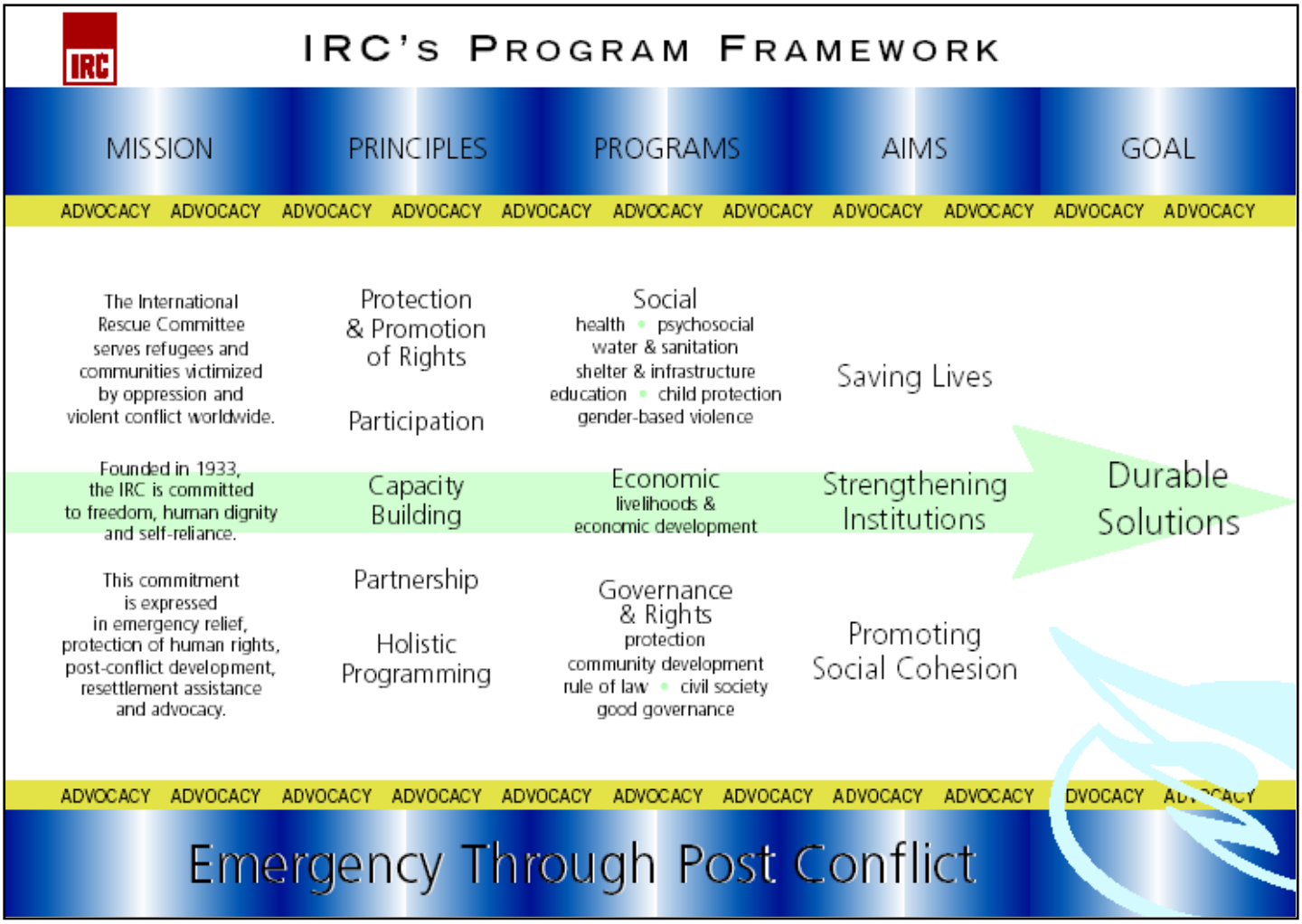
THE INTERNATIONAL RESCUE COMMITTEE

IRC's Guide to Design, Monitoring and Evaluation

November 2005



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INTRODUCTION

Purpose

The purpose of the IRC Guide to Program Design, Monitoring & Evaluation (DM&E) is to establish common terminology and a standardized approach to design, monitoring and evaluation. This will assist IRC staff to:

- Design high quality programs;
- Plan appropriately for monitoring and evaluation;
- Respond effectively to the needs of refugees, IDPs and communities affected by conflict.

This guide is not an attempt to define a new way of doing DM&E. It is based on established best practices developed by IRC staff, colleague agencies, professional and academic institutions and major donors. Rather than choose an existing system used by a major donor, IRC created a clear and simplified approach that best suits its programming needs and broad donor base. The tools and processes outlined in this guide are based on established best practices, and translate easily into other formats. (See appendix 1 for details)

Together with IRC's Program Framework, this guide is the primary reference for project planning at IRC. The approaches, processes and tools described should be applied to all projects. In addition, there are a number of other useful supporting resources such as:

1. **IRC Program Framework Guide** – The Program Framework is a tool developed for IRC staff worldwide. It provides common vision and programming strategy for all IRC country programs.

2. **IRC Technical Units (TU)** – In addition to the technical support provided by the technical units, there are a number of IRC resource guides on specific sectoral strategies, technical assessment tools and best practices.

3. **SPHERE Standards and MSEE** – The SPHERE Minimum Standards in Disaster Response (SPHERE) and the Minimum Standards for Education in Emergencies (MSEE) are installed in all IRC computers and laptops and all staff are responsible for upholding SPHERE and the MSEE. You can get more information on SPHERE from your technical unit or at www.sphereproject.org. MSEE deal with education in emergencies, chronic crises and early reconstruction and can be found at www.ineesite.org/standards.

4. **Fundamentals of Project Planning (FPP) Resource CD-ROM** – This CD-ROM contains the Facilitator's Guide and detailed course content for

the Fundamentals of Project Planning five-day workshop as well as other resources and tools.

How This Guide is Organized

The guide is divided into five chapters that walk you through the entire project planning process, from the initial needs and resource assessment through to writing the proposal. It is organized as follows:

- **Chapter 1** introduces the IRC program design process and provides an overview of the key concepts in DM&E.

- **Chapter 2** provides an overview of the first step in program design– conducting a needs and resource assessment.

- **Chapter 3** walks you through the process of using the lRC log frame to develop a coherent project strategy. This chapter contains several useful checklists and worksheets to help you assess your progress along the way.

- **Chapter 4** explains how to use the IRC log frame to plan for monitoring and evaluation.

- **Chapter 5** prepares you for the final step in project planning and design, writing the proposal.

- **Annexes** – There are a number of useful worksheets, tools and references contained in the annexes at the back of this guide.

How to Use the Guide

This guidebook was written as a toolkit for all IRC staff involved in programming. It can be used in the following ways:

- ***Self-study***: This guide is designed to be a stand-alone, self-study course for individual or small "self-study" work groups. You can read through the guide from beginning to end, review the examples and use the tools provided.

- ***Supplement to training***: You can use this guide as an effective supplement to a DM&E training or IRC's Fundamentals of Project Planning workshop.

- ***Reference guide***: This guide can also be used as a reference for specific topics in the future. The ***Table of Contents*** has been designed to provide as much information as possible to the user.

These icons will help you navigate the guide more quickly:

 **KEY DEFINTIONS:** indicates a key definition or an important term.

 **ESSENTIAL POINT:** indicates a key point.

 **LOOK OUT:** indicates a common pitfall or area that requires extra attention.

 **TIPS:** indicates helpful tips and best practices.

 **TOOL:** indicates a tool or worksheet available to you.

General Study and Preparation Tips

The following tips will help you to maximize the benefits of this guide:

- Read through the entire guide first, before attempting to apply the tools and skills in specific sections or chapters.

- Whether or not you are already experienced in design, monitoring and evaluation, be prepared to approach the topic with a new and fresh perspective. Erase from your vocabulary negative and unproductive thoughts like, "*but that's not how we used to do it*," "*we've always done it this way*," "*that will never work here*." You can always learn from the experience of other people and places, and ***adopt*** or ***adapt*** their ideas to your own situation. The methods, concepts and tools described in this guide can serve as a complement to your existing experience.

- Consider yourself to be an ***active reader***. Take notes, make comments in the text, and draft ideas as well as possible applications for your project. Share or write down questions and ideas you might have as you go through the guide.

- It is important to remember that DM&E is a vast topic. There is a lot of information outside of this guide that you may want to access. Be prepared to consult additional books, articles and web sites to gather more information. Additional resources and references can be found in the Fundamentals of Project Planning resource CD-ROM that comes with this guide.

CHAPTER 1
FUNDAMENTALS OF DESIGN, MONITORING & EVALUATION

Elements of DM&E

Sound design, monitoring and evaluation (DM&E) enables IRC to:

- Respond effectively to the needs of refugees, IDPs and conflict-affected communities;
- Measure and document project achievements;
- Capitalize on lessons learned to improve project quality and organizational learning;
- Communicate clearly to partners and key stakeholders (refugees, IDPs, conflict-affected communities, donors, other NGOs, local government, etc.) about project achievements and progress.

At the core of IRC's approach to DM&E are two tools: the IRC log frame; and IRC's Program Framework. The IRC log frame encourages clear and disciplined thinking about what the project will achieve and outlines the necessary steps to get there. IRC's Program Framework is intended to help IRC staff think strategically and structure interventions that contribute to durable solutions.

Design

The "D" refers to design, which is defined as follows:

KEY DEFINITION: **Design** refers to developing a project strategy and planning for monitoring and evaluation using a log frame. This involves thinking logically about the project and what it seeks to accomplish. Good design is always informed by a thorough needs and resource assessment.

Successful project design involves three key elements:

- Using sound logic to map out an effective strategy;
- Ensuring the selected strategy is relevant to the target population;
- Planning for monitoring and evaluation at the design stage.

Monitoring and Evaluation

The "M" and the "E" stand for monitoring and evaluation respectively. Commonly referred to collectively as M&E, they are in fact two separate activities.

KEY DEFINITION: **Monitoring** of project performance is an ongoing function that involves data collection and analysis throughout the life of a project. Information and learning gleaned from monitoring activities are used to make adjustments during the life cycle of the project.

Evaluation is a one-time (as opposed to ongoing) function that reports on progress of actual versus expected results. Information and learning from evaluation are used to inform future projects and organizational learning.

The table below provides an overview of different types of monitoring and evaluation activities. The shaded areas are those relevant to project M&E.

Types of Monitoring and Evaluation Activities

M&E Activity	Definition	Examples	Responsibility
Institutional Monitoring	To asses management, communications, human resources or policy implementation	Monitoring implementation of Code of Conduct and Mandatory Reporting Policies (MRPs) Monitoring institutionalization of the Program Framework Monitoring communication between HQ and field leads to a coordinated response	This is a joint responsibility shared between headquarters and the field.
Input Monitoring	To check that resources are mobilized as planned	Vehicles purchased, materials purchased and stored properly	This is a joint responsibility shared between program and support staff in the field and at headquarters.
Financial Monitoring	To check whether funds are used efficiently and as planned	Monitoring and verifying monthly BVA (budget versus actual report) internal audit	This is a joint responsibility shared between program and support staff.
Activity Monitoring	To check that project activities are carried out as planned	Verifying all planned activities carried out as per work plan	Project Manager or Coordinator is responsible, (often delegated to mid-level project staff)
Output Monitoring	To check that goods and services produced by project are of quality, quantity and timeliness specified in the log frame and work plan	Monitoring that participants in a training course have gained necessary knowledge through pre- and post-training tests Ensuring appropriate number of latrines constructed as per specifications and within SPHERE standards	Project Manager or Coordinator
Effect Monitoring	To determine whether intended changes in behavior are occurring	Observing/recording number of people/latrine Observing number of teachers trained by IRC who are implementing new (for example, child-centered) curriculum	M&E staff or focal point in partnership with Project Manager or Coordinator
Project Evaluation	To determine if project objectives are met and gather lessons learned	End of program evaluation Mid-term review	This is a joint responsibility shared between project staff in the field and TUs.
Impact Evaluation	To evaluate impact by incorporating into project design rigorous data collection and analysis necessary to make conclusions about attribution with confidence	Impact Evaluation	Evaluation and Research staff.

Activity monitoring is carried out using a work plan. See annex 2 for a sample work plan. An excel spreadsheet with a blank work plan template can be found on the FPP CD-ROM.

Output monitoring is the primary responsibility of the project manager or coordinator. 'Outputs' are covered in chapter three. The basics of planning for project monitoring and evaluation are covered in chapter four. Information on developing an M&E plan can be found in annex. 3.

Effect monitoring is the primary responsibility of the project manager or coordinator in partnership with the M&E staff or focal point. This kind of monitoring is done less frequently, but is very important to gauge whether a project has its intended effects. If your country program does not have the resources to do the related data collection, consult the Evaluation and Research staff at IRC headquarters for assistance.

To commission a **project evaluation**, the Deputy Director of Programming or Program Coordinator should create terms of reference for the external evaluator that includes the scope of work for the evaluation. See annex 4 for details and example of evaluators' terms of reference and scope of work.

IRC's Minimum Requirements for DM&E

1. Every IRC project must be informed by a needs and resource assessment. Participatory methodologies should be used whenever possible during the assessment phase. Consult your technical unit for assistance with assessment tools, sampling, surveys and appropriate methodologies for different sectors.
2. All IRC projects must be designed using a log frame.
3. Consult your technical unit on choice of indicators and MOV (means of verification).
4. All IRC projects must collect baseline data. Consult your technical units for assistance with baseline data collection.
5. All IRC projects should contribute to one or more of IRC's aims and goals as outlined in the Program Framework. Project design should reflect IRC's five principles (protection, participation, capacity building, partnership and holistic programming). Consult the IRC Program Framework Guide.
6. All IRC projects should adhere to the minimum standards outlined in SPHERE and MSEE.
7. All IRC proposals should contain the following: narrative as outlined in the proposal development guidelines (or donor specific format), log frame, initial work plan, M&E plan, budget and budget narrative.
8. All IRC proposals must be reviewed as per proposal review guidelines. Consult annex 5 to be sure to allow sufficient time for review of proposal by IRC staff in NY or London offices as appropriate.

