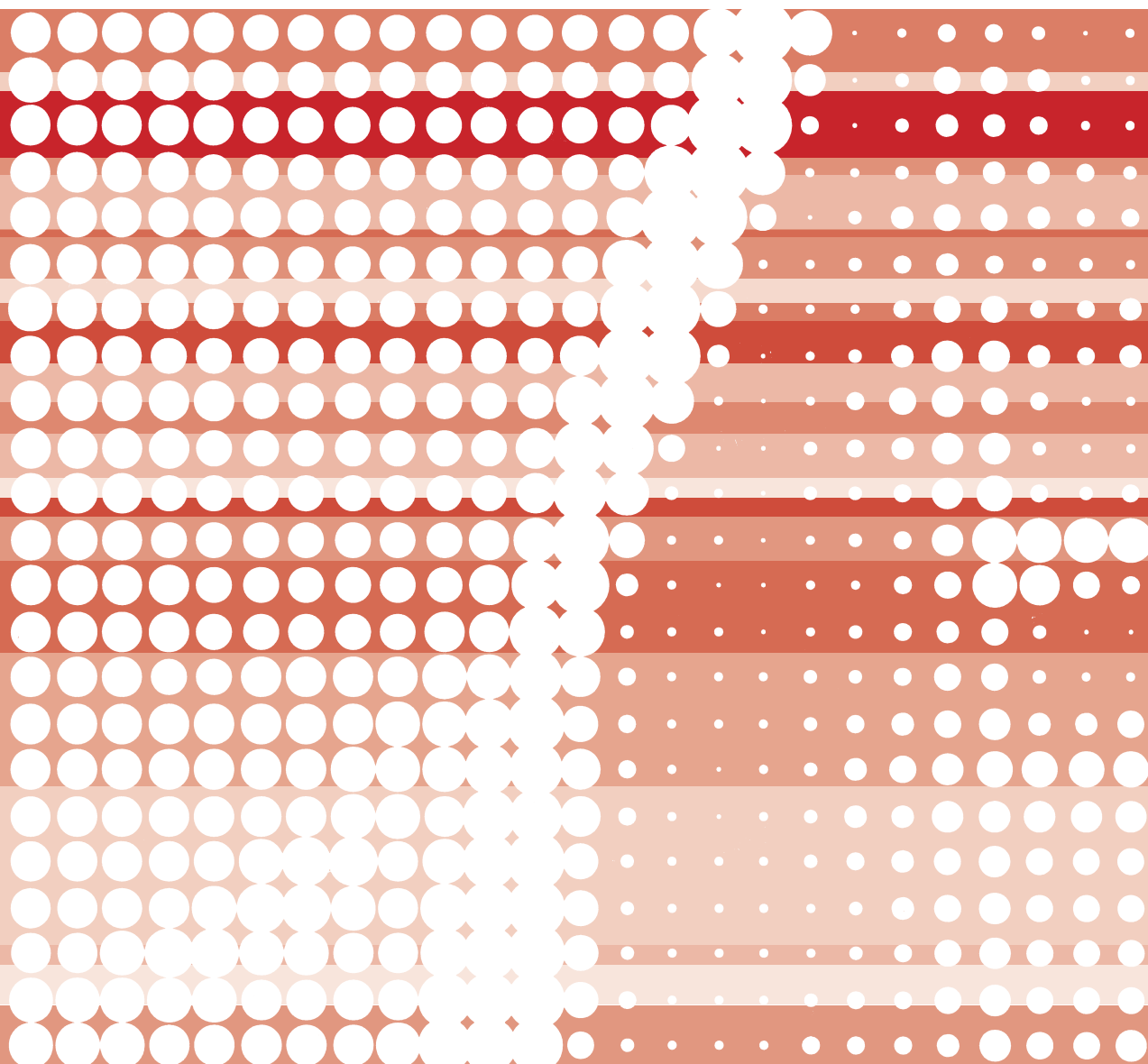


HANDBOOK

Of participatory project planning

PART 2



Practical instructions for trade union organisations on
the identification and formulation of projects

Guidelines developed by FNV the Netherlands, LO/FTF Denmark, LO-TCO Sweden, LO Norway and SASK Finland

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IV Project Identification

4.1 Introduction

This second part of the Handbook of participatory project planning can be used on its own and it is designed to support the project planning of trade union organisations in a very stepwise and structured way. It is part of the joint guidelines for international project co-operation that are promoted by the Nordic-Dutch trade union centres.

