in accurate and reliable manner.

**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.

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### Levels of Indicator

RB: 68

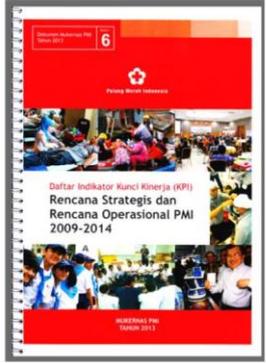
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### Levels of indicator

**(Explain each level of the indicators in this slide).**

Indicator also has its weight, in terms of how difficult it is to achieve them as well as how easy the measurement will take place. The higher the objectives then its indicator increasingly has more weight and often it takes a greater effort to collect its data. Following are the levels of indicator, ranging from input to 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.

<p style="text-align: right;"> Palang Merah Indonesia</p> <h3 style="text-align: center;">3 Steps to Determine Indicator</h3> <ul style="list-style-type: none"> <li>• <b>Step 1: Clarify the objective statements.</b> Ensure that the team is clear about the exact changes sought by the project/program.</li> <li>• <b>Step 2: Identify the existing indicators</b> Refer to previous project/program indicators or from various sources of international standard indicator.</li> <li>• <b>Step 3: Select the best indicators.</b> Select ONLY indicators which represent the most important dimension of the objective/result.</li> </ul> <p>RB: 68 <span style="float: right;">136</span></p>	<h3>Three important steps in defining indicator:</h3> <p><b>Step 1: clarify the objectives.</b> 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.</p> <p><b>Step 2: Develop a list of possible indicators.</b> Usually, many possible indicators can be readily identified, whether from the experiences of similar projects/programs or it can be particularly useful to refer.</p> <p><b>Step 3: Assess the possible indicators and select the best.</b> 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.</p>
<p style="text-align: right;"> Palang Merah Indonesia</p> <div style="display: flex; align-items: flex-start;">  <div style="margin-left: 20px;"> <h3>Standard Indicator</h3> <ul style="list-style-type: none"> <li><input type="checkbox"/> PMI Strategic Plan and Operational Plan</li> <li><input type="checkbox"/> Sendai Framework</li> <li><input type="checkbox"/> IFRC/PNS</li> <li><input type="checkbox"/> MDGs/SDGs</li> <li><input type="checkbox"/> USAID</li> <li><input type="checkbox"/> AUSAID</li> <li><input type="checkbox"/> UNGASS</li> <li><input type="checkbox"/> UNAIDS</li> <li><input type="checkbox"/> Ministries/BNPB</li> </ul> </div> </div> <p>RB: 69 <span style="float: right;">137</span></p>	<p>Basically, there are various sources of indicators that have been tested by international standards (government programs, UN, and donors (such as USAID, AusAID, the Hyogo Framework of Action / HFA, and IFRC).</p> <p>During program/project development, you should use standardized indicators instead of creating new indicators <b>when not needed.</b></p> <p>Typically, an indicator list/bank/registry is made, along with its definition, calculation, and means of verification. This information will be very useful and helpful to do proper indicator measurement.</p> <p>In PMI Planning and Reporting Guideline, the Strategic Plan and Operational Plan for 2014-2019 have an indicator registry created specifically for each level of PMI office, starting from the headquarter, chapter, and branch. When designing a project/program or work plan, you should refer to PMI indicator registry.</p>
<p style="text-align: right;"> Palang Merah Indonesia</p> <h3 style="text-align: center;">Creating SMART Indicator</h3> <p><b>Goal:</b> To improve the quality of Primary School in District A.</p> <p><b>Indicator:</b> <b>Students are better</b> by 2015 at District A. → Not <b>Specific</b>; Not <b>Measurable</b>.</p> <p><b>Correction:</b> <b>Percentage of 6<sup>th</sup> grade primary school students</b> in District A who <b>passed the final exam</b> by 2015.</p> <p>RB: 69 <span style="float: right;">138</span></p>	<h3>Improving indicator statement</h3> <p><b>(This exercise aims to help participants to identify errors when creating an indicator and to enable them to fix it. Therefore they are able to formulate indicator statement correctly).</b></p> <p><b>(Ask participants to mention which part of the statement that needs to be improved).</b></p>

 <p style="text-align: right;">Palang Merah Indonesia</p> <h3 style="text-align: center;">Creating SMART Indicator</h3> <p><b>Outcome:</b> The youth's knowledge on HIV &amp; AIDS is increased.</p> <p><b>Indicator:</b> % of youth study about AIDS.</p> <p>→ Not <b>Specific</b>, Not <b>Time-Bound</b>, Not <b>Area-Specific</b>.</p> <p><b>Correction:</b> % of youth with <b>17-25 of age in District A</b> who is able to mention <b>at least 5 ways to prevent</b> HIV transmission <b>by the end of 2015</b>.</p> <p>RB: 69</p>	<p>(Ask participants to provide feedback to the following indicator statement, so that they are able to formulate SMART indicator statement).</p>
 <p style="text-align: right;">Palang Merah Indonesia</p> <h3 style="text-align: center;">Creating SMART Indicator</h3> <p><b>Outcome:</b> Condom use is increased</p> <p><b>Indicator:</b> Number of people <b>using condom</b> during the last risky sex <b>by the end of the project</b>.</p> <p>→ Not <b>attainable</b> (it is very difficult or impossible to collect this information accurately).</p> <p><b>Correction:</b> Percentage of respondent <b>who reported</b> that they/their spouse used condom during the last risky sex <b>by the end of the project</b>.</p> <p>RB: 70</p>	<p>(Ask participants to provide feedback to the following indicator statement, so that they are able to formulate SMART indicator statement).</p>
 <p style="text-align: right;">Palang Merah Indonesia</p> <h3 style="text-align: center;">Creating SMART Indicator</h3> <p><b>Goal:</b> To increase immunization coverage for babies in District A.</p> <p><b>Indicator:</b> Number of mother who <b>kept her baby's immunization card</b> by the end of 2014.</p> <p>→ Not <b>Relevant</b>.</p> <ul style="list-style-type: none"> <li>• <b>Correction :</b> % of <b>under one-year-old baby</b> who has received <b>all basic immunizations</b> by the <b>end of 2014</b>.</li> </ul> <p>RB: 70</p>	<p>(Ask participants to provide feedback to the following indicator statement, so that they are able to formulate SMART indicator statement).</p>
 <p style="text-align: right;">Palang Merah Indonesia</p> <h3 style="text-align: center;">Creating SMART Indicator</h3> <p><b>Outcome:</b> Road access facilities in District A is well-functioning.</p> <p><b>Indicator:</b> Number of kilometer for the completed road construction <b>and</b> established bus routes in District A.</p> <p>→ Feedback: Not <b>Time-Bound</b>, Not <b>Specific</b> ("Mixed Indicator").</p> <p><b>Correction:</b> Number of kilometer for the completed road construction <b>and established bus route</b> in District A <b>by the 18<sup>th</sup> month of the project</b>.</p> <p>RB: 70</p>	<p>(Ask participants to provide feedback to the following indicator statement, so that they are able to formulate SMART indicator statement).</p>

**Column 3. Determining Means of Verification**



Means of verification are **methods and tools** to collect **data/information** on **indicator** to **monitor and evaluate** the project/program progress.

RB: 72

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**Step 3. Determining 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. 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.

**Determining Means of Verification**



**Step 1:**  
Identify possible sources of data/information

**Step 2:**  
Determine data collection methods and tools

RB: 72

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**Steps to determine 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 or secondary data.

**Step 2: Identify the data collection methods.**

Identifying the data collection methods can include:

- ✓ Consulting secondary research sources (as listed above).
- ✓ Specifying which primary research methods (brainstorming, FGD, survey, census, polling, observation, interview, case study, anthropometric measurement).
- ✓ 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; When/how regularly, the information will be provided (e.g. monthly, quarterly, annually, etc.).

 Palang Merah Indonesia

## Data Collection Methods & Tools

 **Secondary Data**

**Methods:**

- Literature review
- Report/records review

**Tools:**

- Statistical data
- Reporting documents from government, NGO

 **Qualitative Primary Data**

**Methods:**

- Discussion
- FGD
- Interview
- Case study

**Tools:**

- Historical record
- Schedule
- Map

 **Quantitative Primary Data**

**Methods:**

- Survey
- Census
- Polling
- Anthropometric measurement (height & weight)

**Tools:**

- Self-administered questionnaire
- Questionnaire
- Scale

RB: 74145

### Data Collection Tools

Following are various data collection tools, both primary and secondary; quantitative or qualitative.

- **Primary Data** is data that are collected **specifically** to serve project/program needs; while **secondary data** is collected for other project/program, but could be used for our project/program.
- **Quantitative Data** measures and explains things with numbers (such as number, ratio, percentage, proportion, average, etc.)
- **Qualitative Data** explains things using words (documented observation, case description, perception, opinion, value, etc.)

**Remember, combining quantitative data and qualitative data is the best way to provide high quality information.**

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### “Matching” Means of Verification Game

**Required indicator or information:**

- Community member's opinion on the quality of DRR promotion in Village A.  
**FGD, Question Guide**
- % respondent who is able to show the grab bag.  
**Survey, Questionnaire**
- Number of village that has conducted disaster drill according to its contingency plan.  
**Observation, Checklist**

**Data collection methods:**

- Survey
- Observation
- Secondary Data
- PRA (Participatory Rapid Assessment)
- Interview
- FGD (Focus Group Discussion)
- Visual technique (photo)

**Data collection tools:**

- Questionnaire
- Checklist
- Question guide
- Camera

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### “Means of Verification” Game

You should be able to distinguish between **METHODS** and **TOOLS**. Method is “how to get the data”; while tool is “tool”.

I will show an indicator statement or information required and then you will mention which methods and tools that are most suitable to measure it.

 Palang Merah Indonesia

### “Matching” Means of Verification Game

**Required indicator or information:**

- Number of people in District A by sub district, village, sex, and age.  
**Secondary Data from Statistic Office**
- Disaster impacts experienced by most communities who are vulnerable to flood.  
**FGD, Photo, Question Guide, Camera**
- Community risks, vulnerability, and capacity map in disaster response.  
**PRA, Questionnaire, GPS/Camera**

**Data collection methods:**

- Survey
- Observation
- Secondary Data
- PRA (Participatory Rapid Assessment)
- Interview
- FGD (Focus Group Discussion)
- Visual technique (Photo)

**Data collection tools:**

- Questionnaire
- Checklist
- Question guide
- Camera

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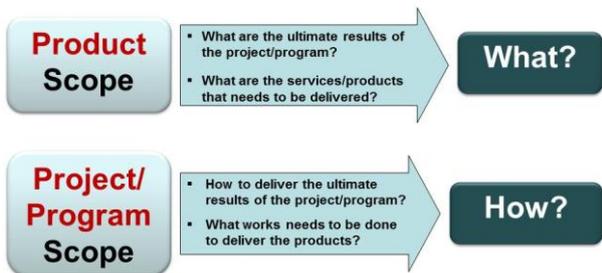
### “Means of Verification” Game

I will show an indicator statement or information required and then you will mention which methods and tools that are most suitable to measure it.

<p style="text-align: right;"> Palang Merah Indonesia</p> <h2 style="text-align: center;">Important Message on Logframe</h2> <p style="text-align: center;">Logframe articulates what we want to <b>achieve/deliver</b> with clear <b>performance indicator</b>;</p> <p style="text-align: center;">It is very useful as a basis to develop a <b>proposal/work plan</b> and conduct <b>M&amp;E</b></p>  <p style="text-align: right;">148</p>	<p><b>(Read this slide to conclude important message about Logframe).</b></p>
<p style="text-align: right;"> Palang Merah Indonesia</p> <h2 style="text-align: center;">Exercise Instruction - Indicator &amp; Means of Verification Puzzle</h2> <ol style="list-style-type: none"> <li>1. I will give you pieces of indicator and means of verification. Read them thoroughly!</li> <li>2. Arrange those pieces into Goal, Outcome, and Output statements.</li> <li>3. Check your answer, ensure that all is correct.</li> </ol>  <p style="text-align: center;"><b>Time</b> <b>20 minutes</b></p> <p style="text-align: right;">149</p>	<p><b>“Indicator and means of verification” Puzzle Game</b></p> <p><b>(Facilitator should present the instructions in this slide clearly to ensure all participants understand well what they are going to do during the exercise. Read the instructions in this slide).</b></p> <p>This exercise aims to enable participants to:</p> <ul style="list-style-type: none"> <li>- Understand SMART indicator statement.</li> <li>- Identify appropriate methods and tools to measure indicator.</li> </ul>
<p style="text-align: right;"> Palang Merah Indonesia</p> <h2 style="text-align: center;">Exercise instruction - Designing a Logframe-Case Study</h2> <ol style="list-style-type: none"> <li>1. Based on your problem tree, design a Logframe for your program/work plan.</li> <li>2. Ensure that you write good and correct Goal, Outcome, and Output statements.</li> <li>3. Write the required Assumption to hold true to achieve those objectives.</li> <li>4. Write the indicators and their means of verification.</li> <li>5. Check the logical relations between objectives and its assumption by using IF, AND, THEN.</li> </ol>  <p style="text-align: center;"><b>Time</b> <b>60 minutes</b></p> <p style="text-align: right;">150</p>	<p><b>Exercise to design a logframe based on Objective Tree developed using case study scenario.</b></p> <p><b>(Facilitator should present the instructions in this slide clearly to ensure all participants understand well what they are going to do during the exercise. Read the instructions in this slide).</b></p> <p>This exercise aims to enable participants to develop logframe well, with:</p> <ul style="list-style-type: none"> <li>- Clear and logical objectives</li> <li>- Important assumptions</li> <li>- SMART indicators</li> <li>- Appropriate means of verification</li> </ul>
<p style="text-align: right;"> Palang Merah Indonesia</p> <h2 style="text-align: center;">Feedback for Groups Work Results (Not to be displayed)</h2> <ul style="list-style-type: none"> <li>• Make sure that the goal, outcome, output statements have logical (causal) relations and are in accordance with the theory. For example, to reduce the incidence of dengue fever, one of the outcomes would certainly be 3M practices. You should not put handwashing or defecating in latrines as an outcome.</li> <li>• Assumptions must meet the criteria of "important"; "Possible"; and "Out of team's control". So if they do not meet these criteria, then the assumption should not be included into the log frame. Note that as the project/program team, you are responsible to ensure that all of the assumptions at the lower level (output) can be held true. The more assumptions you make indicates that the project/program is at risk to fail.</li> <li>• Check the indicator statement, whether it is SMART or not and correct if necessary.</li> <li>• Semantics should be precise and clear. Remember, logframe is a summary of what you want to do or achieve through a project/program, if it is not clear then people will probably laugh or get confused when reading it.</li> <li>• Developing logframe would certainly need time. Do not ever expect to finish it in 2-4 hours. It takes time and careful thought.</li> </ul> <p style="text-align: right;">151</p>	<p><b>(To maximize the result, facilitator should provide support DURING the group work/discussion (NOT ONLY during presentation)).</b></p> <p><b>(Feedback on this slide could be used to review and refine group work result).</b></p>

<p style="text-align: right;">Palang Merah Indonesia</p> <h3>3.2. Developing a Work Plan/Proposal</h3>  <p>Developing proposal: articulating <b>analysis results</b> from identification of needs, capacity, stakeholder, logframe, activity plan, and budget into a <b>concise document</b> (10-30 pages) to secure <b>approval and funding</b>.</p> <p>RB: 78 <span style="float: right;">152</span></p>	<p>At this phase, you will develop an annual work plan or a project/program proposal.</p> <p>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.</p>
<p style="text-align: right;">Palang Merah Indonesia</p> <h3>The Content of Work Plan/Proposal</h3> <ol style="list-style-type: none"> <li>1. <b>Background</b> (assessment result to provide rationale on the importance of addressing issues through a project/program).</li> <li>2. <b>Summary of analysis result</b> (Organizational (PMI) SWOT analysis, stakeholder analysis, and problem analysis).</li> <li>3. <b>Summary of the objectives</b>; Goal, Outcome, Output, implementation and management strategies, key activities.</li> <li>4. <b>Description of target areas</b>, number of beneficiaries, required personnel and duration/time frame.</li> <li>5. <b>Proposed activity/implementation plan and budget</b>.</li> <li>6. <b>Logframe and M&amp;E plan</b> will serve as proposal attachments.</li> </ol> <p>RB: 78 <span style="float: right;">153</span></p>	<p><b>(Read each point in this slide and provide brief explanation).</b></p>
<p style="text-align: right;">Palang Merah Indonesia</p> <h3>Identifying Project/Program Scope</h3> <p><b>Scope is:</b></p> <p><b>“Activities required to be conducted and product/services to be delivered by a project/program.”</b></p>  <p>RB: 79 <span style="float: right;">154</span></p>	<h3>Determining Project/Program Scope</h3> <p>The American baseball legend, Yogi Berra, famously said, “If you don’t know where you are going, you will wind up somewhere else.”</p> <p>Similarly, to the project/program scope, if <b>you do not know what the expected results are and how to deliver them, you will never succeed</b>. That is why scope management is very important to a successful project/program.</p> <p><b>(Read the slide)</b></p>
<p style="text-align: right;">Palang Merah Indonesia</p> <h3>Identifying Project/Program Scope</h3> <p><b>Determining Scope:</b></p> <p><b>“including ALL (100%) and ONLY the works required to ensure the project success.”</b></p>  <p>RB: 79 <span style="float: right;">155</span></p>	<h3>Determining Project/Program Scope</h3> <p>A well-determined project/program scope will not only tell the team about <b>where to go</b> but <b>how to get there</b>.</p> <p><b>(Read the slide)</b></p>

## Determining Project/Program Scope



RB: 79

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A scope has two components:

A **Product Scope** describes ALL deliverables of the project/program that meet the agreed specification (what should be produced)

A **Project/Program Scope** describes its overall works that must be completed to deliver the expected deliverables.

Both of these scopes are important to be managed well to ensure the project/program's success.

## Results of unclear scope:



RB: 80

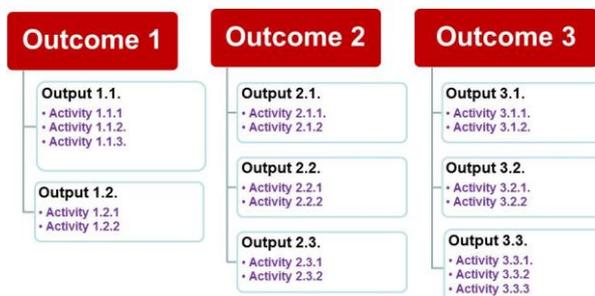
157

What would happen if the scope is unclear?

In the absence of a clear scope definition, the following problems may arise:

- ✓ **Unclear expectations:** Ambiguity in scope leads to confusion among stakeholders with regard to what to expect - and what not to expect - from the project.
- ✓ **Inaccurate estimates:** Errors in scope definition often result in projects/programs 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.
- ✓ **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.

## How to Identify Scope



RB: 81

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The following diagram illustrates how to identify the project/program scope, where under each output, you need to identify all activities required to produce it.

Often, to produce one output, you need to do more than one activity.

## Developing Proposed Budget

What is budgeting?

What are the objectives of budgeting?



RB: 82

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## Managing Project/Program Finance

PMI usually relies on public support, individual or organizational donors, government to fund its programs and they expect donations to be well-managed to deliver the expected results. PMI also has an obligation to the communities and partners they serve, to be responsible in ensuring that the resources obtained on their behalf are used in an optimal manner.

We often find a work plan without a realistic budget plan, or it is usually in lump sum by activity and therefore, excess or shortage of budgets is often the case.

**Budget** is a description of the project/program's financial plan that includes a list of project/program cost estimates. As 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

## Objectives of Budgeting

✓ **To rationalize source of fund**; provide limits on the amount of funds that need to be sought and used.

✓ **To enhance work plan** since with the budget, it becomes clearer and more tangible.

✓ **To analyze and decide** any proposals related to finance.



RB: 83

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## The purpose of budgeting:

- To rationalize resources and provide limits on the amount of funds that need to be sought and used,
- To enhance the work plan, since with the budget, it becomes clearer and more tangible,
- To accommodate, analyze and decide any suggestions related to finance.