The 9 Steps of IRC Program Planning

Major Steps		**Key Concepts**	**Tools & Resources** (can be referenced in this guide, FPP CD-ROM, or from your TU)	**Consult TU?**
☞ Step 1: Conduct a needs and resource assessment.	Chapter 2	Quantitative assessment Qualitative assessment Participatory methodologies	Consultation of secondary sources, Quantitative Surveys, Stakeholder Analysis, Matrix Ranking, Walkabout, Key Informant Interview, Problem Tree, Participatory Mapping, Pair-Wise Ranking, Focus Group Discussion, Time Line, Venn Diagram	Yes
☞ Step 2: Complete the first draft of the project strategy.	Chapter 3	Causal Relationship Goal, Objective, Effects, Outputs, Major Activities, Major Inputs	IRC Program Framework IRC Program Strategies IRC Logistics Tool – Major Inputs	No
☞ Step 3: Test logic of project strategy.	Chapter 3	Causal Relationship Goal, Objective, Effects, Outputs, Major Activities, Major Inputs	Logic checklist	No
☞ Step 4: Identify critical assumptions.	Chapter 3	Critical Assumptions "If Then" Logic	Refer to previous proposals	No
☞ Step 5: Assess critical assumptions.	Chapter 3	Critical Assumptions "If Then" Logic	Critical assumption checklist	No
☞ Step 6: Revise the project strategy statements.	Chapter 3	SMART criteria Program Framework Principles SPHERE & INEE Standards	SMART criteria worksheet Program Framework SPHERE and MSEE	Yes
☞ Step 7: Select indicators and means of verification.	Chapter 4	Indicators, Means of Verification, Proxy Indicators, Targets, Milestones, Benchmarks	Indicator Summary Table: Definitions & Formats IRC technical units SPHERE and MSEE	Yes
☞ Step 8: Assess indicators and means of verification.	Chapter 4	Indicator Characteristics (Valid; Ethical; Useful; Reliable; Practical)	Indicator Summary Table: Definitions & Formats IRC technical units SPHERE and MSEE	Yes
☞ Step 9: Write the proposal.	Chapter 5		IRC Proposal Development Guidelines Donor Guidelines IRC Finance Manual/IRC Budget Template IRC Logistics Manual/IRC Logistics Tool IRC Work Plan Template Annexes in this guide	Submit to TU and HQ for review as per guidelines in IRC Field Operations Manual

CHAPTER 2
NEEDS & RESOURCE ASSESSMENT

Before formulating a strategy, you should conduct a **needs and resource assessment**.

☞ Step 1: Conduct a needs and resource assessment.

The purpose of a needs and resource assessment is to gather relevant data on the: 1) scale and scope of the problem; 2) the relevant and perceived needs created by the problem; and 3) local solutions and resources available to address the problem.

It is important to collect enough information to fully understand the situation. This involves answering questions such as:

- What is the present situation of the community? What are the main issues facing the community?
- What are the root (underlying) causes of the problem? How can the project address, directly or indirectly, the root causes of the problem? What needs to be done so that, at a minimum, the planned intervention is not exacerbating the root causes of the problem?
- What do community members feel are the main problems to be addressed? What are their priorities? What are their concerns? What do they think to be the most viable solutions? How do the proposed solutions fit into IRC's Program Framework?
- Who are the stakeholders involved with this community and what are their plans and goals (donors, other international NGOs, local NGOs, local authorities, host government, civil society organizations, private enterprise)?
- What local resources are available? What local services (government, NGO, private sector) are in place?
- What other sources of external data are available (published articles and statistics, government records, lessons learned papers, evaluations, working papers, reports from other projects)? Do they contain any information relative to the problem the project will address?

Project design should always be informed by <u>both</u> facts about basic needs and the community's perspective.

Facts about basic needs are determined by **quantitative assessments**. Quantitative assessments tell you "how many" or "how much". They describe what is available and what is not. Quantitative assessments involve "counting" and their results are expressed in numbers (e.g., 700 families live more than 5 km from the nearest water point), or as a percentage (e.g., 50% of school-aged children are not enrolled in school). In quantitative assessments, data refers to what you measure or count.

Qualitative assessments provide information about the community's perspective. Whereas a quantitative assessment seeks only to identify what is available and what is not, a qualitative assessment seeks to:

- Understand people's perspectives, hopes and concerns;
- Learn more about individuals and groups who have different and sometimes conflicting priorities.

In qualitative assessments, data refers to what the respondents think. Qualitative assessments are tools that gain insight into people's needs, their values, and the problems they face. This can provide information that guides project implementation. This is critical because IRC seeks to address problems that are important to people and propose sustainable and successful strategies.

LOOK OUT: There is a tendency to think that quantitative assessments are "better" than qualitative assessments because they are more 'objective.' But it is a mistake to think that just one type of assessment will give you all the information you need. Project design should always be informed by both facts about basic need (quantitative) and the community's perspective (qualitative). Both quantitative and qualitative assessments are necessary to give you a comprehensive understanding of the situation. Use participatory methodologies whenever possible.

For example, a quantitative assessment may tell you that only 30% of parents are currently sending their daughters to school. While it is very important to have those numbers, the numbers alone fail to tell you anything about why 70% of parents are not sending their daughters to school. You need to know what enrollment figures are, but you also need to know the reasons why parents are not sending their girls to schools. This means engaging in a dialogue with the community.

You should always consult with your technical unit before conducting any quantitative assessment or baseline survey, such as a mortality survey or a large-scale household survey.

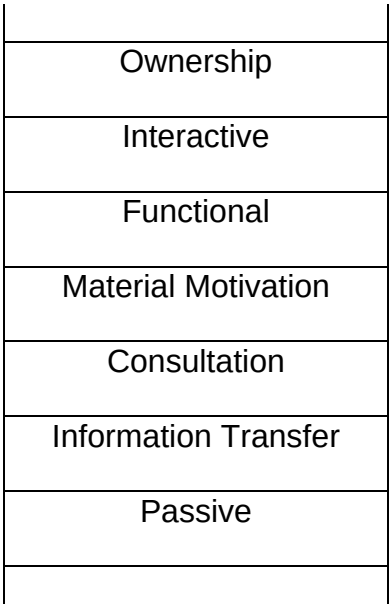
Participatory methodologies are important in both qualitative and quantitative assessments. Participation refers to the involvement of key stakeholders and is crucial in all phases of the project cycle– from assessment to design, implementation, monitoring and evaluation. Stakeholders can include the

individuals and communities who are involved in the programs, local CBOs (community based organizations), NGOs, as well as community leaders, local authorities, etc.

The people and communities IRC works with should be involved not only in identifying needs, but also in determining how those needs are prioritized and met. In this manner, communities can begin to take charge of their own lives and livelihoods. Ultimately, participation means IRC does not own the programs– they belong to the people, groups, communities, and institutions IRC serves.

The ladder of participation below is helpful in thinking about how different degrees of participation apply to the specific context in which you work. The different steps of the ladder include:

The Ladder of Participation



- Passive: IRC just does it. The community is informed but not heard.

- Information Transfer: IRC gets information from the community using quantitative assessments.

- Consultation: IRC uses qualitative methods to understand the community's opinions, feelings, beliefs and perspectives. However, the community is not involved in the decision-making process.

- Material Motivation: Community is involved in exchange for money or payment in-kind.

- Functional: Community has an active role to play in a particular activity only (e.g., the community builds a well, community provides sand for construction, etc.).

- Interactive: Community is involved in decision-making, from the assessment phase through to monitoring and evaluation.

- Ownership: Community controls the decision-making. IRC facilitates and supports their ability to do their programs through technical support and ensures accountability.

LOOK OUT: **Material motivation can have negative consequences!**
Material motivation is not "better" because it is "higher up" on the ladder than consultation, information transfer or passive participation. Material motivation is placed in the middle of the ladder because it is a common practice. But if it is not used under the appropriate conditions, it can cause harm.

Soliciting participation through payment or in-kind exchanges can have a negative effect on the long-term sustainability of the project. Are people participating because they care about the project and the benefits to the community, or are they motivated solely by the material exchange?

Material motivation can sometimes create dependency. For example, if a project offers cash incentives to community members for digging latrines at the beginning of a project, communities might begin to think that environmental health issues in their community, i.e. digging latrines, is the responsibility of IRC and not a community responsibility. This could lead to their refusal to participate in a project unless they are provided a cash or in-kind incentive. This can be a hindrance to developing an effective partnership between IRC and the community, and destroy any possibility of long-term sustainability, and ultimately be harmful to the long-term development of the community.

There are a number of participatory assessment tools to choose from:

Stakeholder Analysis	Participatory Mapping
Matrix Ranking	Pair-Wise Ranking
Walkabout	Venn Diagram
Key Informant Interviews	Focus Group Discussions
Problem Trees	Time Lines

For more information on these specific tools see the Fundamentals of Project Planning resource CD-ROM (See box on page 16).

LOOK OUT: It is a common error to think that quantitative assessments cannot be participatory. Ways of soliciting participation in quantitative assessments can include: involvement in the design of the survey or assessment

tool; involvement in the decisions about the topics covered in the assessment; involvement in the decisions about the geographical coverage of the assessment; involvement in the actual data collection and/or analysis.

TOOLS for increasing participation in IRC programs

Detailed coverage of conducting participatory needs and resource assessments is outside the scope of this guide. There is a wealth of published material that can be accessed on the Fundamentals of Program Planning Resource CD-ROM covering participatory tools and methodologies such as:

IRC Program Framework Guide: Theory and Application – This resource gives an overview of how IRC defines participation.

ALNAP Practitioners' Guide to Participation – This guide gives an overview of participation, including an explanation of the "ladder of participation." It also contains practical tools to increase the level of participation in your project.

Fundamentals of Project Planning Facilitators' Guide – Module four of this guide covers the principles of qualitative methods – including eight essential qualitative interview techniques to use in dialoguing with community members.

Rapid Appraisal Techniques: Addressing Perceived Needs of Refugees and IDPs through Participatory Learning and Action – This resource will walk you through how to use participatory tools to improve program quality. Many of the participatory tools covered in this guide are also covered in the ALNAP Practitioner's Guide

Training in Qualitative Research Methods for PVOs and NGOs – This training guide is a companion guide to the Rapid Appraisal Techniques. It provides detailed instructions on how to conduct a 12-day training for staff on the following tools: principles of qualitative methods, timeline, walkabout, free listing technique, Venn diagrams, pile sorting, community mapping, matrix ranking, and key informant interviews.

DFID Tools for Development – Chapter two of this useful resource covers stakeholder analysis. Chapter three covers problem and situation analysis, including problem trees. Chapter seven provides an overview of participatory methodologies in general.

LOOK OUT: Failure to focus on existing community resources at the assessment phase can doom the project to failure!

First, if you focus only on needs and not on resources during the assessment, you risk receiving from the community a shopping list of needs with no input from them on how to address those needs.

Second, if you fail to take into account local resources, you risk recreating the wheel, duplicating efforts of others, and undermining local structures and resources by replacing them with goods and services provided externally.

Focusing on resources during the assessment phase is critical in soliciting participation from local people in crafting solutions to the problems they face.

Guiding Principles for Needs and Resource Assessments

Conducting a needs and resource assessment (Step 1) has three basic stages.

Stage 1: Learning about the situation

This involves identifying and talking with the stakeholders to learn more about the overall situation. Stakeholders to include are the conflict-affected community, IRC, other NGOs, donors, government, and private businesses, or anyone who has a stake or interest in either the affected community or in the problem to be addressed. Informally interview at least one representative of each group of stakeholders and ask their perceptions of problems. Ask about their perceptions of the problem, goals and plans to work in this area. Ask them to identify other "stakeholders" and then go and talk to these other sources.

Information gathering at this stage should also include collecting and reading available materials on the affected community or the problem to be addressed.

ESSENTIAL POINT: **It is critical to understand the perspective of the local population.**

Consider the following. A health team conducted blood tests in a rural district and determined that malaria was a major problem. They created a program to prevent malaria through the distribution of treated bed nets. The field staff appropriately instructed the local population to sleep under the bed nets to prevent malaria. The team returned after 6 months to repeat the blood tests and found that malaria rates had decreased significantly.

The team returned again after twelve months to repeat the blood tests, expecting malaria rates to be even lower. However, to their dismay, they found that the malaria rates had returned to previous levels. They also discovered that the population had discarded the treated bed nets. What do you think happened?

The health team did not understand why the community had stopped using the bed nets. Everything had seemed to be going well only six months ago. They asked the community members why they stopped using the bed nets. The community members told them that the bed nets were useless. "They do not help us at all with "fever" and "sickness" they said.

This is where the health team began to understand the problem. The health team understood the problem as "malaria." But the local community saw the problem as "fever" and "sickness." They had no scientific understanding of malaria or how it was transmitted. There was not even a local word for malaria.

So of course the local people were upset when the treated bed nets did not get rid of all the incidents of fever and sickness (i.e. fever/sickness not transmitted by mosquitoes) and finally discarded them as useless.

Because the health team's understanding of the problem (malaria) was different from the way the community understood the problem (fever and sickness), the community ultimately rejected the solution offered by the health team.

Stage 2: Identifying the problem IRC will work with the community to address

The next step is to identify the problem, or aspect of the problem, that IRC will address. Although this may at first appear to be a very obvious decision, it involves considering the Program Framework, consulting the donor and most importantly talking with refugees, IDPs and conflict-affected communities.

In any given community there are often several problems that need to be addressed. Consider the following: a needs assessment carried out by IRC signals that the community's number one priority is the lack of security due to bandits. The community's number two priority turns out to be the lack of a good road leading to the village. The community's number three priority turns out to be the lack of clean drinking water, followed by lack of health clinics/doctors, etc.

IRC cannot always work on a community's top priority (in this example lack of security). A selected project must be consistent with IRC's technical capacity, resources and mandate. The problem it addresses can be the community's third or seventh priority, as long as a significant number of people see it as a problem, agree to pursue its resolution and take ownership of the implementation of sustainable programs.

↯ LOOK OUT: Avoid these common mistakes in participatory assessments!

Common mistakes include:

1. Soliciting the opinion of only the village elders, or only one ethnic group or one age group;

2. Including only the people who are most accessible (often the people near the center of the town or settlement and not those on the periphery who may have different needs);

3. Overlooking the perspective of women, or other marginalized or particularly vulnerable populations;

Remember that the purpose of a participatory assessment is to get the perspective of the community. In any given community there is usually more than one perspective– especially in communities or populations affected by conflict. Choose a broad spectrum of people who represent different groups within the community (e.g., gender, age, ethnic group, geographical location, religion, etc.).

TIPS: How do you mainstream protection into assessments[1]?

Understanding violations, threats and perpetrators, and its impact on people and communities: In the context of your assessment, it is important to recognize the nature and scope of threats or violations occurring in the areas with which you are concerned.

Who are most vulnerable to these threats?
Are there any factors (spatial, physical, social, etc.) that render people more at risk?
Who is responsible for the violations and current threats?
What authority do they have and what resources are they using?
Understand how, when and where they are committing such abuses?
Why are they pursuing these violations or threats?
What are the consequences of these violations and threats?
Are there secondary or long-term effects that need to be considered?

Mapping existing community protection strategies: It is important to understand the coping mechanisms and self-protection capabilities of protected persons and how they might best be supported and developed.

What are people doing to avoid threats?
How are they changing their behavior to reduce vulnerability to threats?
What impact do these changes have on their lives?
To what extent are people being forced to accommodate these threats and violations (e.g., illegal taxation)?
What are communities doing to confront these threats and violations?

[1] Based on "Protection: An ALNAP guide for humanitarian agencies," Hugo Slim and Andrew Bonwick, Action Learning Network for Accountability and Performance in Humanitarian Action, 2005 (www.alnap.org).

Identifying relevant legal standards and responsibility: Develop a general understanding of which standards of national and international laws and policies are relevant to the threats and violations you are documenting in the assessment[2]. Clarify which authorities have primary responsibility for stopping perpetrators and which have the responsibility of dealing with the consequences of those violations. Identify which agencies are mandated to respond to such problems as well as clarify what are IRC's responsibilities in regards to the specific violations.

Mapping political commitment to protection: Gauge the realistic capacity and willingness of political and military actors to provide sufficient and appropriate response. When examining the resources component of the assessment, it is important to understand if relevant authorities have the capacity (e.g. knowledge, understanding, etc.) to prevent or respond to violations and threats as well as the willingness to act.

Stage 3: Learning more about the problem

Once you have identified the problem or aspect of the problem the project will address, the next step is to learn more about it using both quantitative and qualitative methods.

Bringing information together from a variety of sources is a good way to confirm or validate your data. This process is called ***triangulation***. If data gathered through your interview process yields similar feedback as data gathered through a walkabout exercise through the village, or through a participatory mapping exercise, then you can have more confidence in the results. If the data you gather through one method is very different than data gathered through another, then you should analyze your results with caution and try to deepen your understanding of the situation.

LOOK OUT: Keep in mind the following ethical considerations when conducting needs and resource assessments:

It is important to explain to affected populations the purpose of the needs and resource assessment and how the information they are providing will be used. Failure to do so can raise unrealistic expectations that all of the "needs" expressed by the community members will be met by IRC.

In some cases, it is important to keep a very low profile while conducting the needs and resource assessment, particularly when dealing with sensitive information such as gender-based violence, protection and human rights issues, or treatment of unaccompanied minors.

[2] While a thorough understanding of human rights law, IHL and domestic laws and policies are pivotal toward effective program design; this task is the responsibility of a human rights, protection or legal specialist. What is of importance for general IRC staff is to understand that there are laws and policies that could impact programs. For example, in Darfur, Sudan, it was essential that health staff understood and shared the fact that there was a policy impeding women from medical attention for rape unless accompanied by a police report.

Always consult the technical units for guidance before undertaking an assessment.

This chapter provides a general overview of the needs and resource assessments as the starting point of the project planning process.

The next chapter deals with using the information from these assessments and working with a log frame to design projects.

CHAPTER 3
ELEMENTS OF PROJECT DESIGN

The IRC Log Frame

After you have conducted the needs and resource assessments, you are ready to begin using the IRC logical framework, or log frame. A log frame is a table, or matrix that summarizes the key elements of a project strategy and the logic that connects them.

The IRC log frame was designed to meet IRC's needs, specifically IRC's broad range of programming and diverse donor base. Recognizing that different donors have their own requirements (many donors have their own log frame formats), the IRC log frame was designed to translate easily to other log frames.

The logic and critical thinking needed to work successfully with the IRC log frame are the same logic and critical thinking you apply to the DFID log frame, the ECHO log frame, the USAID results framework and many others. To see how the IRC log frame compares to other models, see annex 1.

Why Use a Log Frame?

Using a log frame to design a project:

- Encourages clear and disciplined thinking about what the project will achieve and **outlines the logical steps** necessary to get there;
- Makes clear the data that will need to be collected to monitor and evaluate the project;
- Makes explicit the conditions (**assumptions**) outside the control or influence of the project that are critical for the project to succeed;
- Serves as a handy **communication tool** that succinctly captures the key elements of a strategy so it is easy to convey this information to staff, donors and partners.

LOOK OUT: Log frame review and revision is critical.

Do not fall into the trap of thinking of a project log frame as a static document. A log frame is not set in stone. Review and revision of the log frame is critical. Throughout the life of the project the log frame should be periodically reviewed and updated as conditions change. Failure to review the situation and revise as necessary can lead to overly rigid and bureaucratic use of the log frame that can disconnect the project from the realities in the field.

Beginning in 2006, the IRC requires all projects to be designed using a log frame.

The table below gives an overview of the IRC log frame. The IRC log frame is a matrix with four columns and five rows that summarizes:

- Project strategy;
- Performance questions and indicators used to monitor progress;
- Where to find the data used to monitor the indicators;
- Critical assumptions necessary for project success.

The IRC Log Frame

Project Strategy	Indicators	Means of Verification	Critical Assumptions
Goal – The overall purpose towards which the project contributes, but alone cannot achieve. Other factors and projects also contribute. This statement should articulate the durable solution to which the project is contributing.	None	None	None
Objective – The part of the goal that the project will achieve.	Impact indicators	Method of data collection	Assumptions in moving from objective to goal
Effects – Changes in behavior of the conflict-affected population.	Effect indicators	Method of data collection	Assumptions in moving from effects to objective
Outputs – The goods and services produced directly and immediately by the project. Can include changes in people's knowledge or attitude.	Output indicators	Method of data collection	Assumptions in moving from outputs to effects and/or in moving from major activities to outputs.
Major Activities – Major tasks carried out by project personnel.	Note: the **Major Inputs** go here, not indicators. Major inputs are the major resources needed to carry out the activities.	None	

Each row, or level, represents an important element of the program strategy. These levels are linked to each other in a **causal relationship**.

KEY DEFINITION: A **causal relationship** means X causes Y to occur. This means that the achievement of X is necessary for, and contributes to the achievement of Y. If X occurs at the same time as Y, or if X is a sub-category of Y, then it is not a causal relationship.

Good example of causal relationship
There is a causal relationship between polio vaccination rates and number of new cases of polio. Higher vaccination rates cause a reduction in the number of new cases of polio.

Poor example of a causal relationship
There is no causal relationship between the number of professional development opportunities for health care providers and the number of new cases of polio. Increasing the number of professional development opportunities for health care providers to upgrade their skills may cause positive change within the health care system, but will not cause a reduction in the number of new polio cases.

LOOK OUT: The strength of the causal relationship is not always the same at all levels in the log frame. It is more difficult to "prove" the causal nature of the relationship between the higher levels (i.e. objective and effects) of the log frame.

Activities & Outputs:
You should be certain that the major activities will produce the desired outputs. This is because the major activities are carried out directly by the project. Outputs are the direct and immediate result of the activities, and can be observed and measured relatively easily. A change in knowledge or attitudes, for example, can often be the direct and immediate result from a training workshop or an information campaign.

Outputs & Effects:
There is less certainty that the outputs will result in the desired effects. This is because effects involve the population's behavior, which is not something IRC can control. Many factors other than the project can contribute to a change, or a lack of change, in the behavior of the population.

Effects & the Objective (Impact):
There is less certainty that the effects will result in achieving the desired objective. The objective refers to the specific impact of the project. Impact is often difficult to measure and many factors can influence change at this level.

The causal relationship in the log frame is summarized as follows:

- The major inputs are necessary to carry out the major activities.
- There is a high degree of certainty that the major activities will cause, or lead to the outputs.
- There is an assumption that the outputs will cause, influence or contribute to the desired effects (change of behavior). Other factors outside the project also contribute.
- There is an assumption that the effects will cause, influence or contribute to achieving the desired objective. Other factors outside the project can also contribute.
- There is an assumption that realizing the objective will contribute towards achieving the overall goal. Other factors outside the project also contribute.

What Does This Mean for IRC Project Staff in the Field?

Producing high quality outputs is the primary responsibility of project managers and coordinators. Project teams rely on support staff to assist them to plan effectively. This requires consultation with logistics, administration, human resources and finance support staff early in the design stage to ensure that the major inputs necessary for the activities are available on time and in sufficient quantity.

This means that:

- Project design teams should always consult support staff (logistics, finance, human resources and administration) early in the project planning process to ensure that all the resources necessary to carry out the activities are included in the planning process.

- Project and support staff must work together to ensure adequate planning is done for major inputs.

- Support staff is responsible for ensuring that the major inputs contained in the log frame/proposal are available on time and in sufficient quantity and quality.

- Project staff is responsible for ensuring that the activities are carried out in a manner that yields high quality outputs.

TIPS: The rest of this guide will walk you through the nine steps of project design as outlined in the table on page 11. Think of the levels of the log frame as pieces of a jigsaw puzzle that come together to form a coherent project strategy.

It is recommended that you follow these nine steps in the order outlined in this guide. In addition, consider these helpful tips:

1. Do not attempt to develop a project strategy in a vacuum. Gather information, conduct relevant assessments and talk to people about the situation and potential solutions. Involve your IRC team (project and operations staff, related technical unit staff), partners, community members and other stakeholders.

2. Develop your draft strategy before you select indicators. Indicators measure progress towards achieving the strategy. It does not make sense to select indicators before a strategy has been developed.

3. Work "top down" in developing the project strategy. That means you should begin with the goal and work downwards towards the major activities and major inputs. This is called goal-oriented planning. It encourages you to think critically about what you ultimately want to achieve and the steps needed to achieve it.

☞Step 2: Complete the first draft of the project strategy column.

When working with a log frame you always begin with the project strategy column and work in a "top-down" manner. This means you start at the top with the "goal" and work your way down the column.

Goal

When you plan a trip, you almost always decide where you want to go before you decide how you are going to get there. Likewise, when using the log frame, the first thing you decide is what the project should ultimately achieve. This is the goal. It is something to which the project strives to contribute, but cannot achieve alone because other factors, actors and activities outside of the project will be necessary.

For example, if, together with the community, you identify diarrheal disease as a problem, you then decide to design an environmental health project. You might decide the overall goal is to improve quality of life by reducing mortality and morbidity in the population.

How do you know if this is an appropriate **goal** statement? You can ask if the project alone will able to bring about this goal. If the answer is no, that other projects and other factors are needed, then this is an appropriate goal. If the answer is yes, then this is too narrow to be a goal. For example, is an environmental health project alone responsible for improving the quality of life by reducing morbidity and mortality in the population? The answer is no, because there are other factors outside of environmental health, such as nutrition/food, security, malaria, TB, as well as availability and quality of primary health care, that can improve quality of life by reducing mortality and morbidity.

An environmental health project could make a significant contribution towards reducing overall mortality and morbidity, but other factors and other projects will also contribute to reduced mortality and morbidity. Reducing mortality and morbidity in the population fits the definition of the goal.

Objective

If the goal is to reduce mortality and morbidity, how do you determine what the objective should be? The objective is that part of the goal that the project can achieve. This is the highest aim the project strives to achieve during its period of operation.

Continuing with the environmental health example, what is the objective? Assume the project will involve providing safe water and latrines. Why do you want the project to provide safe water and latrines? To decrease morbidity and mortality resulting from diarrheal disease. This is an example of causal logic: proving safe water and latrines will cause a reduction in morbidity and mortality. You could select: reduction in mortality and morbidity resulting from diarrheal disease as your objective. Your project strategy would begin to look like this:

Goal: Improved quality of life through reduction in mortality and morbidity in population

Objective: Reduction in mortality and morbidity resulting from diarrheal disease

TIPS: How do you determine the objective?

Sometimes it can be difficult to think beyond 'project activities.' Here is one method that can be helpful in thinking about goals and objectives. Consider the project activities, such as "training teachers and constructing classrooms" or "working with local councils to rebuild water points and markets destroyed in the conflict." Whatever comes to mind for your particular project, ask yourself "why is that important?" And whatever answer you come up with, ask yourself again, "why is that important?" Keep asking "why is that important," and you will begin to articulate your responses in goals and objectives that reach beyond activities. Consider the following example.

Ask: What is this project about?
Digging wells and latrines.