## Benefits of Budgeting

- ❖ to ensure that all activities are **directed to achieve** the objectives,
- ❖ as a tool to assess utilization (**over or under expenses**),
- ❖ to create a **sense of responsibility** for the employees,
- ❖ to **avoid waste** of resource (increasing efficiency).



RB: 83

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## The benefit of budgeting:

- To ensure that all activities are directed to achieve its objectives,
- To serve as the tool to assess budget utilization (over or under expenses),
- To encourage staff to achieve the aimed objectives
- To create a sense of responsibility to the staff,
- To avoid waste of resource (increase efficiency).

## Activity-Based Budgeting

How was the budgeting process conducted in your PMI office?

**Activity-based budgeting** includes all details of activities and the required sources to conduct them.

RB: 83

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## Developing activity-based budgeting

Activity based budgeting focuses on identifying costs of activities that take place, including direct and indirect work.

Experts recognize that **activity based budgeting as 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:

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

## Budgeting Approaches

- **Top Down**

(30% for operational; 20% for DRR; 20% for health program; 10% for emergency; etc.)

- **Bottom Up**

(based on project/program activities)

- **Parametric**

(based on market price, e.g., cost of construction per meter square; cost for translation per page)

RB: 84



**Approaches in budget development** normally done 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. This is based on 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.)

Articulating the logframe and all of the identified scopes into the Annual Work Plan format based on PMI 2014-2019 Strategic Plan and Operational Plan.

(Explain this section based on the explanation provided in PMI Planning and Reporting Guideline).

PRG: 107

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### Annual Work Plan Format for PMI Branch (Section A)

A. Format of Work Plan Matrix

Strategic Objective -1 (1)							
Outcome (2)	Outcome Indicator (3)	Target for Outcome Indicator (4)	Output (5)	Output Indicator (6)	Target for Output Indicator	Kegiatan (8)	Anggaran (9)
(7)	Activity (8)	Budget (9)					
Strategic Objective-2 (1)							
Strategic Objective-3 (1)							
Strategic Objective-4 (1)							
etc.							
							Total Budget

(Explain this section based on the explanation provided in PMI Planning and Reporting Guideline).

PRG: 110

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### Annual Work Plan Format for PMI Branch (Section B)

B. Format of Budget Summary

Budget Category	Amount (Rupiah)	Percentage (Amount of Rupiah/Total x 100%)
Operational (salary, electricity, telephone, fuel, stationaries, etc.)		
Services (Regular service/program activities)		
Emergency/Response (specifically for emergency assistance)		
Total Budget		

(Explain this section based on the explanation provided in PMI Planning and Reporting Guideline).

PRG: 111

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### Annual Work Plan Format for PMI Branch (Section C)

C. Format of Proposed Activity to PMI Chapter

Proposed activity from PMI X Branch to PMI X Chapter (10):

No.	Proposed Activity	Implementation Schedule	Reason for proposing the activity
1			
2			
3			
etc.			

(Explain this section based on the explanation provided in PMI Planning and Reporting Guideline).

PRG: 111

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## Annual Work Plan Format for PMI Branch (Section D)

**D. Format of PMI Branch's Detailed Implementation Plan**  
DETAILED IMPLEMENTATION PLAN  
WORK PLAN OF PMI "X" BRANCH, Year 20xx

No	Activity	Budget	Implementation Timeline													
			Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Des		
1																
2																
3																
4																
5																
etc.																
<b>Total Budget</b>																

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(Explain this section based on the explanation provided in PMI Planning and Reporting Guideline).

 Palang Merah Indonesia

## Example of Annual Work Plan Format for PMI Branch (Section A)

Outcome	Outcome Indicator	Target for Outcome Indicator	Output	Output Indicator	Target for Output Indicator	Activity	Budget
<b>STRATEGIC OBJECTIVE 1:</b> To build a well-functioning PMI at all levels, with the capacity to create synergy between program activities with the organizational policies, procedures, and systems.							
Outcome 1.2. PMI's Statutes, Organizational Procedures (PO), and Implementation Guidelines (LAKAS), as well as the legal products issued are institutionalized at all levels.	4. PMI HQ/ Chapters/ Branches conducted Annual Meeting in accordance with the assigned schedule.	December 2015	Output 1.2.1. PMI Statutes, Organizational Procedures (PO), and Implementation Guidelines, as well as legal products are in place and implemented at all levels.	6. PMI Chapters/Branches receive dissemination of information on statutes, POs, and Implementation Guidelines.	10 people (Board members and Staff)	1. Disseminate PMI Statutes to Staff and Board members. 2. Develop HR regulation.	IDR 500,000 IDR 1,000,000
				8. Number of PMI employees who have written employment contracts.	8 people	3. Register assets based on implementation/ technical guidelines.	IDR 0
				9. PMI HQ/Chapters/ Branches develop asset inventory in line with the technical guidelines.	November 2015	4. Update employee database.	IDR 0
				10. PMI Chapters/Branches have HR regulation in place.	March 2015	5. Conduct Annual Meeting.	IDR 4,000,000
				11. PMI Chapters/Branches have employee database that is updated on annual basis.	November 2015		
Outcome 1.3. PMI's Planning, Monitoring, Evaluation, and Reporting (PMER) system is well-functioning at all levels.	13. PMI HQ/ Chapters/ Branches develop annual work plan in line with the Planning and Reporting Guidelines.	December 2015	Output 1.3.1. PMI Board members and staff at all levels are properly coached on the implementation of Planning, Monitoring, Evaluation, and Reporting (PMER) system by competent facilitators.	17. PMI Chapters/Branches receive information regarding the Planning and Reporting Guidelines.	3 people	1. Participate in the PMER dissemination workshop 2. Conduct workshop to develop annual work plan and annual report.	IDR 13,230,000 IDR 4,000,000

169

(Explain this section based on the explanation provided in PMI Planning and Reporting Guideline).

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## Example of Annual Work Plan Format for PMI Branch (Section B)

### 2. Budget Summary

Budget Category	Amount (Rupiah)	Percentage (Amount of Rupiah/ Total x 100%)
Operational (salary, electricity, telephone, fuel, stationeries, etc.)	IDR 102,219,000	30%
Services (regular services/program activities)	IDR 170,365,000	50%
Emergency/Response (specifically for emergency assistance)	IDR 68,146,000	20%
<b>TOTAL BUDGET</b>	<b>IDR 340,730,000</b>	<b>100%</b>

170

(Explain this section based on the explanation provided in PMI Planning and Reporting Guideline).

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## Example of Annual Work Plan Format for PMI Branch (Section C)

### 3. Proposed Activity from PMI Sukaria Branch to PMI Suka Suka Chapter (10):

No.	Proposed Activity	Implementation Schedule	Reason for Proposing the Activity
1	Conduct PMER Training.	August 2015	To strengthen the capacity of the board members and staff before conducting annual meeting.
2	Provide basic DR equipment (rubber boat, tent, and field kitchen equipment).	July 2015	Sukaria District is a flood prone district, thus it requires equipment supports.

171

(Explain this section based on the explanation provided in PMI Planning and Reporting Guideline).

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### Example of Annual Work Plan Format for PMI Branch (Section D)

4. Detailed Implementation Plan - Work Plan of PMI Sukaria Branch, Year 2015

No	Activity	Budget	Implementation Timeline													
			Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Okt	Nov	Dec		
1	Disseminate PMI Statutes to Staff and Board Members.	IDR 500,000	X													
2	Develop HR regulation.	IDR 1,000,000		X												
3	Register assets based on implementation/technical guidelines.	IDR 0												X		
4	Update employee database.	IDR 0						X								X
5	Conduct Annual Meeting.	IDR 6,000,000														X
6	Participate in the SP/OP dissemination workshop	IDR 13,230,000		X												
7	Conduct workshop to develop annual work plan and annual report.	IDR 4,000,000												X		X
8	Conduct Basic KSR Training.	IDR 10,000,000				X										
etc.																
TOTAL BUDGET		IDR xxx xxx														

BP: 168 172

(Explain this section based on the explanation provided in PMI Planning and Reporting Guideline).

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### Important Message on Proposed Annual Work Plan and Budget

**A work plan/proposal should be developed in LOGICAL, CONCISE, SOLID, and CLEAR MANNER.**

**The main purpose = to obtain approval and funding**



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(Read this important message).

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### Are the objectives of session 3 achieved?



- Explain the components of **logframe** and provide examples!
- What is a **SMART Indicator**, provide 1-2 example for your PMI Office!
- When developing a work plan or a proposal, why do you need to **determine scope**?
- Explain what a **logframe** is for?

174

(To ensure that the objectives of this session are achieved, ask participants to provide answer to the following questions in this slide).  
(Complete participants' answer when necessary).

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### Exercise Instruction "Development of Work Plan and Budget"

- Based on the logframe you have developed, identify the **scope (output and activities)**.
- Afterwards, develop a work plan **using the annual work plan format as provided in PMI Planning and Reporting Guideline**.

**Time  
30 minutes**

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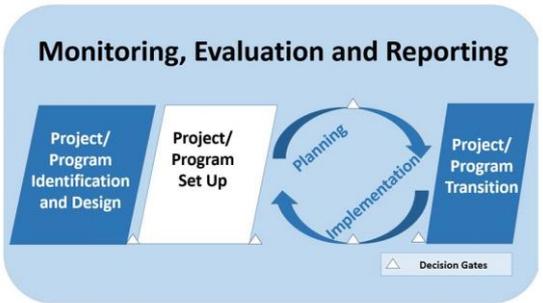
### Exercise to Develop Annual Work Plan

(Facilitator should present the instructions in this slide clearly to ensure all participants understand well what they are going to do during the exercise. Read the instructions in this slide)

After the exercise, your group will present the result to the class.

# Session 4 - Project/Program Set Up

To [Introduction to Planning Session](#) - [Identification Session](#) - [Design Session](#) - [Set Up Session](#) - [Implementation Planning Session](#) - [Implementation Session](#) - [M&E and Reporting Session](#) - [Transition/Closure Session](#)

 <p style="text-align: center;"><b>Session 4</b> <b>PROJECT/PROGRAM SET UP PHASE</b></p> <div style="border: 1px solid blue; padding: 10px; background-color: #e6f2ff;"> <p style="text-align: center;"><b>Monitoring, Evaluation and Reporting</b></p>  </div> <p style="text-align: right;">176</p>	<p>Look at this cycle, where are we now?</p> <p>Yes, we are in the project/program Set Up Phase</p>
 <p style="text-align: center;"><b>Session 4</b> <b>Project/Program Set Up</b></p> <div style="background-color: red; color: white; padding: 10px;"> <p><b>4.1 Establishing Management Structure</b></p> <p><b>4.2 Creating Project/Program Charter</b></p> <p><b>4.3 Launching Project/Program</b></p> </div> <p style="text-align: right;">177</p>	<p><b>Session 4. Project/Program Set Up</b></p> <p>We will discuss the following three steps. Actually, this stage is not something new, however in PMI, this stage is often missed or not properly done.</p> <p>As a result, there are various challenges during the project/program implementation, such as: board members complain and feel uninformed about the project; confusion or delays in making decisions, the target is off track or out of project/program tolerance.</p>
 <p><b>Objectives of Session 4</b></p> <div style="display: flex;"> <div style="flex: 1;">  <p><b>Participants understand:</b></p> <ul style="list-style-type: none"> <li>The purpose of Project/Program Set Up phase</li> <li>Project/program management structure</li> <li>The objective of project/program "launching"</li> </ul> </div> <div style="flex: 1;">  <p><b>Participants are able to explain:</b></p> <ul style="list-style-type: none"> <li>The content of Project/Program Charter</li> <li>Why management structure is important</li> <li>The link between project/program tolerance with management structure</li> </ul> </div> </div> <p>Participants are able to create a project/program charter and properly prepare for the "launching".</p>  <p style="text-align: right;">178</p>	<p><b>(Ask one of the participants to read the objectives of this session).</b></p>

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**If your work plan or proposal has been approved and the fund is available, why don't you directly implement the activities?**

RB: 85 179

**(Ask participants to answer the questions in this slide).**

During the project/program implementation, it is not rare that implementing team facing challenges due to limited support from key *stakeholder* (board members, community, head of village, government, etc.) They are not duly informed about the intended results/objectives, time and budget, assumption/risk that should be anticipated, project/program tolerance, or even their role and responsibilities.

**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 key information as well as the project/program launch to all key stakeholders.

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### Benefits of Project/Program Set Up

1. Ensuring stakeholder/decision maker's **support**
2. Providing the **"green light"** for the implementing team to:
  - ✓ Start the activity
  - ✓ Recruit staff
  - ✓ Utilize resources
3. Providing **clarity** about project/program commencement



RB: 85 180

**(Ask participants, why is Project/Program Set Up important? What are the benefits?)**

**(Then explain these points one by one).**

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### Management Structure determines:



**Authority:** Who has the **power to make decision** and within what **tolerance levels?**

**Accountability:** Who is **accountable for the success of the project/program?**

**Authority:** Who has the power to make decisions and within what tolerance levels;

**Accountability:** Who is accountable for the success of the project/program?

RB: 86 181

**Project 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?

### Management Structure determines:

- **Responsible:** Who does the work to achieve the task?
- **Accountable:** Who is accountable to ensure that the work is done and approved?
- **Consulted:** Whose opinions are sought during program/project implementation?
- **Informed:** Who needs to be updated on the progress of program/project implementation?

RB: 86

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Within the project/program management structure, it is important to describe who will responsible to the following criteria:

**(Read all this points one by one and explain them accordingly).**

### Functions of Management Structure

1. Ensuring **support, commitment, accountability, ownership**
2. Deciding the required project/program **changes**;
3. Ensuring the availability of **resources, direction**;
4. Monitoring the project/program **viability** to any risks;
5. Ensuring proper **problem solving**.



RB: 86

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

- Ensure organizational commitment and accountability in PMI;
- Decide on the proposed project/program changes including scope, budget, calendar or others;
- Oversee the project/program, providing resources, direction and insight as necessary;
- Monitor the ongoing viability of the project/program, making decisions to terminate the project/program if necessary;
- 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;
- Ensure that the organization “owns” the process and results of the project/program.

### Content of a Project/Program Charter



RB: 87

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“Project/Program Charter” is a document that provides a high-level description of the project/program and which is signed by the management structure. The contents are:

- **Objectives** - including a statement of the need the project/program will address.
- **Results** - the scope of the project/program, including its goal, outcomes, and major outputs.
- **High-level estimates:** activities; schedule; budget; and a list of the roles and skills required to perform the necessary work.
- **Risks** - identifying potential problems/risks that the project/program might encounter.
- **Tolerances** - articulating project tolerances regarding project deliverables, schedule, cost and risks.
- **Change control** - establishing an exception handling process for when the project/program exceeds a tolerance in any of these areas.

Once developed and signed, it is important that it should not be put on a shelf and forgotten, but should be used to:

- officially authorize the start of project implementation;
- ensure that there is shared understanding of the project/program parameters;
- document a shared commitment to the

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### Example of Project/Program Charter

**The function:  
So that all relevant actors, including stakeholders, understand the project/work plan correctly**

SAMPLE OF PROJECT/PROGRAM CHARTER (HIGH LEVEL INFORMATION)

**Title:** Indonesia Mwangi Integrated Health - Disaster Risk Reduction Project

**Location:** Mwangi District of Central Java Province, Indonesia

**Donor(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-risk, reduce, and respond to the community threat through community-based approach by mobilizing volunteers and utilizing the capacity of the existing.

**The project's mission:** is to strengthen PMI's capacity to improve knowledge and practices of community members towards resilience.

**The project's benefits:** is the organization to obtain lessons learned on how the integration could be possibly applied not to a sector (or the best) enabling environment, methods, approaches, and strategies.

**The project's goal:** is to reach resilient community through the integration of DRR into QDR/Health Programming through capacity building for the community and PMI in Mwangi.

**Outcome 1:** PMI Mwangi 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 disaster are increased.

**Outcome 3:** The capacity and self preparedness 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 Description**

**The project's key messages are:**

- Organizational capacity building
- Volunteer mobilization
- Education to community
- Mutual Responsibility Capacity Assessment at the village level
- Development and implementation of DRR plan at the village level
- Establishment of emergency plan at the village level and district level
- Establishment of early warning system
- Disaster simulation at the village and district level
- Strengthening of Disaster Preparedness Plan (DPP)
- Regular communication with local stakeholders

**The project's timeline 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
- Regular survey and evaluation
- Final reporting

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project/program objectives and required resources/activities to its success.

**(Ask participants to visit an example of a Project/Program Charter in the Reference Book and review what information is included).**

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### Project/Program Launching

- To formally acknowledge **the beginning** of the project/program;
- To introduce the project/program to stakeholders;
- To ensure stakeholders have a consistent **understanding** about the project/program.



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### Project/Program Launching

The 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 is usually called the Start Up Workshop.

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### Important message on "Set Up Phase"

**All PMI entities (Volunteers, Staff, Board Members) and key stakeholders must comprehend PMI's work plan to enable them to provide support to pursue its success.**



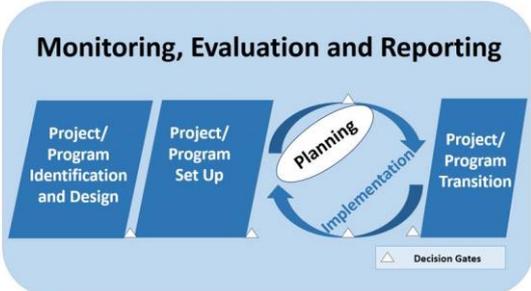
187

**(Read this important message clearly).**

<p style="text-align: right;"> Palang Merah Indonesia</p> <h2 style="text-align: center;">Are the objectives of session 4 achieved?</h2>  <ul style="list-style-type: none"> <li>- What are the benefits of having a <b>Project/Program Set Up!</b></li> <li>- What information is to be included in a <b>Project/Program Charter?</b></li> <li>- What are the objectives of the project/program <b>launching?</b></li> </ul> <p style="text-align: right;">188</p>	<p>(To ensure that the objectives of this session are achieved, ask participants to provide answer to the following questions in this slide).</p> <p>(Complete participants' answer when necessary).</p>
<p style="text-align: right;"> Palang Merah Indonesia</p> <h2 style="text-align: center;">Exercise instruction for "Set Up Session" (Only if time is sufficient)</h2> <ol style="list-style-type: none"> <li>1. I will hand you over an example of a Project/Program Charter. Read it well!</li> <li>2. Based on the logframe or the proposal you have developed, create a Project/Program Charter.</li> <li>3. Ensure that your Project/Program Charter has covered all the required information, as provided in the example.</li> </ol>  <p style="text-align: center;"><b>Time</b> <b>30 minutes</b></p> <p style="text-align: right;">189</p>	<p>(Now, guide the participants to do this exercise for "Project/program Set Up" by reading the following instructions in this slide).</p> <p>(They could refer to the provided example in the Reference Book).</p>
<p style="text-align: right;"> Palang Merah Indonesia</p> <h2 style="text-align: center;">Feedback for Groups Work Results (Not to be displayed)</h2> <ul style="list-style-type: none"> <li>• Ensure that the project/program charter covers all important information to inform the senior management (board members) and related stakeholders.</li> <li>• This charter should be made clear in order to be used as a reference if there are changes, deviation, or questions later on.</li> </ul> <p style="text-align: right;">190</p>	<p>(To maximize the result, facilitator should provide support DURING the group work/discussion (NOT ONLY during presentation).</p> <p>(Feedback on this slide could be used to review and refine group work result).</p>

# Session 5 - Project/Program Implementation Planning

To [Introduction to Planning Session](#) - [Identification Session](#) - [Design Session](#) - [Set Up Session](#) - [Implementation Planning Session](#) - [Implementation Session](#) - [M&E and Reporting Session](#) - [Transition/Closure Session](#)

 <p style="text-align: center;"><b>Session 5</b> <b>PROJECT/PROGRAM</b> <b>IMPLEMENTATION PLANNING PHASE</b></p>  <p style="text-align: right;">191</p>	<p>Now, we are at the fifth phase, Implementation Planning.</p>
 <p style="text-align: center;"><b>Session 5. Implementation Planning</b></p> <div style="background-color: #c00000; color: white; padding: 10px;"> <p>5.1 Finalizing <b>project/program scope</b></p> <p>5.2 <b>Sequencing</b> Activities</p> <p>5.3 Estimating <b>duration</b> of the implementation</p> <p>5.4 Developing <b>detailed implementation schedule</b></p> <p>5.5 Finalizing detailed <b>budget</b></p> </div> <p style="color: green; text-align: center;">The <b>MOST IMPORTANT</b> section to mastered by managers!</p> <p style="text-align: right;">192</p>	<p><b>Project/Program Implementation Planning</b></p> <p>It is important, however, <b>NOT to confuse the project proposal</b>, the project logical framework, or annual work plan documents developed during identification and phases with this planning phase.</p> <p>The Implementation Planning <b>DIFFERS</b> significantly from these other documents in terms of the format, purpose, audience, level of detail, participation, timing, and schedule constraints.</p> <p><b>Implementation Planning</b> in this section is a <b>VERY DETAILED</b> planning of all project/program activities of proposal or work plan that has been approved. Through this phase, you will understand the following points:</p> <ul style="list-style-type: none"> <li>- <b>Details of work</b> that needs to be done to complete project/program activities as well as the required specification of the results.</li> <li>- <b>Activity Sequencing</b> - Identifying the relationships that exist among the various scheduled activities; which activity are prerequisite, or which are could be done in parallel.</li> <li>- <b>Activity Duration Estimating</b> - Estimating the time required to complete project activities.</li> <li>- <b>Schedule Development</b> - Creating a project schedule based on activities, sequences, durations, resources and schedule constraints.</li> <li>- <b>Development of detailed budget</b> to complete each of activity.</li> </ul>

## Objectives of Session 5



Participants are able to define:

- The differences between Proposal/Work Plan with Detailed Implementation Plan
- Principles of project/program management
- Work breakdown structures, activity sequence, duration estimation, resources, and scheduling.