Ask: Why?
So people have safe water to drink and latrines to use.

Ask: Why?
So they don't get sick from diarrheal diseases.

Ask: Why?
To improve the quality of life by reducing excess mortality and morbidity.

Ask: Why?
This is the point of the project. It is the goal.

The selected objective should:

- Be the highest aim towards which the project strives;
- Contribute towards achieving the overall goal;
- Be manageable within the project;
- Contribute to at least one or more of IRC's aims as stated in the Program Framework (Saving Lives, Strengthening Institutions or Promoting Social Cohesion).

Effects

Now that you have determined the goal and the objective, the next task is to determine the effects.

Effects refer to a **change in the behavior** of the population. In simple terms, this is what the population does to achieve the objective. It does not include changes in knowledge or attitude. For example, if the objective is to reduce the spread of HIV, this requires that the local population practice HIV prevention. Just knowing or caring about HIV prevention is not enough to actually prevent HIV. Prevention involves behavior change.

KEY DEFINITION: **EFFECTS = change in behavior of population**

Other log frame models lump together changes in knowledge and attitude in the same category as behavior change. The IRC log frame is different. It places changes in knowledge and attitude at the level of outputs because changes in knowledge or attitude are easier and faster to accomplish than changes in behavior. They are a necessary step along the path, but are not sufficient by themselves.

	IRC Log Frame	**Other Models**
Effects	Changes in behavior (What the population does)	Changes in knowledge attitude and behavior (What the population does, knows and believes)
Outputs	Goods and services produced by project including changes in knowledge and attitude	Goods and services produced by the project

A change in knowledge or attitude, while necessary, is not sufficient to indicate project success. For example, people can change their knowledge and attitude towards condom usage, but not change their behavior. Change in knowledge is an important output, but not meaningful enough to indicate the behavior change that the project requires.

TIPS: **When brainstorming about effects, consult the following sources of information:**

1. The qualitative and quantitative assessments carried out in the pre-design phase;

2. Best practices and lessons learned from the particular program and/or technical sectors;

3. Technical knowledge, past experience and previous successful projects;

4. Program Framework sector specific roadmaps.

Continuing with the environmental health example, the objective is to reduce mortality and morbidity from diarrheal disease. To determine the effects you ask yourself "what do people have to do differently in order to reduce death and illness resulting from diarrheal disease?

Your technical knowledge and experience would lead you to the following:

- People should use safe water for drinking and preparing food;
- People need to practice good personal hygiene such as hand washing;
- People need to stop defecating in open public spaces and use latrines;
- People should maintain wells and latrines.

These are all things that the population (not the project) will do in order to achieve the objective. There is usually more than one desired effect.

Taking these things into account, the draft strategy now looks like this:

Draft Project Strategy Statements	
Goal	Improved quality of life through reduced mortality and morbidity of the population
Objective	Reduced mortality and morbidity of the population resulting from diarrheal disease
Effects	1. People use safe water 2. People defecate in latrines 3. People should practice good hygiene 4. People should maintain wells and latrines

LOOK OUT: Remember, working with a log frame is an iterative process. Iterative means that you are continually drafting and redrafting as you test the logic and constantly revise statements. At this stage, you should be drafting the strategy in simple terms. What is important at this stage is the logic behind the statements. Later in the process you will deal with wording, formatting and revising the project strategy statements to make them conform to SMART criteria, IRC Program Framework and SPHERE Minimum Standards. Remember that project design is a process of drafting, revising, redrafting and revising.

Outputs

Outputs are the goods and services (including changes in knowledge and attitude) that are directly produced by the project. This can refer to things such as number of wells dug, number of training manuals produced, number of health workers trained, number of people who know how to practice good hygiene, number of mothers who believe ORS is best treatment for diarrhea, number of children vaccinated, etc.

Every effect will have one or more outputs associated with it.

TIPS: **To determine the necessary outputs**:

1) Ask: What goods or services or change in knowledge and attitudes does the project need to produce or bring about in order to achieve the desired effects.

2) Brainstorm with team.

3) Test the logic of your responses.

4) Revise and repeat as necessary for each effect.

Returning to the example, look at the first effect:
1. People use safe water.

Ask: "What goods or services, or change in knowledge and attitudes does the project need to produce or bring about so that people will use safe water? Another way of asking the question is "what does the project need to do, so that people use safe water?"

Clearly, people need wells where they can access safe water. This (wells dug) is the output the project needs to produce in order for the desired effect (people using safe water) to occur.

Ask: "What goods or services, or change in knowledge and attitudes does the project need to produce or bring about so that people will defecate in latrines?" Another way of asking the question is "what does the project need to do, so that people defecate in latrines?"

Clearly, latrines need to be established so that people can use them. This (latrines established) is the output the project needs to produce in order for the desired effect (people defecate in latrines) to occur.

Continue this process for all of the effects until you have generated outputs for all of the effects.

Now the draft strategy looks like this:

Project Strategy Statements – DRAFT	
Goal	Improved quality of life by reducing morbidity and mortality in the population
Objective	Reduced mortality and morbidity resulting from diarrheal disease
Effects	1. People use safe water 2. People defecate in latrines 3. People should practice good hygiene 4. People should maintain wells and latrines
Outputs	1.1 Wells dug and/or rehabilitated 2.1 Latrines dug 3.1 Hygiene awareness promoted 4.1 Water/Sanitation Committees established to maintain wells and latrines

Major Activities

After determining the outputs, the next step is to identify the major activities. To do this, you look at each output and ask, "What does the project need to do in order to produce the desired outputs?"

There may be one or two or more major activities for every output. All activities should be associated with an output. You should not have any activities that do not link up to outputs.

Major Inputs

Major inputs refer to resources that are needed to implement the activity. Typical resources include time, staff, equipment, supplies and funding to pay for it all. See the logistics planning tools below for guidance on determining relevant major inputs.

TOOL: Logistics Planning Tool: Planning for major inputs can be difficult at first. Where do you start? How do you know what questions to ask of your logistics team when you sit down with them for the first time at the planning stage? The IRC logistics planning tool includes eight guided questionnaires that help you think through the major issues in logistics, administration and human resources. This can get you started on a productive dialogue with your support staff teams at the planning stage. This tool can be found on the Fundamentals of Project Planning resource CD-ROM.

At this stage you should start thinking about planning for logistics and how you will begin to put together a procurement plan.

LOOK OUT: Planning for major inputs

Common causes of project delays related to poor planning for major inputs include:

Unrealistic assumptions about time needed to purchase/ship materials
Unrealistic assumptions about the time needed to hire expatriate staff
Unrealistic planned project start dates (waiting for funding to be obligated)
Unrealistic budgeting of necessary costs

Delays mean that needed services are not delivered on time. This can damage the partnership between the IRC and the community. It can also cause friction with donors, host and local governments and other key stakeholders.

Delays can also make it necessary to ask for an extension of the grant period, referred to as a "no-cost extension." The name is misleading, because these "no-cost extensions" actually have a cost to IRC, and should be avoided whenever possible. Indirect cost recovery (ICR) on grants is one of the largest sources of unrestricted funds. Because budgeted indirect costs cannot be collected until the direct costs of the grant are incurred, delays in projects can add up to significant deficits in the agency's unrestricted budget.

Many problems can be avoided if during the project design phase you consult with your logistics coordinator and finance controller. They can help you make realistic estimates of the costs of supplies and materials and alert you to potential difficulties in procurement. Human resources can advise you on salary and benefit costs.

The draft strategy now looks like this:

Project Strategy Statements – DRAFT	
Goal	Improved quality of life by reducing morbidity and mortality in the population
Objective	Reduced mortality and morbidity resulting from diarrheal disease
Effects	1. People use safe water 2. People defecate in latrines 3. People should practice good hygiene 4. People should maintain wells and latrines
Outputs	1.2 Wells dug and/or rehabilitated 2.1 Latrines dug 3.1 Hygiene awareness promoted 4.1 Water/Sanitation Committees established to maintain wells and latrines
Activities	Determine sites for wells Purchase appropriate materials Dig wells Determine sites for latrines Purchase appropriate materials Dig latrines Plan and conduct hygiene promotion campaign Establish Water/Sanitation Committees Train Water/Sanitation Committees

LOOK OUT: There are important considerations that are still not addressed at this stage in the planning process. For example, for the output "wells dug" – what kind of well will be dug, how deep? Who should dig them? What are their technical specifications? How many wells do you need to supply adequate water for the population? How do you define an "adequate supply?" How far should people have to walk to the well? What is the involvement of the community?

At this stage you are <u>still</u> working with a draft statement. You will make these statements more precise after identifying and assessing critical assumptions.

☞ Step 3: Test the logic of the draft project strategy.

Once you have completed the first draft of the project strategy, test the causal logic of the relationship between all the levels of the log frame.

Using this checklist might result in revising the strategy again several times until you are satisfied with the logical relationship. It is not unusual to create several drafts of the project strategy before you are satisfied that you have included all the important elements and that they are all logically connected.

Project Strategy	**Logic Checklist** Note: With this checklist, you can work "top-down" (starting with the goal and working down) or "bottom-up" (starting with the major inputs and working up).
Goal	Can the goal be achieved by the project alone? ✓ If yes, this cannot be the goal. Revise to make the goal broader. ✓ If no, continue.
Objective	Is it reasonable that the project will achieve the objective? Is it within the scope of the project? ✓ If yes, leave it in. ✓ If no, revise. Is there a causal relationship between the objective and the goal? Does the objective contribute towards achieving the goal? ✓ If yes, leave it in. ✓ If no, revise.
Effects	Is this something that the <u>population</u> (and not the project) <u>does</u>? ✓ If yes, leave it in. ✓ If no, revise Is there a causal relationship between the effects and the objectives? ✓ If yes, leave it in. ✓ If no, revise
Outputs	Is this a good or service that is produced directly by the project (and not by local people)? ✓ If yes, leave it in. ✓ If no, revise. Is there a causal relationship between the outputs and the effects? ✓ If no, leave it in. ✓ If yes, revise. Outputs should result in effects.
Major Activities	Are these the major activities necessary to produce the above outputs? ✓ If yes, leave it in. ✓ If no, create new activities so that every output has an activity associated with it. Are there activities for which there are no corresponding outputs? ✓ If no, leave it in. ✓ If yes, revise. Activities should not be listed if they do not link up with outputs. Is this activity a sub-activity of a larger activity? ✓ If no, leave it in. ✓ If yes, revise.
Major Inputs	Have we consulted with support staff (logistics, finance, human resources and administration) to ensure that all major resources have been planned for? ✓ If yes, continue. ✓ If no, consult support staff

☞ Step 4: Identify critical assumptions.

KEY DEFINTION: **Critical assumptions** describe the factors that lie outside the control of the project but can influence its success. They answer the question "under what circumstances will this strategy succeed?"

For example, if the project distributes seeds with the intention of increasing agricultural yields, adequate rainfall is a necessary condition to the success of the project. This is outside the control of the project. If the rainfall is not adequate, distribution of seeds (outputs) will not result in increased agricultural yields (effects). Adequate rainfall is a critical assumption. We call this reasoning 'if then' logic.

Example of "if then" logic

- ✓ **If** [critical assumption] does not hold, **then** [A] will not result in [B].
- ✓ **If** [adequate rainfall] does not occur, **then** [seed distribution] will not result in [increased agricultural yields].

You identify critical assumptions at every level of the log frame except for the goal. There are no critical assumptions at the goal level because the goal is the "end point."

Critical assumptions are important. When you submit a log frame with critical assumptions to a donor, you are entering into an agreement with the donor that the project will be able to produce results only if the critical assumptions hold. Think of this like an "insurance policy."

TIPS: **How do you identify critical assumptions?**

The ability to identify critical assumptions comes from an in-depth knowledge of your environment. This is why it is important to talk with as many people as you can, especially the local population. Refugees, IDPs, conflict-affected populations, local and international NGOs, field staff, and donors can all help you to identify critical assumptions. If you are newly arrived in a site, talk with others who have been there longer.

☞ Step 5: Assess critical assumptions.

Once you have identified critical assumptions, use the following checklist to assess their usefulness.

TOOL: Checklist for assessing critical assumptions

How likely is the assumption to hold? Consult with the rest of the team (including logistics and finance) and with representatives of the community and key players. If the assumption is:

- ✓ Likely to hold, continue.
- ✓ Certain to hold, remove it, it is not a critical assumption but rather stating the obvious.
- ✓ Not likely to hold, redesign. If you know in advance that the critical assumption that is not likely to hold, and you leave it in, you are designing a project that is likely to fail.

Is the critical assumption within the control or influence of the project?

- ✓ No, continue.
- ✓ Yes, remove. This is not a critical assumption; it is something within the influence of the program that should be part of the strategy.

LOOK OUT: Do not select critical assumptions that are within the control or influence of the project. By definition, critical assumptions should be outside the control or direct influence of the project.

Question: Why would a statement such as "*people will use latrines*" not be a good critical assumption?

Answer: "*People using latrines*" describes a behavior change, and this is part of what the project is working to achieve, not something you can assume will happen by itself.

The draft log frame now looks like this:

Project Strategy Statements – DRAFT		Indicators	Means of Verification	Critical Assumptions
Goal	Improved quality of life by reducing morbidity and mortality in the population			None
Objective	Reduced mortality and morbidity resulting from diarrheal disease			The peace process is consolidated and there is not new influx of IDPs. Host government policies remain consistent and favorable towards NGOs.
Effects	1. People use safe water 2. People defecate in latrines 3. People practice good hygiene 4. People maintain wells and latrines			The current political and security situation remains stable enough to allow IRC teams access to the sites.
Outputs	1.3 Wells dug and/or rehabilitated 2.2 Latrines dug 3.2 Hygiene awareness promoted 4.2 Water/Sanitation Committees established to maintain wells and latrines			Required materials and services are available in sufficient quantities and at reasonable prices. Rates of currency to not fluctuate beyond reasonable margins.
Activities	Determine sites for wells Purchase appropriate materials Dig wells Determine sites for latrines Purchase appropriate materials Dig latrines Plan and conduct hygiene promotion campaign Establish Water/Sanitation Committees Train Water/Sanitation Committees			

☞ Step 6: Revise project strategy using tools.

This section covers a number of specific tools you can use to revise your project strategy including:

- SMART criteria
- IRC's Program Framework
- Standards such as SPHERE and MSEE

SMART Criteria

Specific	Should tell you **who** will be doing **what**, **when**, **how much** and **who** will benefit.
Measurable	The project strategy statements should be quantifiable. This means stating the elements of the project strategy in terms of numbers (absolute and/or percentages) that can be measured. The baseline, final level and extent of improvement should be stated in either absolute numbers or percentages.
Attainable	This is a reality check. Consider the context you are working in and your available resources and whether the size of the planned change is feasible. A useful reality check is to communicate with finance, logistics, HR and TUs to ensure that accurate costs, appropriate staff and realistic timing have been taken into consideration.
Relevant	The strategy statements should directly relate to the problem you are addressing and the causal relationship should flow through the entire project strategy column. Elements that do not logically connect up to the next level should be revised or eliminated.
Time-bound	Determine how long it will take to achieve each statement. Failure to adequately consider how long things take is one of the most common preventable pitfalls. Much of this estimate should be based on IRC's prior experience doing similar work.

It is not always possible to specify SMART criteria for every entry/level of the log frame. In some cases, the information is not available. In other cases, the concept is not measurable. Therefore, use SMART criteria to set:

- ✓ Goal: where possible
- ✓ Objective: where possible[3]
- ✓ Effects: **always**
- ✓ Output: **always**
- ✓ Major Activities: **always**
- ✓ Major Inputs: **always** (in conjunction with logistics and finance)

The table on the following page provides examples of SMART statements.

[3] IRC recognizes that it is not always possible to express the objective in a smart format. Certain concepts such as increased social cohesion, increased civic participation and improved confidence of citizens in their local government can be difficult to formulate using SMART criteria. Consult your TUs for setting assistance creating SMART objective statements.

Applying SMART Criteria		
	IRC format	Examples
Objective	*[change] [the health, economic, quality of life status] among [a specified population or group] [from baseline to desired level] or [by X%] or [to a certain level] within [a specific time frame]*	• **Weak:** Fewer refugees are dying from treatable diseases • **Stronger:** Reduction in the rate of mortality among the refugee population in Unyama camp to no more than 1 death per 10,000 population per day by the end of the 10th week of the project
Effects	*[change] [the behavior] among [a specified population or group] [from baseline to desired level] or [by X%] or [to a certain level] within [a specific time frame]*	• **Weak:** Increased STI testing and treatment services • **Stronger**: Increase in the use of STI testing and treatment services by men and women aged 15-25 in Gulu camp by 40% in 2 years • **Weak:** More adult women have literacy skills • **Stronger:** An additional 20% of the total population of adult women in Gulu district can demonstrate basic literacy skills in 18 months
Outputs	*[specific population or group] will have more of [specific quantity] of [product or service] of [specific quality] within [specific time frame]*	• **Weak**: More latrines available • **Stronger:** 200 more families in Gulu camp will have 40 class A latrines by January 2007 • **Weak:** Community development council members trained • **Stronger:** 100 Gashonga district community development councils members, of which at least 25% are female, are trained in a 3-day workshop on financial and administrative management by August 2007
Major Activities	*[specific major activity/s] will be completed by [time]*	• **Weak**: build schools • **Stronger:** Construct 50 classrooms in targeted schools in conformity with INEE and local Ministry standards by end of July 2007
Major Inputs	*[specific quantity] of [specific major inputs] will be available at [specified time]*	• **Weak:** sufficient labor • **Stronger**: 50 community volunteers available for 30 days during dry season • **Weak**: transportation • **Stronger**: 3 Land Cruisers, 2 pick up trucks and 20 motorcycles available by month 3

Program Framework Review

The IRC log frame presents the logical relationship between the elements of a project strategy. It is intended to help you think critically about how to design a project so that the resources IRC puts into it create the outcomes we all want. The IRC Program Framework provides a common vision and programming approach. It provides the content of our intended results, helping to guide staff in answering the question 'what are we seeking to do for people?' Both tools (the log frame and the Program Framework) are necessary for successful program design.

Once you have completed your first draft of the project strategy, consider how its elements coincide with the Program Framework. Does your project seek to accomplish IRC aims (saving lives, strengthening institutions, promoting social cohesion)? How are IRC principles brought to life in the project activities? Are the activities conceived to involve local partners as much as possible? Are IRC technical staff working together to achieve the same aims in an integrated fashion? Does the project aspire to enable community ownership rather than merely participation?

Use the Program Framework to stimulate discussion among your staff about how to make sure the project design fits with IRC's approach. The Program Framework Principles Matrix can help you to review the strategy and/or what changes are necessary as a result.

IRC Program Framework - Programming Principles Matrix

Principle	Acute Emergency	Protracted Crises & Return and Reintegration	Reconstruction
Protection & Promotion of Rights	• IRC is present in a country because people's rights have been violated and the state is unable or unwilling to fulfill its responsibility to its citizens. As part of the international community, IRC provides a temporary substitute for services that fulfill basic rights in order to bridge this gap. • IRC staff understands how humanitarian operations are guided by international standards and works to ensure that all their actions protect the rights of conflict-affected people.	• Once the emergency subsides, IRC programs emphasize that the state and civil society must uphold their responsibility for fulfilling the basic rights of the population.	• IRC programs increasingly support state and civil society capacity to lead development and promote rule of law.
Participation	• IRC informs communities about its work, resources and programming capacity. • When possible, IRC involves communities in a consultative process that informs needs assessments as well as the design and implementation of programming. • Involved community members need to comprise a fair representation of the population in the area where IRC works.	• Communities participate and influence needs assessments, programming design and monitoring and evaluation. • Communities have decision-making power within the programming process. • As its knowledge of the community increases, IRC expands the representative groups with which it works to assure that progressive, vulnerable, disenfranchised and other crucial segments of the population are included.	• Communities begin to act on their own initiative and to take ownership for elements of IRC projects.

Principle	Acute Emergency	Protracted Crises & Return and Reintegration	Reconstruction
Capacity Building	• IRC's short-term programming approach in this phase seeks to help individuals to develop the technical skills, resources and knowledge needed to meet survival needs. • The focus is primarily on local IRC staff and, when possible, refugees, internally displaced persons and others affected by conflict.	• Capacity building shifts from individuals to communities and institutions. • Capacity building involves technical skill development and organizations, managerial and financial support to groups and institutions. • The intent is to help improve service delivery and advocacy.	• Capacity building shifts from communities to institutions. • IRC concentrates on supporting the systems, processes, policy development and quality assurance of institutions.
Partnership	• IRC identifies and engages with entities that can help to save lives through increased access, expanded reach or additional expertise and resources. • Partnerships tend to be short-term and based more on coordination than collaboration and integration.	• IRC begins to identify local partners for longer-term relationships and projects. • IRC seeks to establish with partners balanced power dynamics, shared rights, responsibilities and goals. • Partnerships focus on collaboration rather than coordination. • IRC continues to widen the scale and scope of international and local partners in order to maximize the reach and effectiveness of programming.	• Programs address root causes of conflict and strengthen the institutions of the state, civil society and market. • IRC sectors are integrated to achieve common goals.
Holistic Programming	• IRC staff understands the sociopolitical context of the country and root causes of the conflict, reflecting both elements within all program design. • Staff identifies and builds on existing structures and resources in public, private and civil society sectors. • Programming targets host, displaced and marginalized communities. • Program teams communicate program goals and activities across sectors.	• Program design addresses root causes of conflict. • Programs transition from providing substitution services to working through existing structures in society. • Programs focus on whole communities rather than individuals. • Programs coordinate and develop shared strategies.	• Programs address root causes of conflict and strengthen the institutions of state, civil society and market. • IRC sectors are integrated to achieve common goals.

SPHERE and MSEE

The minimum standards outlined in SPHERE and MSEE are based on the principle articulated in the Humanitarian Charter stating that populations affected by complex emergencies have the right to life with dignity.

SPHERE covers four sectors:

- Water, sanitation and hygiene promotion
- Food security, nutrition and food aid
- Shelter, settlement and non-food items
- Health services

MSEE covers education in emergencies, chronic crises and early reconstruction.

IRC is committed to upholding and promoting SPHERE and MSEE in all projects.

A log frame model that applies SMART criteria, the IRC Program Framework and SPHERE minimum standards can be found in annex 6.

CHAPTER 4
PLANNING MONITORING & EVALUATION

After developing the project strategy and identifying critical assumptions, you are ready to complete the inner two columns of the log frame "Indicators" and "Means of Verification." These columns answer the question "*how can you know if the strategy is successful?*"

☞ Step 7: Select indicators and means of verification.

KEY DEFINITION: Indicators demonstrate performance and are the basis of planning for monitoring and evaluation. Indicators are the characteristics you measure that show whether or not proposed changes have occurred.

For example, if you want to increase access to education for refugee children, how will you know if you are successful? You can choose "school attendance rates for refugee children" as your indicator. In other words, an increase in attendance rates for refugee children signals project progress.

Indicators

Why do you need indicators?

- Indicators orient, motivate and guide staff towards achieving results.
- Indicators are the basis for monitoring and evaluation.
- Indicators can be useful to communicate program achievements to donors, partners and other key stakeholders.
- Indicators enable you to specify realistic targets to judge progress at each level of the log frame.

Indicators can be:

- The same or equal to the project strategy statement;
- A part of the project strategy statement;
- A "proxy" or substitute for the project strategy statement.

To better understand this, look at the following example. If the project seeks to improve average household income in a certain rural district, what indicator can you choose that will let you know whether or not the project is making progress?

You could choose “money earned by all households in the district” as an indicator. In this case, the indicator “household income for all families in the district” is the same as the project strategy statement.

What if it is not feasible to measure all household income because there are too many households or not enough staff or resources to reach them all? What else could you choose? You could select a sample of families living in the district and measure their household income. In this case the indicator, “household earning from sample of the district population” is a part of the project strategy statement.

What if local people in this culture are not willing to share information about household income with outsiders? An alternative would be to choose a “proxy indicator.” Proxy means substitute, so in this case, you find a substitute for household income. What else could you measure that would signal whether or not household income has increased?

Say for example that ‘extra cooking pots’ are considered a luxury item. You could choose “number of families who recently purchased additional cooking pots” as the indicator. In this case, you are assuming that if family income increases, then the family will buy extra cooking pots. So instead of measuring household income, you measure the number of families that have recently purchased additional cooking pots. This signals whether or not families have recently increased their income. “The number of extra cooking pots recently purchased” is a proxy indicator for increase in household income.

KEY DEFINITION: **Targets** specify desired results within a given timeframe or a given quantity. There is a target associated with every indicator. Consider the following examples:

Indicator:	% change in enrollment
Indicator with target:	10% increase in enrollment over 2 years
Indicator:	# of extra cooking pots purchased
Indicator with target:	15% of families purchase extra cooking pots over 3 years

Targets can be based on past IRC experience, expert knowledge, donor requirements or information from the baseline assessment. Determining the targets are only possible after the baseline assessment has been done. For example, if you have not yet gathered baseline data and you do not know current enrollment levels, it can be difficult to set a target for an increase in enrollment.

Remember, you must select indicators for every level of the log frame except for the goal and the activities. You do not select indicators at the goal level because achieving the goal is not within the manageable interest of the project. Activities are monitored using the work plan (see annex 2).

KEY DEFINITION: Milestones are intermediary targets. That means that if your target for the entire project is to increase utilization of STI services by 40% over 2 years, you might plan to have achieved a 10% increase by the end of year 1. That tells you that you are on the right path towards achieving your target. That intermediary target of 10% by year 1 is sometimes referred to as a benchmark or milestone.

Means of Verification

The means of verification lays out how you gather the information necessary to track a particular indicator. Each indicator must have an accompanying means of verification.

When working with a log frame, it is important to identify the means of verification at the same time as identifying the indicator. This is because if a suitable method cannot be found the indicator must be abandoned and a new one selected. An indicator without a means of verification signifies that there is no way to collect data on that indicator, which renders the indicator useless.

It is important to consider time and effort involved in data collection. Some indicators will be tracked frequently throughout the life of the project, through routine monitoring. Other indicators will be tracked through mid-term or end of project evaluations. (See table page 6 "Types of Monitoring and Evaluation Activities").

Outputs should be monitored relatively frequently. This means you want to choose indicators and means of verification that use a data collection method that is not overly time-consuming or costly. As you move up in complexity to effects and impact/objective levels of the log frame, your indicator and means of verification may involve data collection methods that are more complicated, time-consuming and costly. This is acceptable because in most cases, you are not measuring effect and impact/objective indicators as frequently as output indicators (with the obvious exception of certain health impact indicators that are monitored frequently). Technical units can help with selection of effect and impact/objective level indicators and appropriate means of verification.

Look out: How many indicators are "enough?" A common mistake in project planning is selecting too many indicators. Remember that indicators should be a meaningful guide for programming and communicating results. They should not be so numerous as to burden staff or distract from implementation.

A general rule of thumb is one to two indicators per output. IRC's technical units are your key source of support for selecting appropriate indicators.

TIPS: Selecting indicators

1. Consult your technical units.

2. Consult other published sources, indicator banks, etc.

3. Talk to partner agencies, donors and local government statistic bureaus to see what kind of indicators/data they are using.