Participants are able to explain:

- Why scope management is needed
- Formats to decompose works



Participants are able to develop a detailed implementation plan of their annual work plan (including the schedule and its budget) to be used as implementation guideline

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The objectives of session 5:

**(Read this slide or ask participants to read it. Encourage them to achieve these objectives by the end of this session).**

Is the logframe or proposal “comprehensive and detailed” enough to guide the implementation?

	Objectives	Indicators	Means of verification	Assumption
Goal				
Outcome				
Output				

RB: 92

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**(Ask the questions in the slide before you proceed to show them one by one. After they provide the answer, explain the matrix in the slide).**

**(the answer):**

It is definitely not comprehensive enough as a logframe only consists of the summary of a project/program’s objectives.

## Proposal VS Detailed Implementation Plan

	Proposal/Work Plan	Detailed Implementation Plan
Objective	To obtain funding approval	To ensure the project/program arrives on time, budget, and scope.
Format	Determined by donor	Determined by implementing team
Level of Detail	Limited level of detail	Very detailed
Participation	Written by a small team	Involving more people (including stakeholders, experts)
Audience	Donor	Implementing team
Time and schedule	Written under a tight time constraint, sometimes months before the implementation	Written right before the implementation, there are opportunities to revise and adjust

RB: 93

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## Proposal VS Implementation Plan

**(Before showing this slide completely, ask participants: “What are the differences between proposal or annual work plan with detailed implementation plan?)**

Using a proposal directly to implement a project/program is **A VERY DANGEROUS ACTION!**

Keep in mind that a logframe and a project/program proposal are developed for a different purpose; they are developed to secure funding and not designed to guide the implementing team to implement the project/program.

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Remember!!! There are 6 project/program phases!

**Project/program management must be BALANCED to ensure that ALL phases perform well.**

Balance is the Key to Life

RB: 94 197

**(Read the message in this slide).**

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Remember!!!

Detailed Implementation Plan

Comprehensive

Integrated

Balanced

Participative

Iterative

RB: 94 198

Detailed implementation plans should 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)!

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**a. Detailed Implementation Plan must be **BALANCED****

- ✓ **Planning for Set Up** – schedule and budget for meeting between stakeholder and project/program team.
- ✓ **Planning for Planning** – plan should be revisited regularly and updated accordingly.
- ✓ **Planning for Implementation** – during the implementation, many things need to be planned and prepared to ensure smooth implementation.
- ✓ **Planning for Monitoring & Evaluation** – who is responsible to collect, manage, and analyze the M&E data?
- ✓ **Planning for End of Transition** – what steps are required to be completed at the end of the life of project/program?

RB: 94 199

**(Explain each point in the slide one by one).**

You need to plan each project/program phase. For example, the project/program launching should be planned in detail, so does the planning stage itself because it involves all team member.

This is also applicable for the remaining phases until the end of project/program transition.

**(For more information, see the Reference Book)**

**b. Detailed Implementation Plan is **COMPREHENSIVE****



RB: 96

**(Explain each point in the slide one by one).**

A comprehensive project plan will include all of the planning elements needed to deliver the *direct* as well as the *indirect* work required to achieve the intended results.

For instance, communication, meeting, field monitoring, technical training for staff, etc.

**(For more information, see the Reference Book)**

**c. Detailed Implementation Plan must be **INTEGRATED****

**Scope, time, and resources are related to each other**

**Budget is related to scope**

**Schedule is related to scope and logistic**

**Communication is related to HR and stakeholder**

**Monitoring & Evaluation is related to risks**

RB: 98

201

**(Explain each point in the slide one by one).**

During developing the detailed implementation plan, there is an inter-connection between scope, resources, and time as well as potential risks, therefore, you need to consider them all.

**(For more information, see the Reference Book)**

**d. Detailed Implementation Plan is **PARTICIPATORY****



RB: 99

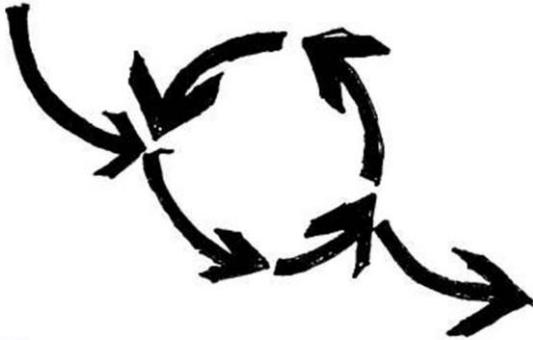
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Development of the detailed implementation plan should not be done only by one person, it should be participatory and consultative.

It is also to enhance the commitment of the implementing team to execute the plan that they have made.

**(For more information, see the Reference Book)**

e. Detailed Implementation Plan is **ITERATIVE**



Implementation Planning does not only take place once at the beginning of the project, but it is an iterative process, which takes place periodically by considering the progress made and the challenges faced.

The principle is to: plan - do - review - plan - do - review - plan - do - review.

**(For more information, see the Reference Book)**

RB- 100

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5.1. Finalizing **SCOPE**

Product or Service



Activity and Task

**Finalizing Project/Program Scope**

In the proposed budget earlier in the proposal or work plan, you have identified the project/program scope. At this stage, you need to revisit it and make it more detailed.

At this stage, you do not only identify the products or services or deliverables and activity to produce them. You also need to identify **all of the works or tasks** required to complete the activities.

This is the difference between scope identification during the project design and implementation planning phases.

RB- 100

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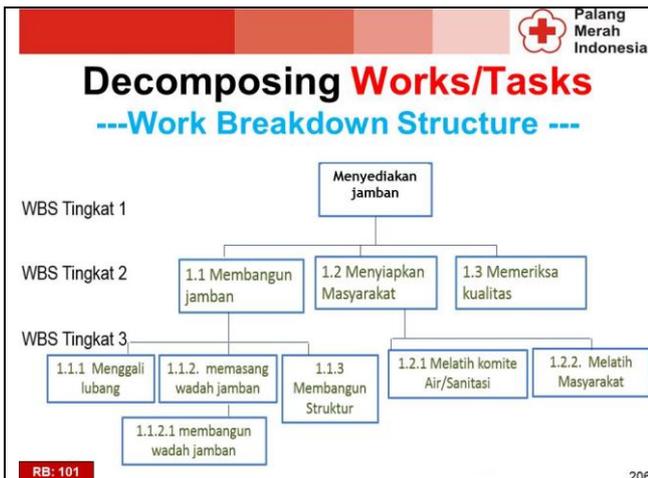
**Decomposing Works/Tasks to complete a project/program's ---Work Breakdown Structure ---**



One of the good tools to detail the scope is the **Work Breakdown Structure (WBS)**. It is a tool that managers use to define project/program scope in detailed and comprehensive manner. The WBS is a hierarchical decomposition of the work of a project/program.

RB- 101

205

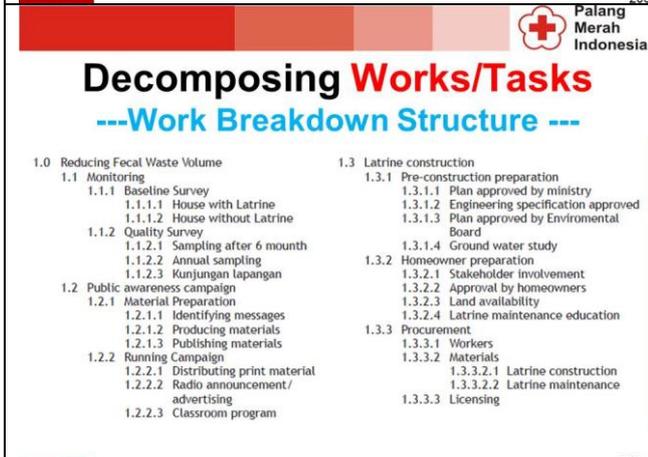


### Decomposing works/tasks for each of activity

WBS could be used by the team to define project/program scope in detailed and comprehensive manner; by decomposing the works of a project/program.

The WBS format is available in two style. The graphical format /diagram flow chart provides an easy-to-read visual layout of the levels in the work of a project/program.

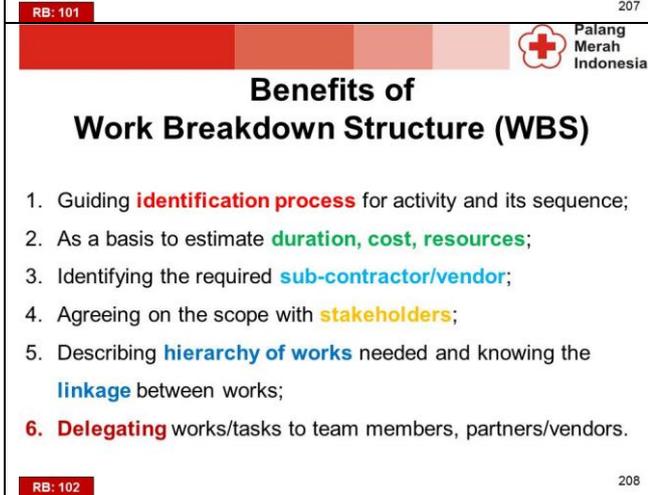
This image allows partners and staff to see the relationships between elements of the WBS and how smaller components roll up into larger ones.



This is a linier WBS, consisted of detailed works to be completed in a project/program.

Different from the previous format, it is more difficult to see the activity sequence as well as to see which activities could be done in parallel.

You could choose which format you think most helpful to the team to understand the project/program scope and implement them accordingly.



### The benefits of WBS

A well-constructed WBS will be useful to:

1. Guide the process of activity identification and sequencing;
2. Provide a basis for accurate estimation of duration, cost; and resource;
3. Identify required departmental, subcontracting, supplier services;
4. Communicate and agree the product and project scope with the stakeholders;
5. Show the hierarchy of work needed to complete and indicate the interfaces between them;
6. Delegate the work packages to team members, implementing partners or suppliers.

## A good planning includes:

- ✓ Sequencing activities
- ✓ Estimating resources
- ✓ Estimating activities duration
- ✓ Developing implementation schedule



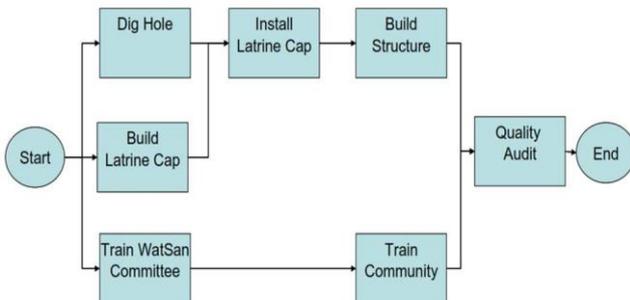
RB-102

Completing all the activities timely is the greatest challenges in managing a project/program. To be successful, a manager should be able to develop and manage time/schedule and implement it properly.

The first step in successful time management is realistic schedule planning, including:

- ✓ **Activity Sequencing** - Identifying the relationships among activities.
- ✓ **Activity Resource Estimating** - Allocating the type and quantity of resources required to perform activity.
- ✓ **Activity Duration Estimating** - Estimating the time required to complete activities.
- ✓ **Schedule Development** - Creating a schedule based on activities, sequences, durations, resources and schedule constraints.

### 5.2. Activity Sequencing



RB-103

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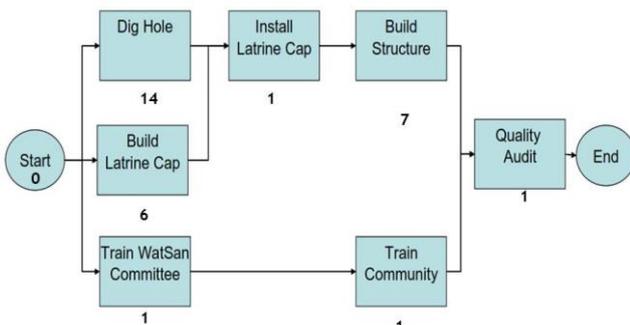
### Activities sequencing

(Ask participants to interpret this sanitation project diagram, and ask “what do they understand from this diagram?”)

(The answer):

- ✓ 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.

### 5.3. Estimating Time/Duration



BR-108

To estimate time, you also have to estimate resources & other factors first

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### Estimating the activity duration

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.

Following the detail explanation:

**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; as vice versa.

**Budget** - If money is in short supply, the project might choose to invest in a ‘low cost’ resource mix.

**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).

In addition, there are a number of other factors influence resource availability, and thereby will influence activity duration estimates, such as **Weather Constraints, Material Constraints, Logistics Constraints, Human Resources Constraints.**

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### 5.4. Developing Implementation Schedule

Activity	January			February			March etc...					
	1	2	3	4	5	6	7	8	9	10	11	12
1.1 Establishing planning unit	█	█										
1.1.1 Preparing office and equipment	█	█										
1.1.2 Employing staff												
1.2 Connecting with relevant government		█	█	█	█	█	█	█	█	█	█	█
1.2.1 Establishing project advisory committee		█	█	█	█	█	█	█	█	█	█	█
1.2.2 Conducting regular advisory meeting												
1.2.3 Conducting regular briefing with the government												
1.3.1 Agreein on government's priority area												
1.3.2 Conducng working group meeting												
1.3.3 Implementing research planning												
1.4 Providing strategy plan												
1.4.1 Making recommendations												

RB: 107 212

### Activity schedule development

Based the activities that have been made in detail, have the sequence to identify what should be done first and the next or which could be done at the same time; have time estimation; now, you can 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.

Note that the Gantt chart in this tool is for annual plan. If you develop the Gantt chart for quarterly basis, you need to make the schedule in weekly basis, or even has the exact date.

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### 5.5. Finalizing Detailed Budget

Estimate of Latrine Construction Cost					
	Unit	Quantity	Variable	Price/Unit	Subtotal
<b>Local Material</b>					
Bricks	1 piece	800 pax	1 latrine	500	400,000
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	110,000
Fiber	1 m3	1 pax	1 latrine	18,000	18,000
<b>Market Material</b>					
Steel Bar	1 unit	2 pax	1 latrine	25,500	51,000
Wire	1 unit	1 pax	1 latrine	15,000	15,000
PVC Pipe Type C	1 unit	1 pax	1 latrine	55,000	55,000
Steel Pipe	1 unit	4 pax	1 latrine	120,000	480,000
<b>Labor</b>					
Fee	1 lumpsum	4 people	5 days	70,000	1,400,000
Transport	1 lumpsum	4 people	5 days	50,000	1,000,000
<b>TOTAL</b>					<b>3,979,000</b>

RB: 104 213

Similar with the activity, the budget should be made detail as well. At this stage, the budget should be made per activity.

**(Close this session by reading this important message).**

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### Important Message on Implementation Planning

**Without detailed planning, you will get lost in the way. Your team will not understand the entire required works comprehensively.**

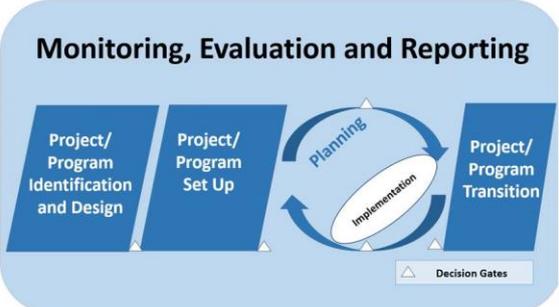


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 <h2>Are the objectives of session 5 achieved?</h2>  <ul style="list-style-type: none"> <li>- Explain the differences between <b>proposal/work plan</b> and <b>detailed implementation plan</b>!</li> <li>- What are the benefits of <b>Work Breakdown Structure</b>!</li> <li>- Mention the <b>steps</b> in implementation planning!</li> </ul> <p style="text-align: right;">215</p>	<p>(To ensure that the objectives of this session are achieved, ask participants to provide answer to the following questions in this slide).</p> <p>(Complete participants' answer when necessary).</p>
 <h2>Exercise Instruction for "Implementation Planning"</h2> <p>Choose 2-3 of your project/program activities, and then:</p> <ul style="list-style-type: none"> <li>- Develop the <b>Work Breakdown Structure (WBS)</b> for the works/tasks required to complete those activities</li> <li>- Develop <b>a detailed budget for those activities</b></li> </ul> <p style="text-align: right;"><b>Time</b> <b>20</b> <b>minutes</b></p> <p style="text-align: right;">216</p>	<p>(Read the following exercise instruction and ask participants to have a group work)</p>

# Session 6 - Project/Program Implementation

To [Introduction to Planning Session](#) - [Identification Session](#) - [Design Session](#) - [Set Up Session](#) - [Implementation Planning Session](#) - [Implementation Session](#) - [M&E and Reporting Session](#) - [Transition/Closure Session](#)

 <p style="text-align: center;"><b>Session 6</b> <b>PROJECT/PROGRAM IMPLEMENTATION PHASE</b></p> <p style="text-align: center;"><b>Monitoring, Evaluation and Reporting</b></p>  <p style="text-align: right;">217</p>	<p><b>We are now at the implementation phase</b></p> <p>If you fail to run this implementation plan, then the detailed planning you have done is merely a good intention.</p> <p>As the saying goes: "a plan is only a good intention until it is done".</p>								
 <p style="text-align: center;"><b>Session 6. Implementation</b></p> <p style="text-align: center;"><b>Discussing Principles and Tools in Managing:</b></p> <table border="0" style="width: 100%; text-align: center;"> <tr> <td>6.1 Time</td> <td>6.5 Logistic</td> </tr> <tr> <td>6.2 People</td> <td>6.6 Asset</td> </tr> <tr> <td>6.3 Finance</td> <td>6.7 Risks</td> </tr> <tr> <td>6.4 Stakeholders</td> <td>6.8 Issues</td> </tr> </table> <p style="text-align: right;">218</p>	6.1 Time	6.5 Logistic	6.2 People	6.6 Asset	6.3 Finance	6.7 Risks	6.4 Stakeholders	6.8 Issues	<p>In Session 6, we will discuss about the implementation of the detailed plan you have developed in the previous stage. A manager should be able to:</p> <ul style="list-style-type: none"> <li>✓ Manage time</li> <li>✓ Manage human resources</li> <li>✓ Manage finance</li> <li>✓ Manage stakeholder</li> <li>✓ Manage logistic</li> <li>✓ Manage asset</li> <li>✓ Manage risk</li> <li>✓ Manage issue</li> </ul>
6.1 Time	6.5 Logistic								
6.2 People	6.6 Asset								
6.3 Finance	6.7 Risks								
6.4 Stakeholders	6.8 Issues								
 <p><b>Objectives of Session 6</b></p> <div style="display: flex; margin-bottom: 10px;">  <div style="margin-left: 10px;"> <p>Participants understand time, risk, and issue management, concrete activities to manage human resources, how to define logistic and asset management.</p> </div> </div> <div style="display: flex; margin-bottom: 10px;">  <div style="margin-left: 10px;"> <p>Participants are able to identify and explain the methods to manage time, risk, issue, human resources, asset and finance.</p> </div> </div> <div style="display: flex;">  <div style="margin-left: 10px;"> <p>Participants are able to apply the knowledge using various tools such as fast tracking, crashing, risk log, issue log, to manage human resources, assets, and finance.</p> </div> </div> <p style="text-align: right;">219</p>	<p><b>(Read this slide or ask participants to read it. Encourage them to achieve these objectives by the end of this session).</b></p>								

## 6.1 Good time management

**Fast Tracking** involves taking activities that would normally be completed in sequence and instead completing them in **parallel**

**Crashing** is adding **additional resources** to the critical path to accelerate progress

RB:110

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### Managing schedule

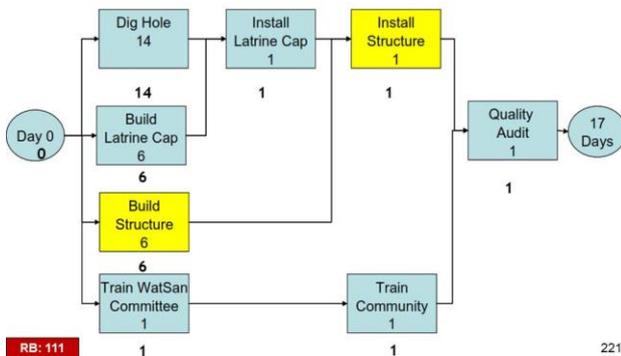
One of the project/program triangle constraints is Time/Schedule. Project/program managers should monitor their schedules regularly to ensure the project/program calendar remains on track.

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 such as **fast tracking by doing some of works in parallel and crashing which shortened the duration by adding the resources**.

Both of this methods will put the project/program activity into its track, however, you need to ensure that the quality is not compromised.

"Fast tracking" = completing activities in **PARALLEL**.



"**Fast tracking**" a project/program schedule involves taking activities that would normally be completed in sequence and instead completing them in parallel.

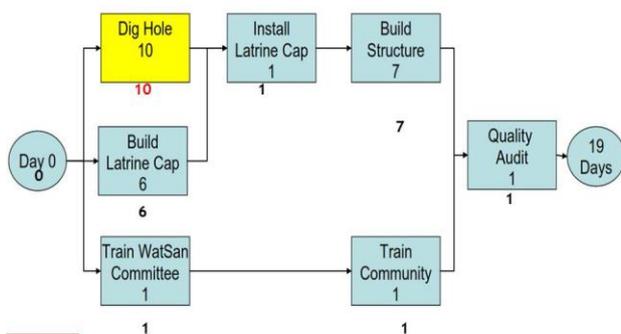
**For example:**

Building the latrine structure should be done after installing the latrine cap.

➔ Now, building the latrine structure is done in parallel with other activities (digging hole, making latrine cap, and training watsan committee).

Risk: if it is not managed well, the quality could be compromised and unacceptable, and ultimately you need to redo the work.

"Crashing" **accelerates** the progress by **adding resources**.



"**Crashing**" the schedule means adding additional resources to the critical path to accelerate progress.

For instance, let's say that the original plan for the latrine project had one person working for 14 days to dig a hole. To crash this timeframe, one option would be to add a second person to the 'digging hole' activity.

Risk: it may increase cost as well as compromise the quality.

## 6.2 Managing People



People is the **most valuable** asset of an organization

RB: 113

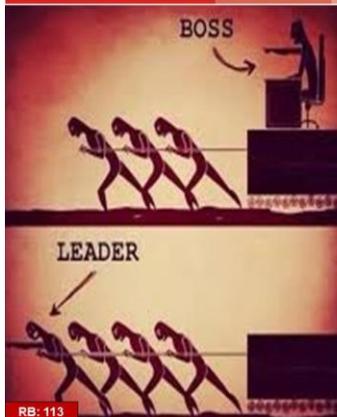
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### Managing Human Resources

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.**

Managing people is a **combination of science and art** because your ultimate goal is to retain the best people to do their job and achieving the objectives.



To be **SUCCESSFUL**, a Head of Office/Manager should be skillful in:

- ✓ **Communicating organizational vision and mission**
- ✓ **Endorsing ownership**
- ✓ **Mobilizing agenda internally as well as externally**
- ✓ **Managing situations**

RB: 113

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### The “art” in managing people

The type of leadership at the top and at the bottom is very different. A Boss is the one who is only able to instruct. While at the bottom is a Leader by example. Project/program managers should be able to effectively motivate team members, communicate vision, empower staff, recognize achievements, listen, lead by example, resolve conflicts, and build 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.

## Concrete Activities in Managing People/Human Resources



RB: 113

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### The science in managing people

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

1. **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.
2. **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 used to evaluate individual team member performance.
3. **Documenting organization charts** - Organization charts or project/program structure represent the reporting relationships, accountability, and oversight among the team.
4. **Developing staff** - Identifying what skills are needed to undertake their role and responsibility. What are the training needs? Are there any certification requirement?
5. **Conducting performance appraisal** - Performance appraisal are the documented formal or informal assessments of the team members’ performance based on the roles and responsibilities and agreed work plan. After

	<p>analyzing the staff's performance, managers or head of office can identify and resolve problems, reduce conflicts, and improve overall team work.</p> <p>6. <b>Establishing communication norms for a productive working environment</b> - As a team leader, the manager or head of office must concretely plan the communications mechanism (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.</p>
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<div style="text-align: right; margin-bottom: 10px;">  Palang Merah Indonesia     </div> <h2 style="text-align: center;">6.3 Managing Finance</h2> <div style="display: flex; align-items: center;">  <div> <p><b>Manager/Head of Office should be able to:</b></p> <ul style="list-style-type: none"> <li>✓ Estimate cost</li> <li>✓ Develop budget</li> <li>✓ Monitor budget and expenses</li> </ul> </div> </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <span>RB: 114</span> <span>226</span> </div>	<h3>Managing Finance</h3> <p>To be capable in managing finance, a manager or head of office should improve his/her skill in the following three areas:</p> <ol style="list-style-type: none"> <li>1. Developing budgets,</li> <li>2. Identifying cost estimates,</li> <li>3. Monitoring budget and expenditures.</li> </ol> <p>It is the practical reality of most projects/programs that a manager or head of office 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.</p>
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<div style="text-align: right; margin-bottom: 10px;">  Palang Merah Indonesia     </div> <p><b>In managing finance, a manager should:</b></p> <ol style="list-style-type: none"> <li>1. Review financial report</li> <li>2. Explain variances</li> <li>3. Authorize expenses</li> <li>4. Manage the balance of expenses</li> <li>5. Comply with procurement policy/procedure</li> </ol> <div style="text-align: center; margin-top: 20px;">  </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <span>RB: 114</span> <span>227</span> </div>	<p>Nonetheless, even though there will be elements of financial management where the manager lacks full authority and control over processes, <b>the manager is still accountable.</b></p> <p>In managing project/program finance, the manager or head of office is responsible to:</p> <ul style="list-style-type: none"> <li>✓ Ensuring timely and complete financial reports</li> <li>✓ Explaining variances between budget and expenditure</li> <li>✓ Examine the completeness of finance report as well as its supporting documents</li> <li>✓ Issuing checks expenditures</li> <li>✓ Managing the balance of budget allocation both for operational and program activity</li> <li>✓ Ensure the implementation of purchasing policies</li> </ul>
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## 6.4 Managing Stakeholders

Work/ Task	Responsible/	Accountable/	Consulted/	Informed/
Disaster Response Team Training	Aditya (Training unit staff)	Romeo (Head of DM Division)	Budiman (Head of office)	Sudirjo (Board Member-DM)
2015 Annual Meeting	Setiawan (Head of OD Division)	Budiman (Head of office)	Dr. Hanubari (Board Member-OD) Prof Sajiman (Chairman)	Chief of Volunteer Forum Local Government Local DM Agency
Dst...				

RB: 126

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One of the challenges in managing a network of stakeholders is ensuring clarity regarding the roles, responsibilities, authority and communications of different project actors.

One tool that helps to address 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 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 complete the task.
- **Accountable** - An *Accountable* person must approve (sign off) the work that the *Responsible* person provides.
- **Consulted** - Those whose opinions are sought; and with whom there is two-way communication.
- **Informed** - Those who are kept up-to-date on the progress, often only on completion of a task or deliverable; and with whom there is just one-way communication.

## 6.5 Managing Logistic



Logistic means mobilizing the right resources,

- from/to the right **PLACE**
- at the right **TIME**
- in the right **QUANTITY**
- with the right **QUALITY**
- with the right **COST**

RB: 124

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### Managing Logistics

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.

## 6.6 Managing Asset

- Defining
- Recording
- Labelling
- Monitoring
- Protecting
- Liquidating



RB: 125

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### Managing Asset

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:

**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.

**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.

**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.

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

**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.

**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.



## 6.7 Managing Risk



RB:116

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

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**(Ask participants, "What is risk"? And then explain the following information).**

Look at this mouse, to get the cheese, it considers the risk to get trapped, and therefore it uses helmet to protect itself.

The manager should identify risks that could confront the project/program.

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** - Its potential to harm the project/program in time/calendar, cost/resources, quality, scope, etc.)

**Remember,** during the earliest stages of project/program identification and design, risks have been identified (named as assumptions). As the project/program evolves, some risks will be resolved or diminished, while others may surface and thus be added.

### What are the risks potentially faced by PMI?



RB: 116

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### (Ask the participants)

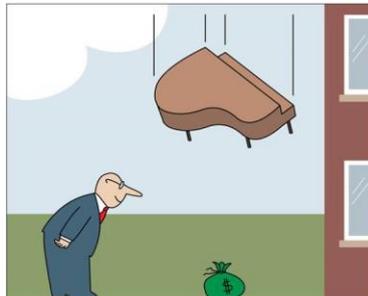
“What are the risks that can potentially occur during the implementation of PMI work plan?”

Look at the Reference Book, and note how risks are grouped into some categories. This will help you to identify risks that can potentially influence your project/program success.

#### Risk categories that can potentially occur:

1. Organizational/management/human factors
2. Politics
3. Technical/operational/infrastructure
4. Environmental
5. Partnership/Collaboration
6. Economic/financial/market
7. Legal and regulatory

### 4 Steps in Managing Risks



- Identifying
- Assessing
- Responding
- Monitoring & Controlling

RB: 117

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#### Risks are managed through the following four steps:

- ✓ Risk identification - identifying and documenting all the risks that can affect the project/program success.
- ✓ Risk assessment - determining the probability that risks will occur, estimating their potential impact, and prioritizing risks.
- ✓ Risk response planning - deciding what actions are needed to reduce or remove threats, particularly those with high-probability and high-impact.
- ✓ Risk monitoring and control - responding to risks as they occur and ensuring proper risk management procedures are being followed.

### Risk Assessment

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

RB: 118

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#### Risk Assessment

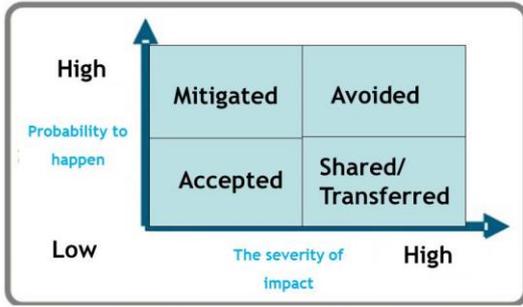
After inventorying all the risks that may occur and affect the success of the project / program, you have to assess those risks to determine how to manage it. Note the following risk assessment tables. This matrix consists of:

- 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.

**(Explain the meaning of the colors in this matrix!)**

### Risk response strategies



“Ignoring” is NOT a CHOICE, even if the risk is acceptable. Risks MUST NOT be unrecognized, unidentified or unmanaged.

RB-118

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Risk response strategies include the following options:

1. **Risk avoidance** - Do not do it (or do it in a different way). For example, you might choose not to work in a certain geographic area because there is too much insecurity.
2. **Risk transference** - Shifting (or sharing) the risks to (or with) another party. For example, insurance policies transfer the risk of vehicle damage and loss to the insurance company, contractual works to consultants or the experts.
3. **Risk reduction/mitigation** - An 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.
4. **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 Assessment Matrix

Risk category	Risk name	Status	Score	Response	PIC	Time to response
resource	Exchange rate flux threaten the budget sufficiency	Active	5x4=20	Mitigate Develop the budget in USD currency (donor)	Herry	Quarter 1
Environment	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 threaten material distribution	Passed (addressed)	3x5=15	Transfer Contract expedition services	Zaelani	Quarter 2

RB-120

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### Risk monitoring and control

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.

#### Look at the Reference Book.

A risk register should be developed as early as possible, also maintained and updated regularly.

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.

## 6.8 Managing Issue



- The consequences if issues are not resolved:
- ❖ Inability to meet project/program timelines, cost, and schedule
  - ❖ Poor or unacceptable project/program quality
  - ❖ Poor reputation among communities, donor, and others
  - ❖ Post implementation disputes

RB: 120

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### Managing Issue

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

Even with a comprehensive and detailed plan, there will be “punches” (issues) that challenge the project during its implementation. Therefore a project/program manager must learn how to manage issues, navigate the complexity, and adapt the plan to reflect the most recent reality.

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.

## Managing Issues

during implementation period

- Identifying
- Analyzing
- Communicating
- Controlling



RB: 120

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### Managing Issue

(Facilitator explains that the “issue/problem” here IS NOT the problem identified in the problem tree. But it is the issues during the project/program implementation, or identified risks that have changed into reality).

Often we tend to ignore problem as we thought it will go away. However, an ignored problem definitely will grow larger and at certain points we cannot control over it again and not able to resolved them.

An ignored problem is just like ticking dynamites.

Therefore, a project/program manager needs to manage all issue management processes:

1. **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.
2. **Analyzing issue** - Understanding the issue sufficiently to consider future consequences of action plans designed to resolve it.
3. **Communicating issue** - Communicating issues to the right level of the organization to get them resolved.
4. **Controlling issue Control** - 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.

Issue description	Reported 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

RB: 122

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### Issue Log

The issue control process is closely related to project/program monitoring and evaluation activities.

### Look at the Reference Book

The most important control tool is the **Issue Log**, which summarizes the issues, describes their status and identifies who is responsible for addressing the issue.

### Important Message on Implementation Phase

**A good planning is only a good intention if not well implemented.**

Manager should be able to manage risks, issues, people, finance, logistic, and asset in most appropriate ways to successfully achieve the intended objectives.



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(To close, read this slide).

### Are the objectives for session 6 achieved?



- Explain the means/ways to **manage** project/program implementation **timeframe/schedule!**
- As a Head of Office, what are the concrete activities to **manage human resources in PMI!**
- What are the consequences if **issues** during the project/program implementation are not resolved?
- Explain the differences between 'Responsible; Accountable; Consulted; and Informed (**RACI!**)'

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(To ensure that the objectives of this session are achieved, ask participants to provide answer to the following questions in this slide).

(Complete participants' answer when necessary).

### Exercise Instruction for "Implementation"

1. Identify the concrete actions you should do to **manage human resources in your office** based on the steps provided previously.
2. What actions do you need to do to improve the **finance, asset, logistic management** in your office?

**Time 45 minutes**

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(Facilitator provides a clear guidance so that all participants can do this exercise quickly but properly. Ask them to analyze their own office)

# Session 7 - Monitoring, Evaluation, and Reporting

To [Introduction to Planning Session](#) - [Identification Session](#) - [Design Session](#) - [Set Up Session](#) - [Implementation Planning Session](#) - [Implementation Session](#) - [M&E and Reporting Session](#) - [Transition/Closure Session](#)

 <p style="text-align: center;"><b>Session 7 .</b> <b>MONITORING, EVALUATION, AND REPORTING</b></p> <div style="border: 1px solid gray; padding: 10px; text-align: center;"> <p><b>Monitoring, Evaluation and Reporting</b></p>  </div> <p style="text-align: right;">243</p>	<p>Look at this Project Cycle Diagram, we are now in the Monitoring and Evaluation phase, which is in the background of the entire phases (note the <b>white color</b>).</p> <p>This means that monitoring activities are intended to occur continuously and continually taking place through the entire life of the project while evaluation only at particular times.</p>
 <p style="text-align: center;"><b>Session 7</b> <b>Monitoring, Evaluation, and Reporting Phase</b></p> <div style="background-color: red; color: white; padding: 10px;"> <p><b>7.1 Introduction to M&amp;E</b></p> <p><b>7.2 Project/program M&amp;E steps</b></p> <p><b>7.3 Introduction to ITT</b></p> <p><b>7.4 Developing a useful report</b></p> </div> <p style="text-align: right;">244</p>	<p><b>(Read the topics that will be discussed in this session 7).</b></p> <p>We will first learn about the M&amp;E basic concepts and principles, and afterwards learn about the practicalities or steps in applying M&amp;E within a project or program.</p>
 <p style="text-align: center;"><b>Objectives of Session 7</b></p> <div style="display: flex;"> <div style="flex: 1;">  <p>you understand it when you can explain it</p> </div> <div style="flex: 2;"> <p>Participants are able to define Monitoring, Evaluation, Audit, Baseline, dan Endline, steps to develop program/project M&amp;E system, to understand reporting purpose, benefits, types, content, and formats in accordance with PMI Guideline.</p> <p><b>Participants are able to explain:</b></p> <ul style="list-style-type: none"> <li>• Function, differences and relation between Monitoring, Evaluation, Audit, Baseline, dan Endline.</li> <li>• Types of monitoring and evaluation.</li> <li>• Criteria, ethics, standard in M&amp;E</li> <li>• How to Identify information needs, data collection methods, data management, information visualization, ITT</li> <li>• How information needs affect reporting format and frequencies</li> <li>• How to develop an interesting and easy-to-read report</li> </ul> </div> </div> <div style="display: flex; margin-top: 10px;"> <div style="flex: 1;">  </div> <div style="flex: 2;"> <p>Participants are able to plan and conduct M&amp;E activities for their program/work plan; develop report in accordance with PMI Planning and Reporting Guideline; and provide external report.</p> </div> </div> <p style="text-align: right;">245</p>	<p><b>(Read this slide or ask participants to read it. Encourage them to achieve these objectives by the end of this session).</b></p> <p>M&amp;E might be new to some of you, however, I hope that you will be enthusiastic so that these learning objectives are achieved.</p>

## 7.1 Introduction to Monitoring & Evaluation

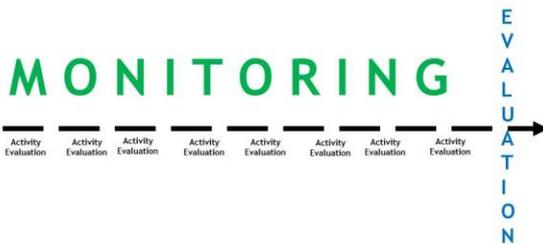


RB: 131

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First, we will focus on the concepts and principles of M&E. This section will serve as a solid foundation of our understanding about important things in M&E activities.

### What is Monitoring & Evaluation?



Project/Program Implementation Period

247

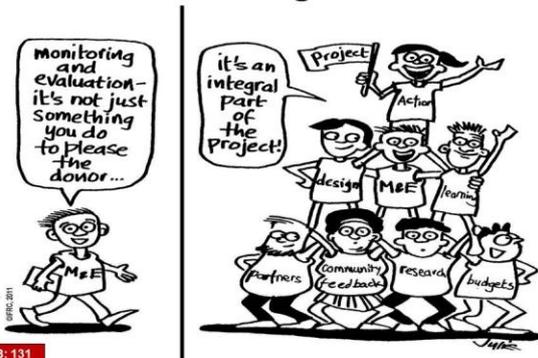
**(Ask participants to explain monitoring and evaluation, then explain the following information).**

I would like you to understand that the Monitoring and Evaluation we discuss now is for PROJECT/PROGRAM, instead of evaluation of ACTIVITY.