4. Conduct a brainstorming with project staff and key stakeholders (including refugees, IDPs and conflict-affected communities). Ask the following questions: "*How can we know if we are succeeding*?" "*What changes or events can we observe that indicate progress?"*

LOOK OUT: Avoid confusion between the **needs and resource assessment** and the **baseline assessment**. Remember that the needs and resource assessment is always carried out before the program is designed, in other words, before the proposal is written. The purpose of the needs and resource assessment is to inform the program strategy. In contrast, a **baseline assessment** takes place usually at start up. The purpose of the baseline assessment is to measure the indicators you're interested in influencing **before** a program begins. This is critical because without information on the circumstances before, there is no basis for comparison **after** the program has been implemented. The needs and resources assessment is a pillar of program design. Gathering baseline data is a pillar of effective monitoring & evaluation.

	Selecting Indicators		
	Definition	**Advantages & Disadvantages**	**Examples of Indicators**
Objective Or Impact Indicators	Assesses fundamental and sustainable changes in people's lives (such as health, economic, social or quality of life status) **Typical format:** ✓ usually takes the form of rates or ratios ✓ usually refers to the population (not a specific group) ✓ otherwise, formulation is wide open	Indicators at the impact level may be difficult to measure sufficiently within the scope of the project. They may require sophisticated evaluation and survey techniques outside the resources of the project.	• Poverty reduction • Crude mortality rates • Access to quality education • Revitalized civil society **Impact indicators should always be selected either from an IRC indicator menu or in consultation with the appropriate technical unit.**
Effect Indicators	Assesses the changes in behavior of the target population **Typical format:** [number or percent] of [population or group members] who [do] a [specific behavior]	Changes in the behavior of the population may also take time, and requires planning and resources. It may require setting funds aside to hire a survey consultant, or hiring program managers with survey experience. Measuring indicators at this level will tell you whether or not the behavior of the local population has changed; it will not tell you if these changes were caused by the project. **Effect level indicators should be selected either from an IRC indicator menu or in consultation with your appropriate technical unit.**	• % of mothers who use ORS for diarrheal disease of children under five in the last month • % increase of families who send their daughters to school from beginning to end of school year • % of local staff following correct protocol when caring for GBV survivors.
Output Indicators	Describes goods and services produced directly and immediately by the project **Typical format:** number of products or services that have been provided of specified quality by a certain date. (There are other formats but this is the most common one.)	A change in knowledge (resulting from a training) or a change in attitude (resulting from an information or education campaign) fall under outputs in the IRC log frame. Because outputs are produced directly by the project, the project has a high degree of influence over the quality of the outputs. Project staff should put special emphasis on quality at the output level. For an example of a high quality output indicator, see the next section on characteristics of "good" indicators.	• # of mothers with children under 5 who can demonstrate how to mix ORS solution after door-to-door health education campaign • # of fathers who participated in public information campaign who say they support girls' education • # of health workers trained in 5-day GBV training who know correct protocols when caring for GBV survivors

☞ Step 8: Assess indicators and means of verification.

How do you know a good indicator when you see one? What are the characteristics of a "good" indicator?

Technical units can help with impact/objective and effect indicators. Regardless of the level, however, indicators in general should have these basic characteristics: they should be valid, ethical, useful, reliable and practical.

KEY DEFINITIONS – Characteristics of "good" indicators

Valid - Indicators should be representations of reality. You want to choose indicators that are going to get as close to reality as possible. This means that the indicator accurately measures what it is supposed to measure. For example, if you want to measure "student knowledge of HIV/AIDS prevention" you could choose "% of students who pass an end exam on HIV/AIDS material." Is this a valid measure of their knowledge of prevention? Some students are better at taking tests than others, and their scores might not reflect their true knowledge. These students would argue that the test was not a valid measure of what they really know. For every indicator, you will have to decide if it is truly a valid measure of what you are trying to accomplish.

Ethical - Information should be ethically obtained and managed. When you question people about personal information, it is important to respect their confidentiality and security and to tell them how you will be using the information and who will have access to it. Examples of sensitive topics include questions about ethnicity, religious background, income, rape and HIV status.

Useful - Separate the "nice to know" from the "need to know." Collect only the information that is directly related to what you are trying to measure. Too much data will not help you make a better decision, it will only overwhelm you.

Reliable - Measures should be consistent over time and replicable. If two outreach workers measure "household cleanliness" of the same household on a 4-point scale they should both come up with the same rating. The checklist and the application of the checklist must be reliable.

Practical - The indicators and means of verification you choose must be feasible. That means you must understand what kind of data is required to measure an indicator and be able to collect the information with a reasonable level of effort.

Consider the following example:

Poor indicator:

Project Strategy	Indicator	Means of Verification
Effect: Improved teacher performance in the classroom	Percentage of teachers who pass in-service qualifying exam	Teacher examination results from Ministry of Education district office

Is this indicator valid? Is it measuring what it is supposed to measure?

Passing a qualifying exam does not really tell you much about how a teacher is actually performing in the classroom. Rather it tells you about their ability to pass a written exam.

Better indicator:

Project Strategy	Indicator	Means of Verification
Effect: Improved teacher performance in the classroom	90% of teachers observed in the classroom satisfactorily demonstrate use of appropriate child-centered methodologies	IRC/Ministry of Education teacher observation grids

This indicator has greater validity because it measures actual teacher performance in the classroom.

LOOK OUT: Do not underestimate the importance of the means of verification!

Too often the means of verification column is ignored or treated as an afterthought. This is a mistake. The means of verification column provides important information you might miss if you focus only on the indicator column. For example, a perfectly valid indicator may not have an appropriate means of verification, rendering it useless.

Selecting indicators involves making choices about data collection. It is important to consider at the planning stage what kind of data you need to collect in order to monitor indicators, and how you will plan to collect this data.

Consider another example.

Poor indicator:

Project Strategy	Indicator	Means of Verification
Output: Increased percentage of youth who know how to practice HIV prevention	# of participants in HIV training workshop	Workshop participant list

Why is this indicator poor? The indicator only tells us how many youth physically attended the training. It tells us nothing about how their knowledge changed as a result of the training.

Still poor indicator:

Project Strategy	Indicator	Means of Verification
Output: Increased percentage of youth who know how to practice HIV prevention	# of participants in HIV training workshop who are able to define the acronym HIV	Workshop post test results

At first glance this may appear to be a better indicator. But do not be fooled. If a person can tell you what the acronym HIV stands for, does it mean they know anything about the behavior that prevents transmission? Not necessarily.

Better indicator:

Project Strategy	Indicator	Means of Verification
Output: Increased percentage of youth who know how to practice HIV prevention	# of participants in HIV training workshop who can demonstrate how to dress a condom on a wooden condom demonstrator	Workshop report

Why is this indicator better? It is better because it tells you whether or not youth who attended the trainings have acquired the necessary knowledge to prevent HIV.

CHAPTER 5
WRITING THE PROPOSAL

☞ Step 9: Write the proposal.

You now have all the information you need to write a quality proposal. The standard format listed in this guide should be used unless you are writing a proposal for a donor who requires use of their format. Some donors require a standard format (ECHO, DFID). Other donors can require slightly different formats depending on a specific RFA or Call for Proposals (USAID). Other donors will provide proposal guidelines that can help you to understand their priorities and key elements they would like to see highlighted in a proposal. (Specific donor guidelines can be referenced in the FPP CD-ROM.)

Regardless of the specific proposal format used, every IRC proposal should include a careful needs and resource assessment and a project plan reflecting IRC's Program Framework. All projects should be designed using a logical framework and should address relevant donor priorities.

Every IRC proposal should be assembled with the following components:

1. Cover Page
2. Executive Summary
3. Introduction and Background
4. Problem Analysis
5. Project Strategy
6. Monitoring and Evaluation Plan
7. Project Management and Organization
8. Budget (and budget narrative)
9. Appendices

The rest of this chapter will describe the essential elements of each of these proposal components.

1. Cover Page

Always use a standard IRC cover page (see IRC field operations manual), unless the donor requires a specific donor cover page. Do not create your own.

2. Executive Summary

The Executive Summary is a table that summarizes the essential elements of the proposal in a one-page format. Always use the standard IRC Executive Summary (located in the IRC field operations manual) unless the donor requires you use their format. Do not create your own.

3. Introduction and Background

The introduction and background section should provide a brief description of the situation and IRC's decision to become involved. This section should provide enough information so that someone unfamiliar with the situation can understand the challenges and the opportunities it presents. Among the items to be considered in this section are the following:

- Overview of the country or region, and the political, social and economic environment. Be sure to footnote specific references.
- Major events in recent history that affect the situation, including information on the current conflict, its scope, severity and whether it is stable or unstable.
- Identification of the population in need of assistance.
- Protection issues or concerns.
- Cultural norms and decision-making and coping mechanisms.
- Logistical constraints, seasonal and climatic factors.
- In the refugee or IDP context, include information on host community as well. Describe how the host country or community is helping? What is their overall situation relevant to the refugees? Are they also in need of international assistance? How are they being affected by the influx of refugees?
- IRC's experience and past performance of providing relevant quality programs in this country or context.

TIPS: In general, the shorter you can make your proposals while still giving the donor all the essential information, the better. Remember that the person reading your proposal might literally have hundreds of proposals to review. Help the reader to understand the problem and your proposed solution. The more crisp, interesting and to the point you can make your proposal, the more likely it is to survive a preliminary screening.

Make the background section as concise and specific as possible. Emphasis should be given to the specific problem analysis section and IRC past performance rather than the more general background information.

4. Problem Analysis

This section should clearly state the gap you have identified between needs and resources that will be the focus of the project. Provide dates and coverage areas of any specific assessments you have undertaken. Unlike the previous section that dealt with events affecting the entire population, in this section you become more focused and talk about the specific service gaps you will target with the project.

This section can include:

- Description of the physical setting of the project area and living conditions of the target population. Are they in a refugee camp? Makeshift shelters? Have they returned to villages damaged by war? Is health care available? What is the level of services in the area? Are people subject to deportation, arrest or other threats? What is the security situation? Are there particular security threats to women or other vulnerable groups?

- Describe the target population in detail, including number of people and demographic breakdown, especially of potentially vulnerable groups or groups whose presence could affect the program in other ways, such as fighters who might divert aid resources to support the conflict, recently demobilized soldiers, etc.

- Describe whom the community considers to be the most vulnerable groups. Describe observable patterns in the health and nutritional status of different groups. Describe factors such as average family size, the percentage of elderly people without family support, the percentage of female-headed or child-headed households and numbers of unaccompanied children. Describe any ethnic, regional or calls/caste differences, and distinctions between rural and urban dwellers. Are there restrictions that apply to certain groups? Are there cultural factors that may affect the program such as gender roles?

- Using measurable indicators whenever possible, describe the health, social and economic status of the target groups. Note relevant differences by sub-groups (e.g. ethnic groups, unaccompanied minors, child soldiers, etc.) When possible, state the current status and any gaps in service in terms of accepted international standards such as SPHERE or INEE (e.g., 20,000 people living in XYZ camp have an average of only 5 liters of water per person per day, far below the minimum standard of 15 liters per person per day recommended by SPHERE.)

- Discuss resources available to address the problem from
    - The host government, local host population, local NGOs other international agencies
    - The intended beneficiaries/participants (for example, material assets, construction and education skills, functioning social and political structure)
    - IRC (e.g., staff, expertise, prior experience in this area)

5. Project Strategy

Briefly describe the major elements of your project strategy, justifying why you believe this will be an effective way to address the problem at this time.

You can include the following:

- Examples of effectiveness of this approach from the IRC TUs, or the literature. This can include lessons learned relevant to this approach. These lessons can be drawn from IRC staff with experience and technical expertise, interviews with community members or from other NGOs. Information from lessons learned can be skillfully used to advocate for modifying, expanding or even terminating past design strategies and adopting new approaches.

- Influence on conflict: IRC frequently works in or near zones of active conflict, or in situations where relationships between groups after a conflict are still volatile. In these cases, poorly designed or executed projects can increase tensions. In such situations, your proposal should include your needs and resource assessment that examined the root causes of conflict so that at a minimum, the planned project will not exacerbate existing tensions.

- Sustainability: Describe factors in the design that support existing local institutions, address local priorities and strengthen local capacity. Even in emergency and relief programs, projects should be structured to include as much participation and capacity building as possible. Every project should strive for the long-term goal of eventually handing over management of programs to local NGOs or to the affected populations themselves. Failure to build self-reliance and sustainability from the earliest possible opportunity risks creating dependency.

This section is also where you describe in detail the project objective and effects and outputs necessary to achieve that objective. In this section you should discuss:

- what the project will accomplish;
- when the project will accomplish it;
- the techniques, methods, processes, criteria the project will use;
- who will do the work;
- where it will be done.

 **TIPS**: It is important to focus on the elements that are essential to accomplish the objective and not get bogged down in a long list of details. For your own operational plans, you may have drawn up a list of materials that needs to be purchased in months one and six of the project, or curriculum items that will be covered in months one, two and three. Detailed plans like these can be submitted as appendices if the donor requires them, but they should not be included in the body of the proposal.

6. Monitoring and Evaluation Plan

At a minimum your monitoring and evaluation plan should cover:

- Who will be responsible for gathering baseline data?
- What baseline data will you gather? When will that task begin and how long will it take?
- Who is responsible for data collection?
- How often will it be done?
- Who will meet to analyze the results of the data collected?
- How often?
- How will you use the results to adjust programming?

TOOLS: Annex 3 contains some helpful hints and tools for creating a monitoring and evaluation plan.

Monitoring and evaluation plans must detail plans for a baseline assessment. The baseline assessment provides a snapshot view of the conditions prevailing before the project implementation. Performance baseline can be both quantitative and qualitative. It is critical to have a realistic snapshot of the situation before the intervention. **All IRC programs must include plans for conducting a baseline assessment.**

7. Project Management and Organization

This section describes:

- How the project relates to the overall IRC country program and to other key organizations in the assistance effort;
- The key staff members of the project and their responsibilities;
- Assurance of IRC's legal status to operate in the country;
- The plan for coordination with other implementing and donor agencies to ensure cooperation and synergy and avoid duplication of efforts.