Look at this diagram.

Indeed, after completing an activity, you will always do an evaluation accordingly. However, the EVALUATION to be discussed here is the project/program evaluation.

### What is Monitoring & Evaluation?



RB: 131

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Although projects/programs are already well designed, comprehensively planned, fully resourced, at the time of implementation they 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 whether 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. This is the purpose of M&E.

As the message in this cartoon, you need to understand that M&E is not only to please the donor but also to support a better project/program management.

Therefore, M&E is not the responsibility of other people (donor), but it is the manager's as well as the implementing team's.

## What is Monitoring?

**ROUTINE** data **COLLECTION & ANALYSIS** to track **PROGRESS** against the set plans and to check compliance to the established **STANDARD**; to inform **DECISION** making by project/program management team.

RB: 132

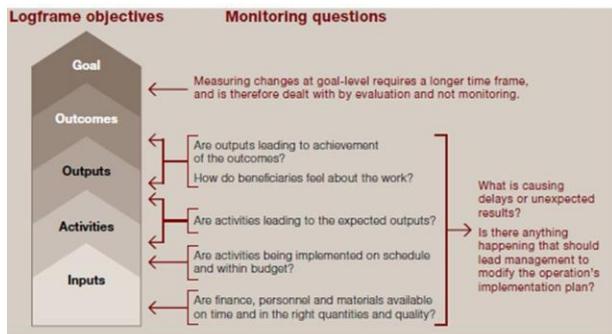
249

### What is Monitoring?

(Before you show the answer in this slide, ask participants to explain monitoring activities they have done in their office).

Monitoring is the routine collection and analysis of information to track progress against the set plans and check compliance to the established standards.

It helps to identify trends and patterns, adapt strategies and inform team in decisions making for project/program management.



RB: 133

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### The link between logframe and monitoring

This diagram summarizes monitoring key questions and its relation with objective in the logframe.

Note that the following monitoring questions focus on the low-level objective, such as inputs, activities, and outputs. Monitoring will answer the following questions:

- ✓ Are finance, personnel and materials available on time and in the right quantities and quality?
- ✓ Are activities being implemented on schedule and within budget?
- ✓ Are the expected outputs produced?
- ✓ Do those outputs contribute to achieving outcome?
- ✓ Are the activities progressing as projected?

## What are the Purposes of and How is Monitoring Conducted?

1. Analyzing the current **SITUATION**
2. Identifying **ISSUES & SOLUTIONS**
3. Recognizing the **TRENDS & PATTERNS**
4. Ensuring the activities are on **SCHEDULE**
5. Measuring progress of the **OUTPUT**
6. Making **DECISION** on resources

Field Visit

Recording

Reporting

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### What are the purpose and methods of monitoring?

As discussed before, monitoring informs the manager and team about project/program performance in terms of fund, time, risks, and quality.

With monitoring, you can analysis the situation, identity problems and its solutions, recognize trends and pattern, ensure the implementation according to the planning, measuring the *output* and making decision regarding resource mobilization.

You could do monitoring in various ways, such as:

- Field observation
- Through recording at different levels (for instance from village volunteers, PMI volunteers, PMI Branches).
- Through monthly or quarterly report.

## Key Principles of Monitoring?

Focused on information needs

Systematic, based on indicators

Detecting unexpected changes



Timely

Participatory, involving stakeholders

Monitoring result should be shared

RB: 133

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## Principles of monitoring

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

## What needs to be monitored?



RB: 134

## What should be monitored?

(Ask participants to look at the reference book and ask a few people to read the types of monitoring).

(Explain the following points briefly, and show the pictures one by one)

1. **Results monitoring** tracks outputs to determine if the project/program is on target towards its intended results.
2. **Process (activity) monitoring** tracks the use of inputs and resources, the progress of activities and the delivery of outputs.
3. **Compliance monitoring** ensures compliance with donor regulations and agreed standards.
4. **Context (situation) monitoring** tracks the setting in which the project/program operates.
5. **Beneficiary monitoring** tracks beneficiary perceptions of a project/program, beneficiary satisfaction.
6. **Financial monitoring** determines the effectiveness of the use of grants.
7. **Organizational monitoring** tracks the institutional development and capacity building and its partners.

### Quiz: what needs to be monitored?

- 25 Disaster Response Team members are trained
- → **Output**
- Training participants attended >98% training sessions
- → **Process**
- Complete and timely financial report
- → **Compliance**
- Mothers' feedback about the best time to conduct information session
- → **Feedback**
- Many community members emigrate to other regions
- → **Context**

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(Referring to the things that should be monitored, give this quiz to participants)

(Show the following text and ask participants to provide answer about which category it belongs to).

### What is Evaluation?

**"AN ASSESSMENT, as systematic and objective as possible, of an ONGOING or COMPLETED project/program including its result, design, implementation, and policy.**



RB: 135

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### What is Evaluation?

(Ask participants to provide answer)

Evaluation is an assessment, as systematic and objective as possible, of an ongoing or completed project/program.

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.

Evaluation findings allow you to learn from the experience and improve future interventions.

### Logframe objectives Evaluation questions



RB: 136

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### The link between evaluation and logframe

What to judge/assess when doing an evaluation?

(Ask participants to provide their answer).

Look at the reference book, note what are the things to be assessed or asked during an evaluation.

(Ask participants to read the questions in the diagram and compare them to the monitoring questions).

### Main Purposes of Evaluation?



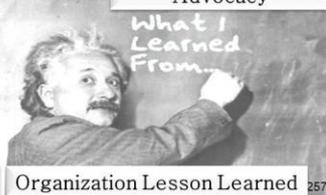
Improving PMI Performance



Advocacy



Accountability



Organization Lesson Learned

RB: 136

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### The main objectives of evaluation

Who has evaluated their personal lives? How did you do it? And why did you do it?

Evaluation has four main objectives:

- To improve PMI's performance**  
Without evaluating ourselves, we will never be better. Similar to project/program, evaluation improves PMI's performance and prevent PMI from doing the same mistakes.
- To contribute to organizational learning**  
Evaluations document lessons learned for the organization to better manage and deliver PMI's programs and services.
- To uphold accountability and transparency**  
Willingness to conduct an evaluation indicates that we are transparent, accountable, and trustworthy.
- To promote and advocate the success of PMI's program/works.**  
Reliable evaluations can be used for resource mobilization, advocacy, and to recognize and celebrate our accomplishments.

### Summary of major types of evaluation

According to evaluation timing	According to who conducts the evaluation	According to technicality and methodology of the evaluation
<ul style="list-style-type: none"> <li>Midterm Evaluation</li> <li>Final Evaluation (right after the project/program ended)</li> <li>Ex-post Evaluation (1-10 years after a project/program ended)</li> </ul>	<ul style="list-style-type: none"> <li>Internal Evaluation (by implementing team; tends to focus on lesson learned)</li> <li>External Evaluation or independent (by external, focused on accountability)</li> <li>Participatory Evaluation (beneficiaries and stakeholder)</li> </ul>	<ul style="list-style-type: none"> <li>Real Time Evaluation (emergency response)</li> <li>Thematic Evaluation (focused to one theme such as, gender, environment, etc.)</li> <li>Sector Evaluation (focus edto program sector, areas)</li> <li>Impact Evaluation (focused on effect)</li> </ul>

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### Types of Evaluation

(First, ask participants to read this section in the Reference Book. Ask them one by one to read the definition of each evaluation).

The conclusion is, you need to define the evaluation purpose first, and afterwards determine the methods or technicality, timing, and who to conduct it.

Which evaluations do I need to explain further?

(Explain further if they need you to do so)

### Quiz- types of evaluation?

- Project A** is ongoing, some progress has been made, however, there are some challenges and difficulties halting the target achievement. What is the most appropriate evaluation for this project?  
*Mid-term evaluation by internal*
- Project B** has been completed according to the project agreement, you have to be accountable to donor and stakeholders on the project results. What is the most appropriate evaluation for this project?  
*Final Evaluation by external*
- Project C** is a Tsunami project in Aceh. About 10 years after the project had been completed, some donors would like to assess the impact of the project and its sustainability. What is the most appropriate evaluation for this project?  
*Ex-Post Evaluation by external*
- In District D**, an earthquake recently occurred, almost 500 thousand households were impacted. PMI led and coordinated the emergency response right after the disaster took place. What is the most appropriate evaluation for this project?  
*Real-time evaluation by internal*

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(Ask participants to read the quiz in this slide (one by one) and then ask them to provide the answer. Below are the answers, please refine their answer if necessary).

- Project A: Mid-term evaluation by internal
- Project B: Final evaluation by external
- Project C: Ex-post evaluation by external
- Project D: Real-time evaluation by internal

## 8 Evaluation Criteria



RB: 139

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## Evaluation criteria

Project/program evaluation is different to activity evaluation where you assess or review micro things on the process.

There are eight criteria to be included in an evaluation process for PMI's projects/programs. The following criteria are used to determine the factors of success for PMI's projects/programs.

1. Does the project/program implementation uphold the seven **Fundamental Principles, Code of Conduct, PMI Strategic Plan**?
2. Do the **design/strategy/services** provided by the project/program meet or is relevant to the needs?
3. To what extent has the project/program achieved or is likely to achieve its intended results (**effectiveness**)? What made the success or the failure in achieving the target?
4. To what extent have the results been delivered in the least costly manner possible (**efficiency**)? How well are inputs used? Do the results or benefits justify the cost? Are there any other ways/approaches to achieve the same results **with lower cost**?
5. What are the **positive and negative impacts** from the project/program, either directly or indirectly, intended or unintended?
6. How well were the population groups included in or excluded from the project/program's target? How and why were certain **beneficiaries selected**?
7. **Is the project/program coherent** or in line, complement or conflicted with the existing program/policies?
8. Are the benefits of a project/program likely to be **sustainable** once donor input has been withdrawn? This includes environmental, institutional, and financial sustainability.

## Quiz-Evaluation Question

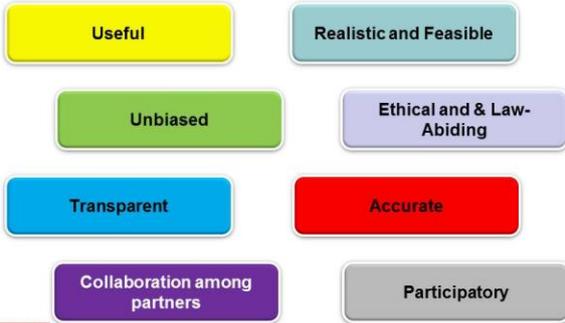


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**(Referring to the previous evaluation criteria, give this quiz to participants)**

**(Show this text one by one and ask participants to provide the answer about which criteria of evaluation the question belongs to).**

## Evaluation Standards



RB: 143

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### Evaluation Standard

Evaluation is a tool to show accountability, and therefore it has several standard criteria:

1. **Utility Standard.** Evaluation should serve information needs; to be followed up properly.
2. **Feasibility Standard.** Evaluations must be realistic, diplomatic, and managed in a sensible, cost-effective manner.
3. **Ethics and Legality Standard.** Evaluations should abide by professional ethics, standards and regulations to minimize risks, harms and burdens to evaluation participants.
4. **Impartiality and Independence Standard.** Evaluations should be impartial, providing a comprehensive and unbiased assessment that takes into account the views of all stakeholders.
5. **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.
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.
7. **Participation Standard.** Stakeholders should be consulted and meaningfully involved in the evaluation process when feasible and appropriate.
8. **Collaboration Standard.** Collaboration between key operating partners in the evaluation process improves the legitimacy and utility of the evaluation.

**Read the example of project/program evaluation questions in the Annex**

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Example of evaluation questions are provided in the annex of Reference Book.

You could use those questions (as relevant) when you evaluate your annual work plan.

You do not need to ask all of those questions, select only those useful to provide the information you need.

You could also modify the questions as necessary.

## How has your PMI evaluated its program/project?

Did you evaluate those 8 criteria?

Did you meet those 8 standards?

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(Ask participants to provide answers to the questions in this slide)

Now, you have understood what evaluation is all about, its definition, questions, purposes, criteria, and the standard.

Surely you will be able to conduct the real EVALUATION in the future to prove that PMI is:

- Performing better
- Transparent
- Accountable

By doing so, you **POSITION** PMI to be potential partner of the government, donors, private sector, and other organizations.

### Baseline and Endline at a glance

Is there any of you who have ever been involved in a baseline or endline study? What do you know about baseline and endline (what are the objectives and benefits and how are they done)?

**Baseline** is the information describing the initial conditions before the start of a project / program. **Endline** is a measurement made at the completion of a project / program.

The baseline and endline result will be compared to assess change. Baseline and endline studies are NOT evaluations themselves, but are an important part to be explained in the evaluation result.

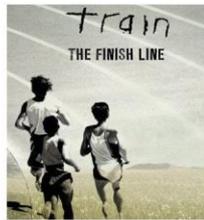
### Baseline



The value of indicators **before** a program/project started, to set the **target** and to be compared with achievements later on.

RB: 146

### Endline



A measurement when a program/project have been **completed** to be compared with baseline result to assess the **changes**.

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### Comparing Monitoring, Evaluation and Audit

	Monitoring	Evaluation	Audit
Why?	Checking progress, informing decisions and remedial action, updating project plans.	Assessing progress and worth, identifying lessons and recommendations for program sustainability; upholding accountability	Ensuring compliance and ensuring 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	Focused on inputs, activities, outputs and shorter-term outcomes	Focused on outcomes and overall goal	Focused on inputs, activities and outputs

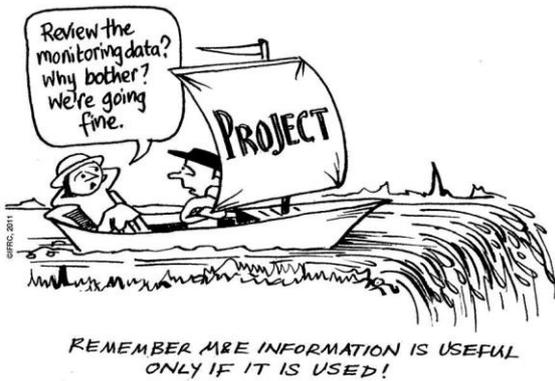
RB: 149

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### Comparing monitoring, evaluation, review and audit

- (Ask each group to pick up a 'lottery', which has Monitoring, Evaluation, and Audit word written in it).
- (Based on what they got, ask them to explain their words on the purpose, the timing, and by whom it is conducted and its relations to logframe)?
- (The group with the most clear and comprehensive explanation will get the highest score).

(You could also do this by cutting this slide into pieces of puzzle and ask them to arrange it correctly)



**What message do you understand from this slide?**

Information is useful only if it is used and acted upon! If you collect information and then you ignore it, then your project/program will end like this boat; eventually it will fall into failures.

**Important messages on Monitoring and Evaluation**

If you don't know where you are, you won't know where to go (this is what Monitoring is for).

Evaluate what you want to achieve, what is measured is likely to be produced.



**(Read this important message)**

**Exercise Instruction for M&E**

1. Back to the logframe, implementation plan and budget you have developed in your case study.
2. Create 4-5 monitoring questions.
3. Create 4-5 evaluation questions.



**Time 45 minutes**

**Exercise - Monitoring and evaluation**

Based on the logframe, detailed implementation plan and the budget that you have developed in the previous sessions, please:

- Create questions that you will use to monitor your project/program.
- Create questions that you will use when you would like to evaluate your project/program.

**7.2 Program/Project M&E Steps**



- a. Identifying the purpose and scope
- b. Planning for data collection and management
- c. Planning for reporting and information utilization (discussed in the last session)
- d. Determining roles of board members, staff, and volunteers in M&E
- e. Preparing M&E activity budget

After discussing about the M&E basic concepts and principles, we now proceed to discuss the steps to apply them.

**(Read the following sub-topics of this session).**

## a. Identifying M&E Purpose and Scope

- ✓ Reviewing project/program **logframe**
- ✓ Identifying **stakeholder's** information needs
- ✓ Identifying **donor requirement**
- ✓ Agreeing on M&E major **activities & functions**

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### Identifying the purpose and scope of M&E system

1. Refer to the logframe when developing an M&E plan.
2. Identify stakeholder information needs and its utilization
  - Communities → to better understand, participate in and own the project / program.
  - Donors → to ensure compliance and accountability.
  - Management → for decision-making, strategic planning, and accountability.
  - Staff → for project/program implementation
  - Local government → to ensure that legal and regulatory requirements are met.
3. Identify donor requirements
  - Donor requirements and expectations!
  - Government regulations
  - International standards
  - Seven Principles and Code of Conduct, etc.
4. Determine the scope of major M&E events and functions
  - The geographic scale of the project/program
  - The demographic scale such as target populations
  - The time frame or duration of the project/program
  - The available human resources and budget

## Example of M&E Activities

Emergency response	One year recovery project	5-year development project
<ul style="list-style-type: none"> <li>▪ Initial Assessment</li> <li>▪ Monitoring</li> <li>▪ Real-time evaluation</li> <li>▪ Operation updates</li> <li>▪ Final evaluation</li> </ul>	<ul style="list-style-type: none"> <li>▪ Initial assessment</li> <li>▪ Monitoring</li> <li>▪ <u>Project review</u></li> <li>▪ Operation updates</li> <li>▪ Final evaluation</li> </ul>	<ul style="list-style-type: none"> <li>▪ <u>Baseline study</u></li> <li>▪ Monitoring</li> <li>▪ <u>Mid-term review</u></li> <li>▪ <u>Endline study</u></li> <li>▪ Final Evaluation</li> <li>▪ <u>Ex post evaluation</u></li> </ul>

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### Example of M&E activity

(Show this slide and ask participants to compare M&E activities among these three project/program scenarios).

Ask:

- What are the differences?
- Why are they different?

(Close with this message):

The longer the project/program duration is, there will be more required M&E activities, and vice versa.

# REMEMBER!!!



Look at this cartoon!

It has an important message that when you identify the scope and purpose of an M&E system, **you have to consider what you need, not what you want.**

It is not useful to develop a complex M&E system if you only need less. **Remember, identify what you NEED to know; not what you WANT to know.**

# REMEMBER!!!



If you determine the scope and purposes broader than what you need, then you will experience this picture.

Try to recall, how have you implemented the recording and reporting system in PMI?

If you are too busy to handle recording and reporting activities, then you will have less time to implement the real project/program activity.

## b. Planning for data collection and management

1. Developing an M&E **plan matrix**
2. Preparing data collection **methods & tools**
3. **Triangulating** sources and methods
4. Planning for **data management**
5. Findings, conclusion, recommendation, action

The second step is planning for data collection.

**(Read these sub-topics to be discussed in this second step).**

## 1. M&E Plan Table

M&E Plan for "Work Plan of PMI A Branch 2015"

Indicator	Indicator definition	Data collection methods	Frequency and schedule	Responsible person	Utilization
Goal					
Indicator 1					
Outcome 1					
Indicator 1.a					
Indicator 1.b.					
Output 1.1.					
Indicator 1.1.a					
Output 1.2.					
Indicator 1.2.a					

## Developing M&E Plan

Look at the Reference Book. Note what information is in the M&E plan.

An M&E plan is a table that builds upon a project/program's logframe. When doing so, it allows the team to crosscheck 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.

It is best that the M&E plan is developed by those

	<p>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.</p>
 <p style="text-align: center;"><b>Defining Indicator</b></p> <p><b>Why do you need to define an indicator?</b></p> <p style="text-align: center;"><b>To clearly understand what will be measured and how to measure it.</b></p> <p style="text-align: center; color: blue;">Indicators and their definition are provided in PMI Planning and Reporting Guideline</p> <p>RB: 159</p>	<p><b>(Explain this section well).</b></p> <p>Indicator is a measurement of project/program achievement or success. Therefore, indicator needs to be defined clearly, so that you will know what and how to measure it.</p> <p>In PMI Planning and Reporting Guideline, the indicators for the Strategic Plan and Operational Plan have been clearly defined to enable common understanding for all PMI personnel throughout the country.</p>
 <p style="text-align: center;"><b>Defining Indicator</b></p> <p>Indicator: % of teenagers <b>aged 12-16 years in District A</b> who are able to mention <b>at least 5 ways to prevent HIV transmission by the end of 2015.</b></p> <p>Which part needs to be defined?</p> <p>Answer: You need to clearly define what are <b>"5 ways to prevent"</b>. That is: <b>Abstinent, being faithful, using condom, avoiding syringe exchange, knowledge on HIV</b></p> <p>278</p>	<p><b>(Show the first paragraph of this slide and then ask participants which part of the indicator statement needs to be further defined? Afterwards, show the remaining paragraphs to provide the answer)</b></p>
 <p style="text-align: center;"><b>Defining Indicator</b></p> <p>Indicator: <b>% of under-one year old babies</b> that have received <b>complete basic immunization</b> by the end of 2014.</p> <p>Which part needs to be defined?</p> <p>Answer: You need to clearly define what is <b>"complete basic immunization"</b>. That is: <b>BCG, Polio 1-4, DPT 1-3, Measles</b></p> <p>279</p>	<p><b>(Show the first paragraph of this slide and then ask participants which part of the indicator statement needs to be further defined? Afterwards, show the remaining paragraphs to provide the answer)</b></p> <p>280</p>

## Defining indicator

Indicator: **Number of targeted village in District A** which meets **the criteria for resilient village** by the end of 2014.

Which part needs to be defined?

Answer:

You need to clearly define what are **"the criteria for resilient village"**.

That is: having DRR committee, risk and vulnerability map, contingency plan, early warning system, and contingency fund, etc.)

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(Show the first paragraph of this slide and then ask participants which part of the indicator statement needs to be further defined? Afterwards, show the remaining paragraphs to provide the answer)

## 2. Preparing methods and tools

1. Selecting the most appropriate **methods & tools**
2. **Field testing** data collection tool
3. Providing **guideline** for data collection
4. **Translating** questionnaire
5. **Training** enumerators
6. Addressing **ethical concerns**



PRE-TEST YOUR SURVEY QUESTIONS

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RB: 161

When preparing data collection tools, there are some additional practical considerations, including:

1. Select the most appropriate methods and tools to collect the required information.
2. Pre-test the data collection tools to detect problematic questions or techniques, verify collection time, identify potential ethical issues and build the competence of data collectors.
3. Prepare **data collection guidelines** to ensure standardization, consistency and reliability over time and among different people in the data collection process.
4. **Translate and back-translate** data collection tools to ensure that the tools are linguistically accurate, culturally compatible and operate smoothly.
5. Train **data collectors** about the overview of the data collection system, data collection techniques, tools, ethics, culturally-appropriate interpersonal communication skills and practical experience in collecting data
6. **Address ethical concerns.** Ensure that the necessary permission has been obtained from local authorities, that local customs and attire (clothing) are respected, and that confidentiality and voluntary participation are maintained.



## 3. Data Triangulation

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 crosscheck 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.

RB: 151

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## Triangulation – Source and Methods



Triangulation **does not mean** that it should be from 3 sources or methods, the essence is you should not rely to one source/method only.

RB: 151

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## Minimizing bias & error



RB 149

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### Example of data sources triangulation

When collecting public opinion about quality improvement of blood donor service in PMI A Branch, do not just ask the Blood Transfusion Unit personnel, but also ask people who donated their blood, as well as consumers (individuals or hospitals) who received blood from the unit.

A household survey is conducted to determine beneficiary perception, and it is complemented by FGD and key informant interviews with participants as well as other community members.

(Facilitate a brief “discussion” about what cause errors and bias in data collection. Ask participants’ opinions or their experiences).

Look at this cartoon! What are the errors there?

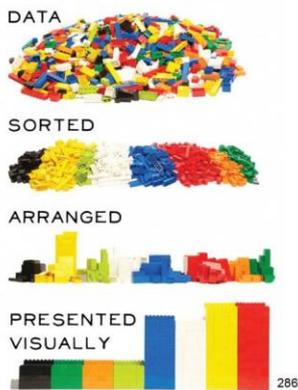
M&E helps uphold accountability, and should therefore be accountable in itself so that the M&E process should be accurate, reliable and credible with stakeholders.

Bias could *occur when the accuracy and precision is threatened by the experience, perceptions and assumptions of the researcher, or by the tools and approaches used for measurement and analysis.*

There are precautions that can be taken, and the first one is to be familiar with the major types of bias we encounter in our work:

- ❑ **Selection bias** results from poor selection of the sample population to measure/study which is 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.
- ❑ **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.
- ❑ **Processing error** results from the poor management of data - miscoded data, incorrect data entry, incorrect computer programming and inadequate checking.
- ❑ **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.

## 4. Planning for data management



RB: 167

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### Planning for data management

Remember, you must **ONLY** collect information you need so that you will not be overwhelmed in managing as well as in using them.

Data management refers to the processes and systems for how a project/program will systematically and reliably store, manage and access M&E data. Poorly managed data wastes time, money and resources; lost or incorrectly recorded data affects its quality and credibility.

### Data is often like this...



Much data is **collected** but not processed, though it is **processed**, it is not analyzed, though it is **analyzed**, it is not read, though it is **read**, it is not **ACTED UPON**

RB: 167

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This case often happens:

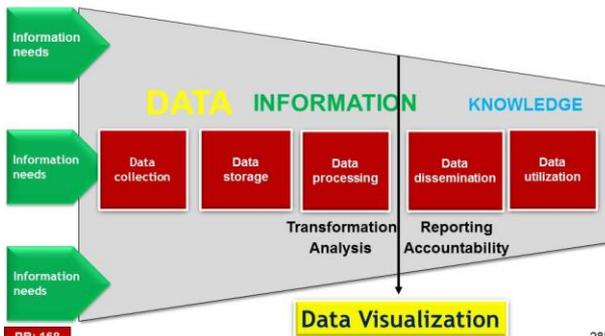
“Much data is **collected** but not processed, though it is **processed**, it is not analyzed, though it is **analyzed**, it is not read, though it is **read**, it is not acted upon”.

**(Ask the participants)**

How many has the percentage of data in PMI been used to inform decision making by Head of Office/Working Units/Board Members?

Or how many percentage of the decision made by Head of Office/Working Units/Board Members was based on facts?

### Data Management Process



RB: 168

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Data Management Process is explained as follow:

- Data collection.** Data is collected using appropriate methods and also with tool(s) which is valid and reliable.
- Data storage.** Data could be stored at various forms, from hard copy archiving to soft copy within certain software (excel, SPSS) or even in a server.
- Data processing (transformation and analysis).** After data has been collected, the next step is **data transformation** which may include arithmetic calculation such as aggregation, summary, classification or categorization (by age, sex, education, income, etc.); merging (for instance monthly becomes quarterly; by branches become by chapters, etc.); and matching (for example, staff with salary > IDR 5 million; volunteers who reside 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

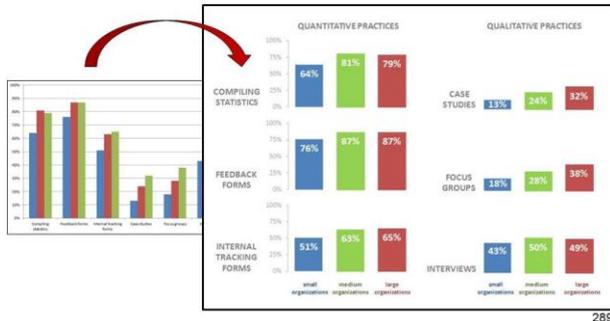
well as trying to explore "why these changes occur."

4. **Data/information dissemination (sharing).** At this stage, you can disseminate/ present/share both data and information, internally as well as externally.
5. **Visualization of information** into a more attractive form, such as graphs, tables, maps, and photographs, to help the audience understand the meaning of information.
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. **"Better Information, Better Decision, Better Action"**.

Data/information that is not used is similar to **GARBAGE.**



Help your audience to understand...  
Which chart communicates better?



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Help your audience to understand what you are trying to say!

**(Ask participants: Which chart do you like the most? Which one is easier to understand? Which one is more informative and attractive?)**

You need to prepare and present your information attractively so that your audience could receive, understand and ultimately use them accordingly.

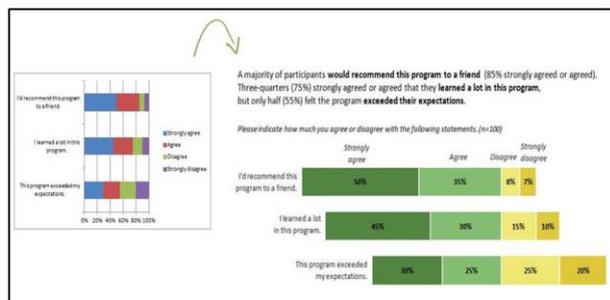
Presenting information is similar to creating a song, where the lyrics, the music, the singer, as well as the music video should be made attractive so that people would be interested to listen to and then buy it.

You need to avoid "Data rich but information poor"

**(Ask participants: Which chart do you like the most? Which one is easier to understand? Which one is more informative and attractive?)**



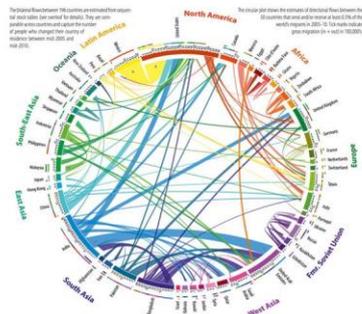
Help your audience to understand...  
Which chart communicates better?



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## Help your audience to understand...

*This chart visualizes inter-state migration data (the data source is hundreds of pages)*



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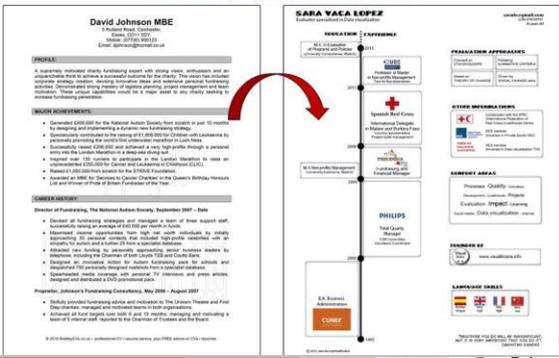
This chart visualizes migration data from 50 countries, recorded in hundreds of pages.

In one shot in this slide, you can see which countries have the highest migration rate (thick lines), and vice versa!

This is a simple way to visualize data briefly, clearly and attractively.

## Help your audience to understand...

*This is a Curriculum Vitae*



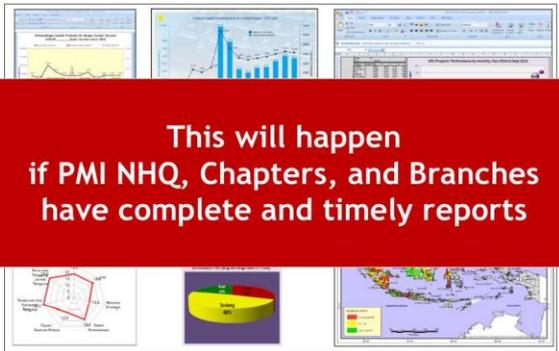
292

Look at this slide. What picture is this?

The picture in the right sight is a visualization of a Curriculum Vitae (CV) which is commonly written in a quite long narrative text. The CV can be visualized in 1-2 pages which describe in which organizations you have been working in, the duration, your area of expertise and competency, you also could add map to show the geographic coverage of your working experiences.

Interesting, isn't it!

## PMI wants to have a Business Intelligence or Information DASHBOARD



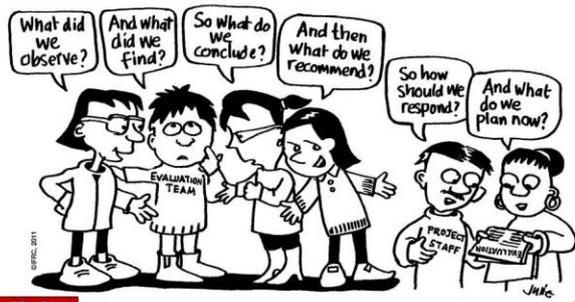
294

With PMER System that is in place in PMI all levels, we would be able to collect information from 33 PMI Chapters and ±450 PMI Branches.

Through PMI MIS, we would be able to present the information through more informative, attractive, and easy-to-understood dashboard.

As showed in this slide, there could be various kinds of data visualization, which can be accessed and can informed decision making in making PMI into a more modern and professional organization.

## 5. Understanding terms Finding, Conclusion, Recommendation, Action



RB: 181

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## Finding, Conclusion, Recommendation, Action

**(Ask participants to define Finding, Conclusion, Recommendation, Action and to provide examples)**

Terms	Definition	Example
<b>Finding</b>	A factual statement based on primary and secondary data	<ul style="list-style-type: none"> <li>✓ Community members reported daily incomes is below IDR 20,000 per day.</li> <li>✓ Participants in community focus group discussions expressed that they want jobs.</li> </ul>
<b>Conclusion</b>	A synthesized (combined) interpretation of findings	<ul style="list-style-type: none"> <li>✓ Community members are materially poor due to lack of income-generating opportunities</li> </ul>
<b>Recommendation</b>	A prescription based on conclusions	<ul style="list-style-type: none"> <li>✓ Introduce micro-finance and micro-enterprise opportunities for community members to start up culturally appropriate and economically viable income-generating business</li> </ul>
<b>Action</b>	A specific prescription of action to address a recommendation	<ul style="list-style-type: none"> <li>✓ By December 2011, form six pilot solidarity groups to identify potential micro-enterprise ideas and loan recipients</li> <li>✓ By January 2011, conduct a market study to determine the economic viability of potential micro-enterprise options.</li> </ul>

RB: 181

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### Finding, Conclusion, Recommendation, Action

**(Ask participants to read the Reference Book about Finding, Conclusion, Recommendation, Action).**

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.

**c. Planning for reporting and information utilization**

**Will be discussed in sub-section 7.4**

RB: 187

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**d. Agreeing on the role of board members, staff, volunteers on M&E**



**Discuss what are the roles of board members, staffs, volunteers on M&E**

RB: 205

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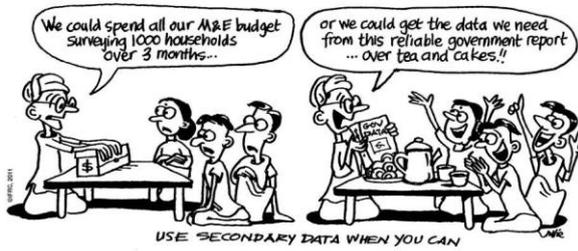
Head of Office should provide proportional opportunity to staff, board members, and volunteers to do M&E.

**(Ask participants to discuss in groups).**

#### Discussion guide:

- Assess the capacity and experiences of your office in doing M&E. Who, how, and how frequent has M&E been done so far?
- Write down the role and responsibility related to M&E that could be done by board members, and volunteers.
- Identify what capacity building do the board members, and volunteers need to be able to do M&E properly, and what is your plan to improve their capacity?
- How can PMI involve its stakeholder or partners to participate in doing the M&E?

### e. Allocating M&E Budget



RB: 210

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The basic principle in allocating budgets for M&E activities is effectiveness.

Look at the cartoon, the message is: if you are able to access and use secondary data, then it is not necessary to collect primary data.

There is no set formula for determining the budget for M&E, while it is estimated between 3 and 10% of a project/program's budget. Indeed the greater the project/program's budget, the percentage for M&E could be smaller, while the amount is still greater.

Based on the previous discussion, try to identify the budget items that are needed to conduct your M&E activities.

**(Close this session by reading this important message).**

### Important Message on M&E Steps

**Collect ONLY the information you need to manage your project/program.**

**Make sure that the information you collected is USEFUL.**



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**(To ensure that the objectives of this session are achieved, ask participants to provide answer to the following questions in this slide).**

### Are the objectives of sub-session 7.1 and 7.2 achieved?



- Explain the differences between Monitoring and Evaluation!
- What do you need to monitor?
- What do you need to evaluate?
- Explain the differences between finding, conclusion, recommendation, action!

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**(Complete participants' answer when necessary).**

## Exercise Instruction-2 for M&E Session

1. Check your Logframe, particularly on the indicators.
2. Create an M&E Plan according to the guideline provided.



Time  
45 minutes

303

(Tell participants that they will practice to create an M&E plan).

(Refer them to the example of M&E plan in the Reference Book).

## 7.3. Indicator Tracking Table (ITT)

ITT is a simple monitoring tool to track the progress of project/program's indicators against their targets

304

(Read the text in this slide)

RB: 182

### Example of Indicator Tracking Table (ITT)

Table TELUSUR INDIKATOR PROYEK KPBBM dan PRB di KAB A															
Project/Program Manager		Jero Pakjans		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		D&B, DRB													
INDICATORS	Measurement Period	Baseline Result		Jan-Mar 2014		Apr-Jun 2014		Jul-Sept 2014		Oktober 2014		Tahun 2014			
		Date	Value	Target	Actual	% Achievement	Target	Actual	% Achievement	Target	Actual	% Achievement	Target	Actual	% Achievement
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. % survival respondent who can show Grab Bag in line with the standard at the end of the project.	Regression and end of project	7 Jan 14	10%	10%	10%	10%	10%	10%	10%	10%	10%	10%	60%	70%	117%
2. Number of targeted village with well functioning early warning system every quarter.	Quarterly	10%	10%	15	10	67%	20	15	75%	25	25	100%	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	10%	10%	5	2	40%	10	7	70%	10	9	90%	10	2	20%
Output 1.2 Implemented regular DRB 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 DRB education activity in the community for at least 3 times every quarter.	Quarterly	10%	10%	80%	10%	80%	50%	67%	80%	65%	81%	80%	75%	94%	94%
5. % of household visited by volunteers for DRB education every quarter.	Triaduan Quarterly	10%	10%	40%	0	0%	60%	40%	67%	80%	80%	94%	81%	80%	94%

RB: 183

PM = Unknown

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### Indicator Tracking Table (ITT)

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:

- Project/program background information, such as project/program title, sector, location, implementation period, project/program manager, etc.
- Overall project/program indicators are indicators for each objective outcome, and output.
- 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.
- Target value, actual achievement, and a comparison between actual and target (%) for each quarter, annual, and during the life of project/program

## Guideline to Fill ITT

1. **Zero or "0"** if there is no achievement at all.
2. **Not Applicable (NA)** if the indicator is irrelevant to be reported since the time has not come or it has been completed in the previous reporting period.
3. **Un Known (UK)** if there is no complete data available.
4. **Target should not be "0"**; must be > than "0", (absolute number or percentage).
5. You **should not adjust target** whenever you like (reducing or adding or changing the due date).
6. If the variance between actual and target is  $\pm 20\%$ , you **need to explain why** that happened.
7. If an indicator is reported or assessed regularly, be careful when to use **the highest actual or the latest actual** on the annual or life of project/program column.

RB: 194

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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.
2. Entering **"0"** means that no progress was made against an indicator for the given time period.
3. 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).
4. 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.
5. **Target must not be "0" - it should be bigger than "0"**, (target could be absolute number or percentage). If in particular quarter, there is no target at all, then write "NA".
6. **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.
7. You need to pay attention to the variance or gaps; any gaps that are more than **10-20% should be explained further in the project/program report**.
8. 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.