8. Budget

Proposals should always include a detailed budget prepared in the standard IRC format (unless the donor specifies another format) and a budget narrative. Descriptions of how to prepare these documents are listed in the IRC Finance Manual.

TOOLS: The IRC Finance Manual is the guiding document when it comes to budget preparation. There are a number of budget preparation checklists in the manual.

In addition, the Fundamentals of Project Planning resource CD-ROM contains a blank Excel budget template (with macros and formulas already there!) for you to use.

9. Appendices

In addition to the budget, budget narrative, any certifications and supporting documents that a donor might specifically request, all proposals should also include:

Log frame: The log frame should always be attached or annexed to the proposal.

Work plan: Although not all donors require one, IRC requires every project to include a work plan that shows the schedule of the major project activities. A Gantt chart summarizing in a spreadsheet in the appendices can lay out the entire project visually so that it is easy to comprehend. It can also be a useful planning tool, helping you to see whether you have really planned enough time for key activities. Finally, a work plan is a basic monitoring tool helping you to monitor whether or not activities are taking place as planned.

TOOLS: The Fundamentals of Project Planning resource CD-ROM contains templates, guidelines and exercises on how to create a work plan. Also included is a formatted Gantt chart.

LOOK OUT: **Does your work plan include monitoring and evaluation activities?** Failure to include and plan for monitoring and evaluation activities in the work plan can overburden staff. Remember for IRC, monitoring and evaluation is an integral part of project activities. It should not be considered as something "extra" project staff has to do in addition to their other duties.

Does your budget match your planned activities?

Some donors require procurement plans (ECHO). Does your procurement plan match your work plan?

Annexes

Annex 1: Donor DM&E Models and Resources[4]

IRC Log Frame	CIDA	DFID	DOL	ECHO	USAID
Goal - the overall purpose towards which the project contributes, but alone cannot achieve. Other factors and projects also contribute. This statement should articulate the durable solution to which the project contributes.	**Goal refers to the impact, or the long-term results** CIDA/Results Approach to Developing the Implementation Plan page 22.	**Goal** refers to the wider objectives that the activities will help achieve. Longer-term program impact. DFID/Tools for Development section 5.2	**Goal** or also referred to as the development objective. DOL/ILAB Sample Log Frame page 3.	**Principal objective** or **overall objective** explains the longer-term benefits to beneficiaries. The overall objective/principal objective will not be achieved by one intervention but will require contributions of other players as well. ECHO/PCM page 11.	**Strategic Objective** (SO) - the most ambitious result that a USAID operating unit along with its strategic partners can materially affect, and for which it is willing to be held accountable within a given time period. USAID/PMP Toolkit page 21.
Objective - that part of the goal that the project will achieve, stated in measurable terms	**Purpose refers to the outcomes, or the medium-term results.** CIDA/Results Approach to Developing the Implementation Plan page 22.	**Purpose** refers to the essential motivation for undertaking the program or project. DFID/Tools for Development section 5.2	**Purpose** or also referred to as the immediate objective. See DOL/ILAB Sample log frame page 3 for example	**Operation purpose** or **specific objective** is achieved by implementing the operation. This should address the core problems in a given situation and be defined in terms of benefits to target groups. There should only be one purpose per log frame. ECHO/PCM page 11.	**Intermediate Results** (IR) - an important result that is seen as an essential step to achieving a strategic objective. IRs are measurable results that may capture a number of discrete and more specific results. USAID/PMP Toolkit page 22.
Effects - change in behavior of the conflict-affected population			**Outputs** - See DOL/ILAB Sample Log Frame pages 4-5. This includes both effects and outputs.		
Outputs - the goods and services produced directly and immediately by the project. Can include changes in people's knowledge or attitude	**Outputs refer to the short-term results.** CIDA/Results Approach to Developing the Implementation Plan page 22.	**Outputs** refer to the deliverables produced by the program or project. DFID/Tools for Development section 5.2		**Results** are products or outcomes of activities undertaken, the combination of which achieve the operation purpose (or specific objective). ECHO/PCM page 11.	**Outputs** - a tangible, immediate and intended product or consequence of an activity within USAID's control. Examples include people fed, personnel trained, better technologies developed and new construction. USAID/PMP Toolkit page 29.
Major Activities - major tasks carried out by project personnel	**Inputs and resources** are used to carry out the activities. CIDA/Results Approach to Developing the Implementation Plan page 22.	**Activities** - major tasks carried out by project personnel	**Activities** - See DOL/ILAB Sample Log Frame pages 6-7 for examples.	**Activities** are actions that have to be taken to produce the results. They summarize what will be undertaken. ECHO/PCM page 11	**Activities** - major tasks carried out by the project personnel
Major Inputs - major resources needed to carry out the activities		**Inputs** - major resources needed to carry out the activities	**Inputs** - major resources needed to carry out the activities	**Means and costs** refer to the physical and non-physical means (inputs) necessary to carry out the planned activities. This should draw a distinction between material and human resources. ECHO/PCM page 14	**Inputs** - major resources needed to carry out the activities

[4] Full text of all the donor resources referenced above can be accessed on the FPP CD-ROM. See page 57 for more details.

Donor Resources on DM&E

For more information on the frameworks listed above you can consult these donor resources either on the Internet or the Fundamentals of Program Planning Resource CD-ROM.

Canadian International Development Agency (CIDA)
http://www.acdi-cida.gc.ca

- **CIDA: A Results Approach to Developing the Implementation Plan**. March 2001. This guide for CIDA partners and executing agencies walks the reader through the process of creating a project/program implementation plan, including the logical framework analysis.

UK Department for International Development (DFID)
http://www.dfid.gov.uk

- **DFID Tools for Development.** September 2002. The comprehensive document produced by the Performance and Effectiveness Department at DFID covers a wide range of techniques useful in design, monitoring and evaluation. Chapter 5 outlines in detail DFID's version of the log frame and includes a sample log frame.

- **DFID Sample Log Frame**. This 12-page document provides a detailed log frame sample in the DFID format produced by DFID.

US Department of Labor (DOL)
http://www.dol.gov/ilab/

- **Sample Logical Framework for a Child Labor Education Initiative**. This 8-page document briefly outlines DOL's log frame and provides a detailed example of a model log frame for child labor initiative.

European Commission Humanitarian Aid Office (ECHO)
http://www.europa.eu.int/comm/echo

- **ECHO Project Cycle Management.** October 2003. This guide covers ECHO's project cycle, as well as project planning, monitoring and evaluation using ECHO's log frame.

- **ECHO Logical Framework Guidelines with Examples.** October 2004. This handy 12-page document provides an overview of the ECHO log frame and examples of a stakeholder analysis, problem tree and objective trees, culminating in an example of a log frame developed as part of a group training session. These examples are intended to illustrate how the planning process leads to the development of the log frame.

US Agency for International Development (USAID)
http://www.usaid.gov

- **USAID/PMP Toolkit.** April 2003. This guide to developing and implementing performance management plans (PMPs) is designed for USAID staff and partners alike. It contains guidelines on how to review a results framework, developing performance indicators, as well as tips on collecting baseline data and verifying data quality.

- **USAID/OTI Guide to Performance Management**. June 2002. This guide is similar to the USAID/PMP Toolkit listed above but in a simplified version with instructions specific to USAID's Office of Transition Initiatives (OTI). It contains a sample performance management plan in the annexes.

- **USAID TIPS on Performance Monitoring and Evaluation**. 2000. This document, produced by the USAID Center for Development Information and Evaluation contains guidelines, advice and suggestions to USAID managers on how to effectively plan and conduct performance monitoring and evaluation activities using the results framework.

- **Conflict Sensitive Monitoring and Evaluation**. May 2005. This brief document produced as part of USAID's Capable Partners Program broadly outlines key principles for conflict-sensitive M&E.

- **USAID/OFDA Guidelines for Proposals and Reporting**. July 2004. This comprehensive guide covers the OFDA proposal review and grant award process and guidelines for OFDA proposal development. Page 70 contains a sample performance monitoring plan.

Note: Although most donors will issue some form of proposal guidelines, many do not have their own log frame models. BPRM, OFDA, UNHCR and SV are examples of IRC's major donors that do not require specific donor log frames.

Annex 2: Creating a Work Plan

Activity	Person Responsible	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct
Hire and train staff											
Increase consumption of safe water											
1. In consultation with community map sites for wells											
2. Purchase and storage of material											
3. Digging of wells											
4. In consultation w/ comm. id wells for rehabilitation											
5. Purchase and storage of materials											
6. Rehabilitation of wells											
7. Monitoring new and rehabilitated wells											
Increase utilization sanitation facilities											
1. In consultation with community map sites for latrines											
2. Purchase and storage of materials											
3. Organize community input (labor)											
4. Digging of pits with community input											
5. Installation of slabs											
6. Construction of superstructure											
7. Household survey latrine maintenance/hygiene											
Improve hygiene practice											
1. Identify 400 CHCs											
2. Update existing IRC hygiene training manuals											
3. Design and order posters with message in local lang.											
4. Design and order t-shirts with message in local lang.											
5. Train IRC staff to facilitate 5-day hygiene training											
6. Conduct 8 5-day hygiene trainings for 400 CHC vols.											
7. Mobilize CHC volunteers to organize hygiene meetings											
8. Monitor CHC neighborhood hygiene meetings											
9. Plan and hold Health Education Day											
10. KAP survey											
WSCs											
1. Mobilize collectives to hold WSC elections											
2. Monitor WSC elections											
3. Develop WSC training modules											
4. Train IRC staff for WSC training											
5. Purchase training material + WSC supplies											
6. Conduct 8 5-day workshops for WSCs											
7. Monitor and advise WSCs											
8. Follow up WSC trainings											

Annex 3: Monitoring and Evaluation Plan

KEY DEFINTIONS: **What is a monitoring and evaluation plan?**

A monitoring and evaluation plan is both a planning and management tool. It is an extension of the log frame that provides information you will need to track the progress of IRC projects. This requires more than just reporting on completed activities. It means collecting and analyzing data and reporting on project achievements.

Why do you need to include an M&E plan as a part of the proposal?

1. **Planning tool** – The M&E plan maps out how IRC will measure progress. Measuring and reporting on achievements, as opposed to merely activities, requires time and planning.

2. **Communication tool** – An M&E plan helps you "tell the story" of the project.

3. **Focus on what is important** – An M&E plan helps program teams to focus on what is really important by focusing attention on monitoring achievements as opposed to monitoring activities.

4. **Accountability** – An M&E plan assigns responsibility for reporting on specific indicators and gathering baseline data to designated individuals.

5. **Organizational learning** – The information collected and analysis carried out as part of the M&E plan is important "intelligence" for making decisions.

Tools: The M&E Checklist

The M&E plan should answer these questions:

Baseline Data

1. What data will you need to collect for the baseline?
2. What data collection tools (methods) will you use for collecting the baseline data? (consult relevant TU)
3. When will you collect the baseline?
4. Do you have an accurate estimate of how long it will take to gather this data? (consult relevant TU)
5. What resources are required to collect the baseline data?
6. Is collection of baseline data reflected in your work plan?
7. Do you have the technical capacity on your staff?

Planning for Data Collection

8. What data do you need to collect throughout the life cycle of the program in order to adequately monitor your indicators? Be sure you have separated the 'nice to know' from the 'need to know' and are collecting only data that is essential.
9. What data collection tools (methods) will you use?
10. When (how often) will you collect this data?
11. Who will be responsible for collecting this data?
12. Is there sufficient staff and necessary transportation to collect this data?
13. Is this reflected in your work plan?

Planning for Data Analysis

14. How often will you analyze the data you collect?
15. Who is responsible for ensuring the data analysis is conducted?
16. Who needs to participate in the data analysis discussion/exercise? (field staff, key stakeholders, partners, etc.)
17. How will the data be presented?
18. Who is responsible for decision-making based on the data analysis?
19. How will this be communicated to partners (stakeholders and donors)?

Annex 4: Project Evaluation

Project Evaluations

A project evaluation is commissioned to determine if the project objectives are met and gather lessons learned. In contrast, an **impact evaluation** seeks to measure the overall impact and effectiveness of the project towards achieving the goal. This annex covers only **project evaluations**. Impact evaluations at IRC are conducted by the Evaluation and Research Unit.

Project evaluation offers a learning opportunity about what is working and what is not working, and what needs to be improved in the future. Project evaluations are conducted in the middle of the project cycle (called a **mid-term review** or a **formative evaluation**) or at the end of the project cycle (called an **end of project evaluation** or a **summative evaluation**).

Mid-term reviews are undertaken to gain a better understanding of what is being achieved and to identify how the project can be improved for the duration of the project cycle. End of project evaluations focus on determining whether or not objectives were met and the lessons learned from the particular project. Whether you are conducting a mid-term review or an end-of-project evaluation, follow these easy steps:

Commissioning a Project Evaluation

Step 1: Prepare the TOR (terms of reference) for the evaluation.	The project manager or project coordinator should prepare terms of reference (TOR) for the evaluation which outlines the background for conducting the evaluation, specific tasks or duties of the evaluator, the expected outcomes (deliverables) of the evaluation, anticipated time frame, the required qualifications of the evaluator and any specific instructions. This initial statement of work is summarized in the TOR (terms of reference) and submitted to the TU for review.
Step 2: Select the evaluator.	The TOR must be approved by the supervisor and/or Technical Coordinator and/or Program Coordinator and/or DD of Programs. The regional director must approve it before it is submitted to HR with the other appropriate paperwork (Overseas Recruitment Request form or Local Recruitment Request form) to begin the process of selecting an appropriate evaluator.
Step 3: Prepare the evaluation work plan.	The evaluator prepares a work plan that describes in detail how the evaluation is to be carried out. Both the project manager/coordinator and the TUs should review the work plan.
Step 4: Collect and analyze data.	Evaluator executes the work plan in the field.
Step 5: Write and review evaluation report.	The evaluator prepares a report that summarize the findings, lessons learned and recommendations. Project manager /coordinator and TUs should be involved in reviewing and approving the evaluator's report.
Step 6: Share information.	TUs communicate the results and lessons learned from the final evaluation report within IRC. Project managers/coordinators share the results and lessons learned form the final report with stakeholders and partners in the field.