 <h2 style="text-align: center;">Exercise Instruction on How to Fill Indicator Tracking Table</h2> <ol style="list-style-type: none"> <li>1. You will be given an Indicator Tracking Table. Pay attention on the information on the table!</li> <li>2. Previously, I have explained how to fill an ITT. I will show the slide once again and please take note.</li> <li>3. Next, I will show a slide on indicators, please fill your ITT correctly.</li> </ol> <p style="text-align: right;"><b>Time</b> <b>60 minutes</b></p> <p style="text-align: right;">307</p>	<p>(Ask each group to create an ITT for a year using a flip chart paper. Based on the following information, ask them to fill out the ITT according to the provided guideline).</p>
 <h2 style="text-align: center;">Exercise to Fill ITT</h2> <p>Indicator: Number of Youth Red Cross activity in PMI A Branch in 2014.</p> <p>Information:</p> <ul style="list-style-type: none"> <li>- 2014 target: 24 activities</li> <li>- 1<sup>st</sup> quarter target: 7 activities, actual = 6.</li> <li>- 2<sup>nd</sup> quarter target: 7 activities, actual = 5.</li> <li>- 3<sup>rd</sup> quarter target : 10 activities, actual = 8.</li> <li>- 4<sup>th</sup> quarter target, there' is no target, but actual = 2</li> </ul> <p>Fill your ITT!</p> <p style="text-align: right;">308</p>	<p>(The answer is in the last section of this facilitator guideline)</p>
 <h2 style="text-align: center;">Exercise to Fill ITT</h2> <p>Indicator: Number of staff who received performance appraisal from Head of Office biannually in 2014.</p> <p>Information:</p> <ul style="list-style-type: none"> <li>- 2014 target: 20 staff</li> <li>- 1<sup>st</sup> semester target: 17 staff, actual = 16.</li> <li>- 2<sup>nd</sup> semester target: 20 staff, actual = 19.</li> </ul> <p>Fill your ITT!</p> <p style="text-align: right;">309</p>	<p>(The answer is in the last section of this facilitator guideline)</p>
 <h2 style="text-align: center;">Exercise to Fill ITT</h2> <p>Indicator: Number of new ly recruited voluntary blood donor by PMI A Branch in 2014.</p> <p>Information:</p> <ul style="list-style-type: none"> <li>- 2014 target : 500 people</li> <li>- 1<sup>st</sup> quarter target: 75 people, actual = 55.</li> <li>- 2<sup>nd</sup> quarter target : 125 people, actual = 120.</li> <li>- 3<sup>rd</sup> quarter target 3: 175 people, actual = 170.</li> <li>- 4<sup>th</sup> quarter target 4: 125 people, actual = 140.</li> </ul> <p>Fill your ITT!</p> <p style="text-align: right;">310</p>	<p>(The answer is in the last section of this facilitator guideline)</p>

 <p style="text-align: center;"><b>Exercise to Fill ITT</b></p> <p>Indicator: Number of monthly program report submitted by PMI A Branch to PMI Chapter and NHQ in timely manner in 2014.</p> <p>Information:</p> <ul style="list-style-type: none"> <li>- 2014 target: 12 reports</li> <li>- 1<sup>st</sup> Quarter target: 3 reports, actual = 1.</li> <li>- 2<sup>nd</sup> Quarter target: 3 reports, actual = 2.</li> <li>- 3<sup>rd</sup> Quarter target: 3 reports, actual = 3.</li> <li>- 4<sup>th</sup> Quarter target: 3 reports, actual = 3.</li> </ul> <p>Fill your ITT!</p> <p style="text-align: right;">311</p>	<p>(The answer is in the last section of this facilitator guideline)</p>
 <p style="text-align: center;"><b>Exercise to Fill ITT</b></p> <p>Indicator: % of household visited by volunteers to provide DRR education session in every quarter.</p> <p>Information:</p> <ul style="list-style-type: none"> <li>- 2014 Target : 95%</li> <li>- 1<sup>st</sup> Quarter target: 40%, actual = no data available</li> <li>- 2<sup>nd</sup> Quarter target: 60%, actual = 40%.</li> <li>- 3<sup>rd</sup> Quarter target : 85%, actual = 80%.</li> <li>- 4<sup>th</sup> Quarter target : 95%, actual = 75%.</li> </ul> <p>Fill your ITT!</p> <p style="text-align: right;">312</p>	<p>(The answer is in the last section of this facilitator guideline)</p>
 <p style="text-align: center;"><b>Exercise to Fill ITT</b></p> <p>Indicator: Number of blood donation information kit/leaflet distributed to government office in quarterly basis.</p> <p>Information:</p> <ul style="list-style-type: none"> <li>- 2014 target is 300 pieces</li> <li>- 1<sup>st</sup> Quarter target : 50 pieces, actual = 0.</li> <li>- 2<sup>nd</sup> Quarter target : 100 pieces, actual = 75.</li> <li>- 3<sup>rd</sup> Quarter target : 100 pieces, actual = 150.</li> <li>- 4<sup>th</sup> Quarter target : 50 pieces, actual = 45.</li> </ul> <p>Fill your ITT!</p> <p style="text-align: right;">313</p>	<p>(The answer is in the last section of this facilitator guideline)</p>

# The answer for ITT exercise

Indicator	Measurement period	Jan-Mar 2014			Apr-Jun 2014			Jul-Sep 2014			Oct-Dec 2014			Year of 2014		
		Target	Actual	% Achievement												
1. Number of Youth Red Cross activity in PMI A Branch in 2014.	Quarterly	7	6	85%	7	5	71%	10	8	80%	NA	2	NA	24	21	88%
2. Number of staff who received performance appraisal from Head of Office biannually in 2014.	Biannually	NA	NA	NA	17	16	94%	NA	NA	NA	20	19	95%	20	19	95%
3. Number of newly recruited voluntary blood donor by PMI A Branch in 2014.	Quarterly	75	55	73%	125	120	96%	175	170	97%	125	140	112%	500	485	97%
4. Number of monthly program report submitted by PMI A Branch to PMI Chapter and NHQ in timely manner in 2014.	Quarterly	3	1	33%	3	2	66%	3	3	100%	3	3	100%	12	9	75%
5. % of household visited by volunteers to provide DRR education session in every quarter.	Quarterly	40%	UK	UK	60%	40%	66%	85%	80%	94%	95%	75%	79%	95%	80%	84%
6. Number of blood donation information kit/leaflet distributed to government office in quarterly basis.	Quarterly	50	0	0%	100	75	75%	100	150	150%	50	45	90%	300	270	90%

Indicator	Measurement period	Baseline result	Date of baseline	Jan-Mar 2014			Apr-Jun 2014			Jul-Sep 2014			Oct-Dec 2014			Year of 2014 (Project Life)		
				Target	Actual	% Achievement	Target	Actual	% Achievement									
7. % surveyed respondent who was able to show their grab bag according to the standard by the end of the project.	Start and end of project	10%	7 Jan 2014	NA	NA	NA	60%	NA	NA									
8. Number of village with well-functioning disaster Early Warning System in quarterly assessment.	Quarterly	NA	NA	15	10	67%	20	15	75%	25	25	100%	25	20	80%	25	20	80%
9. Number of village that has conducted HVCA during the first year of the project.	Quarterly	NA	NA	5	2	40%	10	7	70%	10	9	90%	NA	2	NA	25	20	80%
10. % of volunteer in PMI A Branch who participated in DRR promotion activities at the community level at least three times in each quarter.	Quarterly	NA	NA	80%	UK	UK	80%	50%	66%	80%	65%	81%	80%	75%	93%	80%	75%	93%
11. % of household visited by the volunteers to promote DRR in quarterly basis.	Quarterly	NA	NA	40%	0%	0%	60%	40%	67%	85%	80%	94%	95%	75%	79%	85%	80%	94%

## Sub-Session 7.4 Developing a Useful Report

- 7.4.1 Planning for reporting and information utilization
- 7.4.2 Characteristics of and tips to develop a good report
- 7.4.3 Who is responsible to develop a report?
- 7.4.4 Exercise to develop a report

319

In this session, we will focus on reporting.

**(Read the sub-topic of this session).**



Imagine this happening to your report...

**Misused**

RB: 187

320

### Planning for reporting and information utilization

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.

Look at this cartoon, a thick report is used for other purpose. Can you imagine if your report is treated like this?

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.

## Why do you need to report?



RB: 188

321

### Why do we need to report?

Making a report is not merely a routine activity, but it is an integrated task for either the organization or person(s) responsible for activity implementation.

The functions of a report are:

- 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.
  - ✓ Be used as material for external reports.

## Why do you need to report?



A report is an evidence that you are **ACCOUNTABLE** and **TRUST WORTHY**

RB: 188

322

### As a tool for accountability.

External reports are a tool for accountability. Accountability is important to show that we are responsible. One way to show it is by providing external report to:

- ✓ Demonstrate to donors and the public, what we do with their aid.
- ✓ Shows (presence/absence of) 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:

- ✓ Containing 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.

## Why do you need to report?



Useful as Advocacy & Marketing Tool

RB: 188

323

### As an advocacy tool

When we are not able to be accountable, ultimately our organization credibility is in danger. An organization with weak reporting system will be left behind and would not be able to convince other stakeholders on their performance.

A report is useful as advocacy, marketing, and fundraising tools.

- A report strengthens organizational credibility by demonstrating achievements, success in overcoming the problems, and learning gained from experience.
- To obtain support and funding in the future.

From those three previous answers, **actually for whom is your report?**



**My report is for myself**

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### The answer is for YOURSELF

Don't expect others to read your report if you didn't read it yourself, let alone use it.

By understanding this concept, your attitude and perception to report is now different (changed). A report is a useful thing for you, not something burdening or overwhelming.

**You mindset or perception towards "report" should be changed now!**

## Identifying the needs of your audiences



REPORT BACK IN WAYS THAT CAN BE UNDERSTOOD BY YOUR AUDIENCE

RB: 189

325

## Identifying needs and audiences

Reports should be prepared for a specific purpose/audience. Recognizing your audience will inform the appropriate content, format and timing for the report. For example, do users need information to:

- Track ongoing project/program implementation
- Develop Strategic planning
- Ensure compliance with donor requirements
- Evaluate impact
- Be used for organizational learning for future project/program.

## Internal VS External Report

Internal report is made for **project/program implementing team**; focused more to facilitate learning and inform decision making.

### INTERNAL V EXTERNAL

External report is to provide information to **stakeholder outside the organization**; focused more on **accountability**.

RB: 190

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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.

## Agreeing on Reporting Frequency



Please determine whether you need reports by:

- Daily?
- Weekly?
- Monthly?
- Quarterly?
- Biannually?
- Annually?

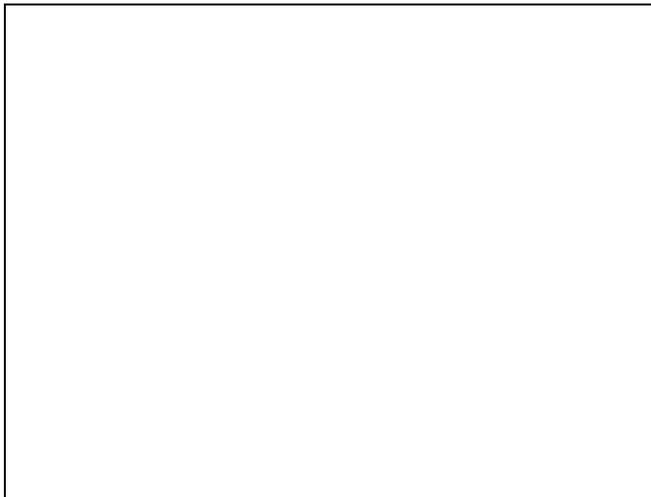
RB: 191

327

## 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.
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.
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.**

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### Agreeing on Reporting Format

Example of Reporting Formats		
<ul style="list-style-type: none"> <li>• Routine report</li> <li>• Evaluation report</li> <li>• Annual report</li> <li>• Midterm report</li> <li>• Operation update</li> <li>• Donor specific report</li> <li>• Situation report</li> <li>• Information bulletin, security updates, etc.</li> </ul>	<ul style="list-style-type: none"> <li>• Activity/event report</li> <li>• Memo</li> <li>• Photo/video</li> <li>• Brochure, pamphlet, leaflet, poster</li> <li>• Newsletter, bulletin</li> <li>• Individual performance report.</li> </ul>	<ul style="list-style-type: none"> <li>• Press release</li> <li>• Public presentation – press conference or community meeting</li> <li>• Success story, case study</li> <li>• Popular publication, such as in magazine, newspaper, and website</li> <li>• Scientific publication in article, paper, or book.</li> </ul>

RB: 192 328

### 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.

Look at this slide, it outlines example of reporting format. Which format have you been used?

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### Content of a Report Covering 5W & 1H

RB: 193 329

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 did this activity take place?
- ✓ **When.** When did this activity take place? For how long?
- ✓ **Why.** What are the objectives of this activity? What are the expected results/impacts?
- ✓ **How.** How was the activity going? Analysis to explain variance/gaps; best practices; lesson learned

<p style="text-align: right;"> Palang Merah Indonesia</p> <h2 style="text-align: center;">Content of a Report</h2> <p><b>Progress/Achievements</b></p>  <p><b>Impact</b></p> <p><b>Challenges</b></p>  <p><b>Coordination</b></p> <p>RB: 193 <span style="float: right;">330</span></p>	<p><b>Four key elements of a report:</b></p> <ol style="list-style-type: none"> <li>1. <b>Progress/achievements;</b> describe what are the results of each activity and explain whether they actually meet the expected result - usually refers to the indicators (activity/output).</li> <li>2. <b>Impact;</b> each of the results should also describe the impact or changes experienced by beneficiaries, target groups - typically refers to indicators of results (outcomes).</li> <li>3. <b>Constraints;</b> not merely mentioning what the issues are, but also what the cause is, internal factors or external factors.</li> <li>4. <b>Coordination;</b> not only mentioning with whom we cooperate, but also what are the results of collaborating with partners.</li> </ol>
<p style="text-align: right;"> Palang Merah Indonesia</p> <h2 style="text-align: center;">Characteristics of a Good Report</h2> <p><b>C</b>oncise</p> <p><b>L</b>ogical</p> <p><b>E</b>ffective</p> <p><b>A</b>ccurate/appropriate</p> <p><b>R</b>eadable</p> <p>RB: 193 <span style="float: right;">331</span></p>	<p><b>(Ask a participant to read this slide)</b></p> <p>If there are programmatic issues arisen, note these following things:</p> <ul style="list-style-type: none"> <li>- You have to be honest in expressing the issues</li> <li>- If the project/program is not progressing, say so and explain WHY?</li> <li>- If it is because of limited funds or personnel, said so. Perhaps the donor will give attention.</li> <li>- If it is due to changes in the political situation/social/environmental, say so. Donors will understand.</li> <li>- Always try to be positive. What will you do about these issues?</li> </ul>
<p style="text-align: right;"> Palang Merah Indonesia</p> <h2 style="text-align: center;">Characteristics of a Good Report</h2> <ul style="list-style-type: none"> <li>➤ <b>Relevant and Useful</b></li> <li>➤ <b>Timely</b></li> <li>➤ <b>Complete</b></li> <li>➤ <b>Simple</b></li> <li>➤ <b>Consistent</b></li> <li>➤ <b>Low cost</b></li> </ul> <p>RB: 194 <span style="float: right;">332</span></p>	<p><b>Criteria of good reporting</b></p> <ol style="list-style-type: none"> <li>1. <b>Relevant and useful.</b> 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.</li> <li>2. <b>Timely.</b> Reporting should be timely for its intended use. Information is of little value if it is too late or infrequent for its intended purpose.</li> <li>3. <b>Complete.</b> Reporting should provide a sufficient amount of information for its intended use. It is especially important that reporting content includes any specific reporting requirements.</li> <li>4. <b>Reliable.</b> Reporting should provide an accurate representation of the facts.</li> <li>5. <b>Simple and user-friendly.</b> Reporting should be appropriate for its intended audience. The language and reporting format used should be clear, concise and easy to understand.</li> <li>6. <b>Consistent.</b> Reporting should adopt units and formats that allow comparison over time, enabling</li> </ol>

	<p>progress to be tracked against indicators, targets and other agreed-upon milestones.</p> <p>7. <b>Cost-effective.</b> Reporting should warrant the time and resources devoted to it, balanced against its relevance and use.</p>
--	-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

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## Tips in Writing a Report

### Give Time!

Traditional Reporting

A better reporting

Thinking Writing Reading

RB: 197 333

**How to create a good report?**

You need to think about what you need to write in your report. Provide sufficient time to think about the *outlines or main points that you want to report and how to visualize them.*

Look at the following diagram.

**Traditional manner** - the time to think about what needs to be reported is very short, hence there is longer time to write. Ultimately, as the report is not written systematically, unclear, it also becomes lengthy and this it will need more time to read. Who will spend their time to read a lengthy report?

Contrarily, in a **more modern manner**, there is more time to think about what to report and therefore it only needs a short time to write. As a result, the report is systematically written, concise, clear, and we can read it briefly and understand it easily.

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## Report Writing Tips

1. Think first; write; and re-check.
2. Focus on the indicator's achievement, challenges, and failures.
3. Adjust to the audience needs.
4. Include organized facts/information, not assumption.

RB: 197 334

**(Before this slide is presented, ask participants what they know about a good report; in terms of the process and style. Ask a participant to write it in the flipchart).**

**(After participants finished providing their opinion, then pass on the information in this slide one by one to complete their answers written in the flip chart).**

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## Report Writing Tips

5. Reduce jargon, terms or abbreviation.
6. Highlight/bold most important numbers/information.
7. Provide some of pictures, maps, charts as relevant.
8. Use and mention reliable data source.

RB: 197 335

**(Continued - pass on the information in this slide one by one to complete their answers written in the flip chart).**

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## Report Writing Tips

- 9. Be careful to sensitive information.
- 10. Be neutral and impartial
- 11. Remember, PMI is not alone (there is government, partners).
- 12. Recognize other's contribution proportionally



RB: 197

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(Continued - pass on the information in this slide one by one to complete their answers written in the flip chart).

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## Who is responsible to make sure that reports are available on time?



I am the manager (Head of Office)  
I am Responsible

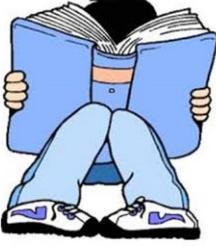
337

As we have discussed much about report, who is actually responsible for the availability of report?

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## Getting Familiar with PMI Planning and Reporting Guideline

Open PMI Planning and Reporting Guideline, the last section



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(Facilitator asks participants to get familiar with PMI Planning and Reporting Guideline, particularly in the reporting section. Guide the participants to understand the guideline).

Remember that, the higher the organization hierarchy, the less information they need. It means not all information from Chapter or from Branch level should be submitted to PMI NHQ.

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## Activity Report

ACTIVITY REPORT			
1. Title of Activity			
2. Date and location of Implementation			
3. Budget (IDR):		Actual (IDR):	Balance (IDR) (Balance actual)
Advance (IDR):			
4. Number of participants/beneficiaries:		Total:	M: F:
5. Activity Results <i>(Please information on target and actual, e.g.: Training, number of people trained/certified, training document completed, monitoring findings, issue addressed, Procurement: number of item.)</i>			
6. Challenges/ Issues encountered <i>(If challenges during preparation or implementation of activity, e.g.: administration, finance, logistic, participant/community participation, etc.)</i>			
7. Solution conducted/taken <i>(If action taken to address or reduce the impact of challenges/issues in point 6.)</i>			
8. Suggestions for Improvement <i>(If a recommendation to improve the quality of activity implementation in the future)</i>			
9. Follow up required <i>(If follow up needed in order to sustain the activity results.)</i>			
REPORTED BY:		ACKNOWLEDGED BY:	

\*Attach the Table as well as photos of activity (2-3 pcs)  
\*\* This format can also be used for trip report, adjust the information to be included (attach the Table, photos, or assignment letters).

PRG: 138 339

### Activity Report

**(Ask a participant to explain about activity report)**  
**(And then ask another participant to explain what are the information that should be in the activity report)**

**(Ensure that all participants understand the format well)**

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## Monthly Report

MONTHLY REPORT OF PMI BRANCH/CHAPTER/  
DIVISION/BUREAU/UNIT OF PMI HQ  
MONTH \_\_\_\_\_, YEAR \_\_\_\_\_

I. Summary of Activity Implementation Matrix

No	Activity	Date and Location of Implementation	Budget (3 variables)	Actual	Activity Results
1					
2					
3					
etc.					

II. Analysis

2.1. Activity and Budget Plan vs Actual  
*(Describe briefly whether all activities planned were implemented. Were all intended results achieved? If there were any results not achieved/completed, explain why and what should be done afterward. Describe the causes of variance between budget and actual, especially if more than 10 %.)*

2.2. Implementation Process  
*(Describe briefly about the implementation quality, e.g. on training: explain about the quality of facilitator, participant's participation and results, as well as follow up plan after the training. For awareness raising activity in the community, explain the topic and messages disseminated, what was the role of PMI-village volunteers, what behaviors agreed to be done. For meetings, explain the decisions needed to be followed up. Include photos of activity.)*

PRG: 139 340

### Monthly Report

**(Ask a participant to explain about monthly report)**  
**(And then ask another participant to explain what are the information that should be in the monthly report)**

**(Ensure that all participants understand the format well)**

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## Quarterly Report

QUARTERLY REPORT OF PMI BRANCH/CHAPTER/  
DIVISION/BUREAU/UNIT OF PMI HQ  
QUARTER \_\_\_\_\_, YEAR \_\_\_\_\_

I. Summary of Key Achievements  
*(Describe briefly the achievement of key activities in the last 3 months. For example:*  
 - 20 KSM were trained and mobilized  
 - 200 WIC members received coaching from volunteers  
 - 500 community members received free medication  
 - etc.)

II. Indicator Tracking Table or ITT

*(ITT is a single table to document the progress of indicator achievement from time to time. Fill in the ITT in line with the guidelines provided under point 5.7 on the previous pages.)*

Work Plan Indicators	Quarter I (Jan-Mar 20xx)			Quarter II (Apr-Jun 20xx)			Quarter III (Jul-Sep 20xx)			Quarter IV (Oct-Dec 20xx)			Year 20xx		
	target	actual	%	target	actual	%	target	actual	%	target	actual	%	target	actual	%
Strategic Objective 1															
Outcome 1.1															
1.1															
1.2															
1.3															
1.4															
1.5															
1.6															
1.7															
Strategic Objective 2															
Outcome 2.1															
2.1															
2.2															
etc.															

\*Strategic Objectives, Outcome, and Output first before the indicators under outcome and output statements. Indicator numbering should be the same with the one in the Operational Plan.

PRG: 141 341

### Quarterly Report

**(Ask a participant to explain about quarterly report)**  
**(And then ask another participant to explain what are the information that should be in the quarterly report)**

**(Ensure that all participants understand the format well)**

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SEMESTER REPORT OF PMI XXXX BRANCH YEAR 20XX

**Semester Report**

No.	Data recorded	Semester 1		Semester 2	
		Target	Actual	Target	Actual
1	Number of Youth Red Cross (YRC) members (2015) within 10 states active & involved in the 10 unit activities or with their own units in the same area	Elementary			
Secondary					
Tertiary					
Senior					
Total					
2	Number of volunteers (JOS/POS) involved in PMI activities at least once in the last 6 months	Target			
Actual					
3	Number of Voluntary Blood Donors who donated blood at least once in the last 6 months	Target			
Actual					
4	Number of staff paid (either by PMI, government, or donors)	Target			
Actual					
5	Number of people who received 20000 Rp/10000 Rp emergency relief/other relief services	a. Individual beneficiaries			
		b. Head of household beneficiaries			
		Total			
		Actual			
6	Number of people receiving good benefit from non-emergency services	a. Health Services			
		b. Social Services			
		Total			
		Actual			
7	Total income (2015)	Target			
		Actual			
8	Total expenditures (2015)	Target			
		Actual			
9	Number of PMI Sub-Branch				

Developed/prepared by: \_\_\_\_\_ Acknowledged/approved by: \_\_\_\_\_

Semester Report

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**Semester Report**

(Ask a participant to explain about semester report)

(And then ask another participant to explain what are the information that should be in the semester report)

(Ensure that all participants understand the format well)

Palang Merah Indonesia

ANNUAL REPORT OF PMI BRANCH/CHAPTER/  
DIVISION/BUREAU OF PMI HQQ  
YEAR \_\_\_\_\_

**Annual Report**

**1. Report Summary**  
Description of Report Summary

- ✓ Key activities results
- ✓ Total amount of money received and spent
- ✓ Total number of direct beneficiaries and information on geographical area (sub-district/administrative village, village/RW, hamlet/RT, school/institution)
- ✓ Impact of activity implemented on PMI capacity building
- ✓ Recommendation for future work plan

**2. Indicator Tracking Table**

Work Plan Indicators	Quarter I (Jan-Mar 20xx)		Quarter II (Apr-Jun 20xx)		Quarter III (Jul-Sep 20xx)		Quarter IV (Oct-Dec 20xx)		Year 20xx	
	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual
Strategic Objective 1										
Outcome 1.1										
Output 1.1.1										
Outcome 1.2										
Output 1.2.1										
Outcome 1.3										
Output 1.3.1										
Strategic Objective 2										
Outcome 2.1										
Output 2.1.1										

Annual Report

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**Annual Report**

(Ask a participant to explain about annual report)

(And then ask another participant to explain what are the information that should be in the annual report)

(Ensure that all participants understand the format well)

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**Important Message  
on Reporting Session**

A report is an EVIDENCE that you  
are accountable.

You report should be useful for yourself  
before to other people.



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(As a closing statement, read this message).

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## Are the objectives for sub-session 7.4 achieved?



- Explain why you need to report!
- What are the information that should be covered in a project/program progress report?
- Mention the characteristics of a good report!
- What are the information in the **PMI Branch report** to PMI NHQ?
- What is the relation between Indicator Tracking Table (ITT) and project/program progress report?

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(To ensure that the objectives of this session are achieved, ask participants to provide answer to the following questions in this slide).

(Complete participants' answer when necessary).

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## Exercise for report writing

- Revisit your detailed implementation plan. Assume that you have conducted several activities.
- One group will create an activity report.
- One group will create a monthly report.
- One group will create an annual report
- One group will create a semester report



**Time**  
**30 minutes**

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(Write each of these words “activity, monthly, quarterly, semester” in small post-its and flip them over. Ask each group to choose one post-it for their group)

(Based on the ‘word’ they get, ask them to create a report based on PMI Planning and Reporting Guideline. Read the following instructions in the slide)

# Session 8 - Project/Program Transition/Closure

To [Introduction to Planning Session](#) - [Identification Session](#) - [Design Session](#) - [Set Up Session](#) - [Implementation Planning Session](#) - [Implementation Session](#) - [M&E and Reporting Session](#) - [Transition/Closure Session](#)

 <p style="text-align: center;"><b>Session 8</b> <b>Project/Program Transition/Closure</b></p> <div style="border: 1px solid blue; padding: 10px; background-color: #e6f2ff;"> <p style="text-align: center;"><b>Monitoring, Evaluation and Reporting</b></p>  </div> <p style="text-align: right;">347</p>	<p>In this last session, we will discuss about the project/program transition or closure.</p> <p>Just as the definition says, project/annual work plan has its start and end.</p> <p>However, usually an annual work plan will have a transition and will be continued in the next year. A project could also be continuous.</p> <p>Therefore, this phase is also named the <b>end transition</b>.</p>
 <p style="text-align: center;">July 29, 2012</p> <hr/> <p style="text-align: center;">Second chances are given to make things better..</p> <hr/> <p style="text-align: center;">Or end things better.</p> <p style="text-align: right;">349</p>	<p style="background-color: yellow;">(Read the message in this slide).</p>
 <p style="text-align: center;"><b>Verifying Project/Program Deliverables</b></p> <div style="display: flex; align-items: flex-start;">  <div style="margin-left: 20px;"> <ol style="list-style-type: none"> <li>1. Implementing team verifies if <b>all works</b> in the detailed implementation plan <b>have been completed</b>.</li> <li>2. Implementing team <b>meets key stakeholders</b> (donor, community) to: <ul style="list-style-type: none"> <li>- Present <b>achievements/results</b></li> <li>- Ensure they are <b>satisfied</b></li> </ul> </li> </ol> </div> </div> <p style="text-align: right;">350</p> <p style="background-color: red; color: white; padding: 2px;">RB: 216</p>	<p>As a project/program enters the end 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. This usually takes place in a two-step process:</p> <ul style="list-style-type: none"> <li>▪ The project/program implementation team meets to crosscheck work completion plan.</li> <li>▪ Meeting the key stakeholders (donors, community groups) to: <ul style="list-style-type: none"> <li>✓ Review accomplishments against the project plan, and then get their acceptance documented by some kind of formal acknowledgement or acceptance;</li> <li>✓ Make sure they are satisfied, not just with the technical aspects of the project, but also with the overall outcomes.</li> </ul> </li> </ul>

# Closing...

1. **Contract** (*vendor, consultant, etc.*)
2. **Finance** (*ensuring all has been paid and reported*)
3. **Administration** (*related to staff, asset, archives, reports, etc.*)

RB: 217

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## 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?

# Celebrating Project/Program Success

Giving **appreciation**:

- On **the team's hard work**;
- **Stakeholder's** support
- to **individuals** who contributed the most to the project/program success.



RB: 219

352

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.

## Are the objectives of session 8 achieved?



- Explain the 3 main things you need to do during project/program **transition/closure**?

353

**(To ensure that the objectives of this session are achieved, ask participants to provide answer to the following questions in this slide).**

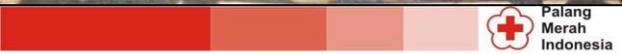
**(Complete participants' answer when necessary).**



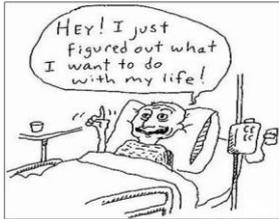
# Review Session

 <p><b>REVIEW</b> <b>SESSION 1 -8</b></p> <p>355</p>	<p>(To refresh participants' recollection, provide the questions in this review session).</p>
 <p><b>Why is PMER important?</b></p> <p>Mention the <b>9</b> causes that make a <b>project/program</b> facing <b>challenges</b> or even <b>fail</b></p> <p>356</p>	<p>(Ask this question).</p> <p>(Complete their answer if needed).</p>
 <p><b>PROFESSIONAL</b> <b>Head of Office/Division</b> Difference Between <u>Boss</u> &amp; <u>Leader</u></p> <p>357</p>	<p>(Read this important message).</p>

 <p><b>Project/Program Cycle</b></p> <p>What are the differences between <b>program</b>, <b>project</b>, <b>activity</b> and <b>task</b>?</p> <p>358</p>	<p>(Ask this question).</p> <p>(Complete their answer if needed).</p>
 <p><b>Project/Program Cycle</b></p> <p>Check <b>your Annual Work Plan</b>, whether it has <b>used</b> the correct terms for <b>Program</b>, <b>Objective</b>, <b>Indicator</b>, <b>Activity</b></p> <p>359</p>	<p>(Read this important message).</p>
 <p><b>Assessment and Identification Phase</b></p> <p>Explain <b>what and for what</b> is the:</p> <ul style="list-style-type: none"> <li><b>SWOT analysis</b></li> <li><b>Stakeholder analysis</b></li> <li><b>Problem Analysis</b></li> <li><b>Objective Analysis</b></li> <li><b>Objective Selection</b></li> </ul> <p>360</p>	<p>(Ask this question).</p> <p>(Complete their answer if needed).</p>

 <p>The purpose of Assessment and Analysis</p> <p><b>PMI Work Plan is based on NEEDS</b></p>	<p><b>(Read this important message).</b></p>
 <p><b>Work Plan/ Proposal Design Phase</b></p> <p>Explain the <b>4 elements of a logframe:</b></p> <ul style="list-style-type: none"> <li><b>Objective</b></li> <li><b>Indicator</b></li> <li><b>Means of verification</b></li> <li><b>Assumption</b></li> </ul> <p style="text-align: right;">362</p>	<p><b>(Ask this question).</b></p> <p><b>(Complete their answer if needed).</b></p>
 <p><b>Development of Work Plan/Proposal</b></p> <p>Explain <b>what is and how to do and the purpose of :</b></p> <ul style="list-style-type: none"> <li><b>Defining Scope</b></li> <li><b>Budgeting</b></li> </ul> <p style="text-align: right;">363</p>	<p><b>(Ask this question).</b></p> <p><b>(Complete their answer if needed).</b></p>

## Development of Work Plan/Proposal



PMI Work Plan is  
**OBJECTIVE-BASED &  
MEASURABLE & RATIONAL**

364

(Read this important message).

## Set Up Phase

Explain the **3 things you need to do** in this phase!  
**What are the purposes and benefits** of the set up phase?

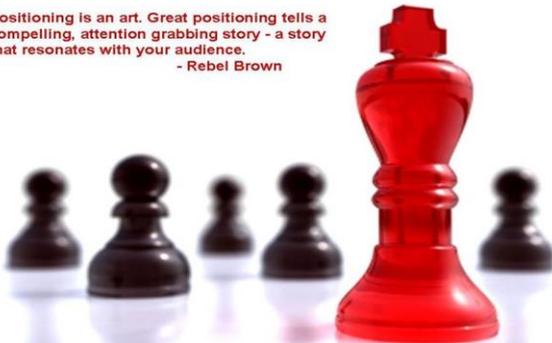
365

(Ask this question).

(Complete their answer if needed).

## Set Up Phase

Positioning is an art. Great positioning tells a compelling, attention grabbing story - a story that resonates with your audience.  
- Rebel Brown



366

(Read this important message).

### Implementation Planning Phase

Explain the differences between **proposal** and **implementation planning!**

Explain **the steps** to develop **detailed implementation plan!**

367

(Read this important message).

### Implementation Planning Phase



Failing to plan  
Planning to fail

368

(Read this important message).

### Implementation Phase

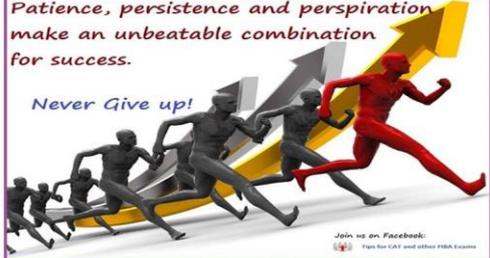
Explain the ways to manage:

- Time/Schedule**
- Human Resources**
- Finance**
- Risks**
- Issues**

369

(Ask this question).

(Complete their answer if needed).

<p style="text-align: right;">  Palang Merah Indonesia </p> <h2 style="text-align: center;">Implementation Phase</h2> <div style="border: 1px solid black; padding: 5px; margin: 10px 0;"> <p><i>Patience, persistence and perspiration make an unbeatable combination for success.</i></p> <p><i>Never Give up!</i></p>  <p style="font-size: small; text-align: right;">Join us on Facebook: <a href="#">Palang Merah Indonesia</a></p> </div> <p style="text-align: center;"> <b>Manager should be able to manage</b>      Schedule, People, Finance, Logistic, Asset, Risk, Issue </p> <p style="text-align: right;">370</p>	<p><b>(Read this important message).</b></p>
<p style="text-align: right;">  Palang Merah Indonesia </p> <h2 style="text-align: center;">Monitoring, Evaluation &amp; Reporting</h2> <p style="text-align: center;">     Explain the differences between  <b>monitoring</b> and <b>evaluation</b>? </p> <p style="text-align: center;">     Explain <b>what is needed to monitor</b>      and <b>what is needed to evaluate</b>? </p> <p style="text-align: right;">371</p>	<p><b>(Ask this question).</b></p> <p><b>(Complete their answer if needed).</b></p>
<p style="text-align: right;">  Palang Merah Indonesia </p> <h2 style="text-align: center;">Monitoring, Evaluation &amp; Reporting</h2> <p style="text-align: center;">     Explain the differences between  <b>Finding</b>  <b>Conclusion</b>  <b>Recommendation</b>  <b>Action Plan</b> </p> <p style="text-align: right;">372</p>	<p><b>(Ask this question).</b></p> <p><b>(Complete their answer if needed).</b></p>

<p style="text-align: right;"> Palang Merah Indonesia</p> <p style="text-align: center;"><b>Monitoring, Evaluation &amp; Reporting</b></p> <p style="text-align: center;"><b>Explain the characteristics of a good report!</b></p> <p style="text-align: center;"><b>Explain what kind of information do you need to report to Head of Office/Board Members!</b></p> <p style="text-align: right;">373</p>	<p><b>(Ask this question).</b></p> <p><b>(Complete their answer if needed).</b></p>
<p style="text-align: right;"> Palang Merah Indonesia</p> <p style="text-align: center;"><b>Monitoring, Evaluation &amp; Reporting</b></p> <p style="text-align: center;"><b>What gets measured usually gets produced</b></p>  <p style="text-align: right;">374</p>	<p><b>(Read this important message).</b></p>
<p style="text-align: right;"> Palang Merah Indonesia</p> <p style="text-align: center;"><b>Monitoring, Evaluation &amp; Reporting</b></p>  <p style="text-align: center;"><b>Do what you said and say what you did</b></p> <p style="text-align: right;">375</p>	<p><b>(Read this important message).</b></p>

Palang Merah Indonesia

## Project/Program Transition/Closure

**What are the things you need to do during project/program transition/closure?**

376

**(Ask this question).**

**(Complete their answer if needed).**

Palang Merah Indonesia

## Project/Program Transition/Closure

**A good start is as important as A good ending**

377

**(Read this important message).**

Palang Merah Indonesia



**PMER is an important element to realize a modern and competitive PMI**

378

**(As a closing statement, read this important message).**

 <p><b>THE MOVEMENT</b>  <b>TOGETHER for HUMANITY</b>  <b>Do More Do Better</b>  <b>Totality without Limit</b></p> <p><b>If you don't change</b>  <b>You'll die</b></p> <p>379</p>	<p>(As a closing statement, read this important message).</p>
 <p><b>PMER</b>  <b>is everybody's business</b></p> <p>PMER is the responsible of every manager</p> <p><b>Thank you</b></p> <p>380</p>	<p>(As a closing statement, read this important message).</p>
 <p>Alternative questions  for daily review  <b>(Not to be displayed)</b></p> <p>381</p>	

 <p>Palang Merah Indonesia</p> <ol style="list-style-type: none"> <li>1. Explain what needs to be done during the identification and design phase!</li> <li>2. What needs to be done during set up phase?</li> <li>3. What are the project/program constraints and how to manage them?</li> <li>4. Explain the difference between project and program!</li> <li>5. Explain the difference between strategic plan and operational plan! How do they relate to each other?</li> <li>6. Explain the steps to do SWOT analysis!</li> <li>7. What are the purposes of stakeholder analysis?</li> <li>8. Explain what needs to be identified during stakeholder analysis!</li> <li>9. Explain the difference between Proposal and Detailed Implementation Plan!</li> <li>10. Explain ways to define scope! Why is this step important?</li> <li>11. Why do you need to sequence project/program activities?</li> <li>12. When estimating duration of implementation, what things do you need to consider?</li> <li>13. Mention ways to manage time/schedule!</li> <li>14. What is the best approach in project/program budgeting?</li> </ol> <p style="text-align: right;">382</p>	
 <p>Palang Merah Indonesia</p> <ol style="list-style-type: none"> <li>1. Explain the steps to manage project/program risk!</li> <li>2. Explain the strategies to manage project/program risk!</li> <li>3. What does a head of office/manager need to do to manage issues?</li> <li>4. Explain the concrete actions to manage human resources/staff?</li> <li>5. What does a head of office/manager need to do to manage finance?</li> <li>6. What does a head of office/manager need to do to manage asset?</li> <li>7. Explain the difference between monitoring and evaluation! (the purpose, timing, criteria, and ways to do it)</li> <li>8. Explain the types of evaluation!</li> </ol> <p style="text-align: right;">383</p>	
 <p>Palang Merah Indonesia</p> <ol style="list-style-type: none"> <li>1. Explain the purpose of PMER Training!</li> <li>2. How is the planning process in PMI (top down and bottom up)? What is the relation between strategic plan and operational plan?</li> <li>3. Explain what are the activities that need to be done during the identification and design phase!</li> <li>4. Explain what needs to be prepared during the set up phase!</li> <li>5. Explain the steps required during the planning phase!</li> <li>6. During the program/project implementation, what needs to be managed by a manager/head of office?</li> <li>7. Explain the difference between monitoring and evaluation!</li> <li>8. What needs to be considered when planning for M&amp;E mechanism/activity?</li> <li>9. Explain how to fill an ITT!</li> <li>10. What do you need to do to develop a good report? What are the contents of a good report?</li> </ol> <p style="text-align: right;">197</p>	

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"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**

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