What should be included in the Terms of Reference (TOR)?

Include the following parameters in the TOR for a project evaluation:

Title: Specify title, supervisor and location(s) where the evaluation will be conducted.

Background: Describe what is being evaluated and why the evaluation is necessary. What factors influenced the decision to undertake the evaluation? What is the value-added expected from the evaluation? Identify how the evaluation is to be structured by listing specific the central and significant questions and issues to be addressed by the evaluation.

Specific duties: Provide a list of the main tasks the evaluator is expected to undertake. Ensure that the level of information is sufficiently adequate and direct to inform the evaluation work plan.

Expected outcomes: Describe the deliverables to be produced by the evaluation, often in the form of an evaluation work plan, evaluation findings, recommendations, analysis, training manuals/materials and presentation on findings/recommendations.

Time frame: Give the timeframe for the consultancy, broken down into specific stages/steps when appropriate.

Qualifications: Identify the minimum requirements the evaluator must possess, specifying experience, expertise and specific skills and expertise with specific methodologies.

Logistics/working conditions: Provide any additional information relevant to carrying out the evaluation, such as how travel or transportation arrangements will be handled when relevant.

Annex 5: Proposal Review Process

FINANCE AND GRANTS UNIT SUMMARY OF THE REVIEW PROCEDURES
FEBRUARY 2005

Proposals Required To Be Reviewed by Finance NY:

All proposals to US government agencies and US based foundations regardless of amount.
Proposals to other donors with budgets in excess of $200,000.

Proposals Required To Be Reviewed by Grants & Contracts Unit:

All proposals (including extensions) to US government agencies regardless of amount.

Proposals Required To Be Approved by the CFO (Pat Long):

All proposals to BPRM regardless of amount.
All budgets in excess of $1,000,000 regardless of donor. This represents the budget for the total program being implemented, not the individual grants.
All budgets requiring matching funds. This applies whether IRC is the direct or the sub-recipient of the funding.
All budgets equal to or greater than $250,000 that do not earn ICR.

Proposals Required To Be Approved by the Director, Grants & Contracts Management and Compliance Unit (Jose Roman):

All proposals to USG requiring matching funds.
All USG budgets in excess of $500,000. This represents the budget for the total.

Who Reviews Proposals?

Primary Reviewer : Regional Controller
Backup Reviewer: To be determined
G&C Unit Reviewer: Reviewed immediately after the Primary Reviewer

Note: All budget proposals should be sent to the related Regional Controller with copy to the backup reviewer. It will be up to the Regional Controller to let the backup reviewer know if and when he/she is not available to review the proposal.

Required Documents:

Properly Completed Request for Proposal Review and Executive Staff Proposal Review Checklists
Budget and Budget Narrative
Proposal Narrative
Properly Completed Budget Checklist

Deadline of Submission to NY:

Proposals to European Donors - at least 7 working days before the submission deadline
All other proposals - at least 5 working days before the submission deadline

URGENT

INTERNATIONAL RESCUE COMMITTEE

EXECUTIVE STAFF PROPOSAL REVIEW SHEET

Please return to:		**By this date:**	
Donor:		**Deadline for Submission:**	
Country:			
Proposed project:			

This proposal meets the following criteria and requires approval by the officers indicated below. **The officer with primary responsibility is listed first, followed by those authorized to act in that person's absence.**

Officer	**Check if Signature is Required**	**Reason**	
		Any Project Budget >= $1,000,000	**Requires Matching Contribution**
Director, Grants & Contracts Management & Compliance Unit			
VP Overseas (Senior Director for Operations, Senior VP, President)			
VP Finance/CFO (Director, International Finance)			
President (Senior VP)			

Reviewer	**Approved as is, (or with comments below) (sign)**	**Return for revision (sign & attach notes)**	**Date**
VP Overseas (Senior Director for Operations, Senior VP, President)			
VP Finance/CFO (Director, International Finance)			
President (Senior VP)			

Comments:

(Please include your name with your comments. Use back of sheet or additional pages if necessary.)

Annex 6: Sample Log Frame

Project Strategy Statements		Indicators	MOV	Critical Assumptions
Goal	Improve living conditions and quality of life for 50,000 IDPs and host community members of Darbur Health District by reducing risk of excess morbidity and mortality			
Objective	Reduce the risk of excess morbidity and mortality caused by water borne diseases for 50,000 IDPs and host community residents of Darbur Health District by the end of the project	[5] See footnote below		
Effects	1. Increase consumption of safe water by target population to at least 15 liters/person/day by month 6	• 95% of target population consume at least 15 liters safe water/person/day	Systematic household survey carried out by trained project staff every three months, direct observation through monthly site visits	The peace process is consolidated and there is no new influx of IDPs or refugees
	2. Increase utilization by target population of adequate sanitation facilities by month 6	• Ratio of latrine coverage at 1:40 by month 3 • Ratio of latrine coverage at 1:20 by month 6	Systematic household survey carried out by trained project staff months 6 and 8 Direct observation and project reports	The current political and security situation remains stable enough to allow IRC teams access to sites
	3. IDPs and host community members in Darbur practice sound hygiene by month 6	• 80% of household latrines visited are adequately cleaned and maintained as indicated by absence of fecal matter on slabs • 80% of household latrines visited have basin and soap for hand washing • 60% of target population store water in clean and covered containers	Systematic household survey carried out by trained project staff in months 6 and 8, direct observation through monthly site visits KAP survey carried out in months 2 and 10	
	4. Wat/San Committees (WSCs) establish cost-recovery system for well maintenance and have transparent accounting procedures in place by month 7	• 95% of WSCs have properly maintained ledger of accounts • 95% of WSCs hold at least 1 monthly meeting beginning in month 7 of project with 70% attendance • 95% of WSCs post minutes of meetings and WSC decisions in a public place	Direct observation, monthly site visits	

[5] There are numerous factors that impact morbidity and mortality rates. There is also scientific evidence indicating that increasing consumption of safe water and latrine coverage (major components of this log frame) will impact morbidity and mortality. This DM&E guide is intended as a comprehensive guide for project planning for all sectors and it is beyond its scope to include a detailed and technical discussion of EH impact indicators specifically. Consult the IRC EH Technical Advisor/Unit or the IRC Environmental Health Guide for detailed technical information on appropriate EH impact indicators. Remember, regardless of the program sector, always consult your IRC technical unit for guidance in selecting appropriate impact indicators.

Outputs	1.1 30 shallow wells supply target population with safe water by month 4	30 shallow wells dug 100% of wells have water quantity > 9000 liters/day 100% of wells have water quality = 0 fecal coli forms/100ml	Project records Flow measurements after construction Monthly del-agua water testing carried out by trained field staff	Required materials and services available in sufficient quantities and at reasonable prices
	1.2 15 rehabilitated wells supply target population with safe water by month 3	15 wells rehabilitated 100% of rehabilitated wells have water quantity = 9000 liters/day 100% of rehabilitated wells have water quality = 0 fecal coli forms	Direct observation, project records	Rates of currency do not fluctuate beyond reasonable margins
	2.1 400 household pit latrines established by project with community involvement by month 6	400 pit latrines dug At least 100 labor days provided by community for digging latrines (=100 people/1 day or 50 people/2 days or 25 people/4 days, etc.)		Host government policies remain consistent and favorable towards NGOs
	3.1 Community Health Committees (CHCs) formed and trained by month 4	400 CHC volunteers receive 5-day hygiene training 25% improvement on average hygiene knowledge of CHC volunteers	Participant lists from training Pre and post tests from 5-day training workshop	
	3.2 Posters, training guides, T-shirts and other promotional material produced in local language providing key hygiene messages by month 4	500 posters, 250 t-shirts, 100 training guides produced	Project records	
	3.3 Information campaign targeting hygiene launched by month 6	CHC volunteers hold 400 neighborhood hygiene meetings with at least 50 participants/meeting At least 1000 community members attend a Health Education Day	Meeting sign-up sheets Direct observation	
	4.1 20 WSCs established by month 3	20 administrative zones convene meetings with at least 100 participants to elect WSC members 20 administrative zones elect 20 WSCs w/10 members/committee, of which at least 30% are female	Meeting sign-up sheets Meeting minutes Direct observation (IRC staff attend meetings)	
	4.3 WSC training modules developed by month 4	WSC training modules developed	Project records	
	4.3 200 WSC members trained by month 5	200 WSC members participate in 5-day training covering hygiene, bookkeeping, managing a cost-recovery system and communication skills 25% improvement in WSC knowledge of hygiene, bookkeeping, and managing a cost-recovery system	Participant lists Pre and post test scores	

Major activities	Hire and train staff In consultation w/ communities map sites for wells Purchase and storage of material Digging of wells In consult w/ communities, id wells for rehabilitation Purchase and storage of materials Rehabilitation of wells Monitoring of all wells In consultation w/ communities map sites for latrines Purchase and storage of materials Organize community input Digging of pits with community input (labor) Installation of slabs Construction of superstructure Household survey of latrine maintenance/usage Identify 400 CHC volunteers Update existing IRC hygiene training manuals Train IRC staff to facilitate hygiene training Conduct 8 5-day training workshops Design and order posters w/message local language Design and order t-shirts w/message local language Mobilize CHC volunteers to organize hygiene meetings Monitor CHC neighborhood hygiene meetings KAP survey Mobilize collectivities to hold WSC elections Monitor WSC elections Develop WSC training modules Train IRC staff for WSC training Purchase training material + WSC supplies Conduct 8 5-day workshops for WSCs Monitor and advise WSCs Follow up trainings for WSCs	**Major Inputs:** 1 senior engineer, 1 hygiene promotion specialist, 4 wat/san technicians, 10 community mobilizers 10 motorcycles, 2 land cruisers, 1 5-ton truck (other vehicles would be rented) Wells: tripod, pulley, ring molds, dewatering pump, generator, cement, sand, gravel, rebar, picks, shovels, buckets, rope, safety equipment Latrines: lumber, iron sheet, latrine slabs, hand washing facilities, picks, shovels, buckets, rope, safety equipment Training supplies, KAP consultant		

GLOSSARY

Activity monitoring – process of verifying that project activities are carried out as planned.

Baseline assessment – an assessment that takes place after the project is designed but usually before it begins or at start-up that provides a snapshot view of the circumstances before the project so changes in indicator can be tracked throughout the life of the project.

Causal relationship – means that X causes Y to occur. The achievement of X is necessary for, and contributes to, the achievement of Y.

Critical Assumptions – factors that lie outside the direct control of the project but can influence its success. Critical assumptions answer the question 'under what circumstances will this project strategy succeed?'

Design – developing a project strategy and planning for monitoring and evaluation using a log frame. This involves thinking logically about the project and what you want to accomplish.

Effects – changes in behavior of the conflict-affected population.

Evaluation – method that reports on progress of actual versus expected results. Information and learning from evaluation are used to inform future projects and organizational learning.

Financial Monitoring – process of verifying that funds are used efficiently and as planned.

Goal – the overall purpose towards which the project contributes but alone cannot achieve. Other factors and other projects also contribute. The goal articulates the durable solution to which the project is contributing.

Impact evaluation – method for evaluating impact by incorporating into project design.

Indicators – characteristics that you measure to show whether or not proposed changes have occurred.

Input monitoring – process of verifying that resources (human and material) are mobilized as planned.

Institutional monitoring – process of assessing management, communications, human resources or policy implementation of an organization.

Iterative – a process of continually drafting and revising, drafting and revising.

Major activities – major tasks carried out by project personnel.

Major inputs – major resources needed to carry out project activities.

Means of verification – the method used to gather the data necessary to track a particular indicator.

Monitoring – monitoring of project performance is an ongoing internal function that involves data collection and data analysis throughout the life of a project. Information and learning gleaned from monitoring activities are used to make adjustments during the life cycle of the project.

Monitoring and evaluation plan – a planning and management tool used to track progress of projects.

Needs and resource assessment – method for gathering relevant data on the scale and scope of the problem, the relevant and perceived needs created by the problem and local solutions and resources available to address the problem.

Objective – the part of the goal that the project will achieve.

Outputs – goods and services produced directly and immediately by the project. Outputs can include changes in people's knowledge or attitude.

Output monitoring – process of verifying that goods and services produced by the project are of quality, quantity and timeliness specified in the log frame and work plan.

Participatory methodologies – methods of gathering data or implementing projects that solicit involvement of key stakeholders.

Project evaluation – method to determine if project objectives are met and gathering lessons learned to inform future projects and organizational learning.

Project strategy statements – statements in the far left hand column of the log frame that summarize the elements of the project strategy.

Program – larger scale, multi-sectoral.

Proxy – substitute.

Qualitative assessments – method of gathering data on the community's perspective. Qualitative assessments provide information on people's needs, values and the problems they face. This information guides project implementation.

Quantitative assessments – method for gathering data on what is available and what is not.

Stakeholders – this includes individuals and communities who are involved in the programs, or local CBOs (community based organizations) or NGOs as well as community leaders, local authorities, etc.

Targets – specification of desired results or performance for an indicator within a given timeframe or quantity. There is a target associated with every indicator.

Triangulation – comparing information from more than one source to confirm that data is correct.