Part two explains the procedure for participatory project planning along with practical instructions. It focuses on the Logical Framework Approach (LFA) as a tool for planning, monitoring and evaluation, as it allows for designing projects in a systematic and logical way. Special attention in this manual is given to integrating the participatory approach and gender analysis into project design.

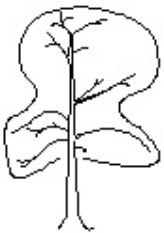
Chapter IV provides instructions for the analyses in the phase of project identification. The broad outlines of the project are established on the basis of these analyses. Chapter V concentrates on designing the project in further detail, which is the phase of project formulation. In the annex there is a list of guiding questions to facilitate the implementation of the planning procedure.

In implementing the presented planning procedure it is important to bear in mind the following reminders:

- The process of project planning according to the Logical Framework Approach is comprised of a number of main elements that largely interact with one another. Each of them has to be considered carefully before a project is implemented.
- The sequence in which the different planning elements are presented helps to keep tracking the different aspects of the planning process. However the planning process is far from linear as the sequential order of the planning elements might suggest. It constitutes a dialectical learning process that is cyclic by its nature and evolves in time.
- In practice, the planning process involves switching backwards, forward and sideways between the different planning elements. At different points in the planning process it may become clear that you'll have to return to a foregoing point to incorporate new insights and facts that had not been acknowledged before. Doing so will improve the project design.
- Many of the planning elements involve analysing the issue you want to address each time from a different angle. Although it might seem to be an elaborate and time-consuming approach, in the longer run it will prove to be an investment in the quality of your project and will therefore pay itself back later.
- Although the planning procedure provides for a standard format, it can be applied in a more or less elaborate way depending on the magnitude of the problem to be addressed. It is meant to serve as a compass; it is a tool helping to find a way to tackle trade union issues more successfully. General directions need to be followed, but there are flexible means to arrive at the destination.

- The best way to familiarize oneself with the LFA is by living it in practice under the guidance of a more experienced professional. Only then this handbook will become an important reference material.
- Within each paragraph of this chapter the main instructions for filling in the corresponding part of the Application Form are summarized in a box. In brackets you'll find the number which corresponds to the part of the Application Form to be filled in. Each element of the planning process has been numbered for the purpose of facilitating the filling in of the Application Form.

Please note that throughout this handbook the term “project” is used to signify all sorts of trade union activities, including projects, programmes, studies, etc.



4.2 Background history and previous experiences

Analysing the background history of the problematic situation and previous experiences with problem-solving will provide useful information for the planning process. Participation of the different parties concerned (or their representatives) is of great importance at this stage.

Background and experiences (1)

- *Discuss possible subjects and then decide on the subject of the workshop*
- *Discuss the labour market and trade union situation in the country concerned*
- *Pay particular attention to the area or region in which the problems to be addressed by your project are occurring*
- *Discuss previous relevant experiences, that have been acquired in this area or region*
- *Summarise the information collected from the background history and previous experiences*
- *Include this summary in the Application Form _ 4A*

When the background history and previous experiences are discussed, a lot of information will come forward. Concentrate on the headlines and only describe what is really relevant for the issue concerned. For instance, it is important to indicate whether the project forms a part of a larger program or is a continuation of a previous intervention.

Example: The transport sector is historically predominated by governmental institutions and explains the genesis of the trade unions involved. The historical analysis makes clear that the government has suppressed the trade unions and has hindered them from effectively representing the interests of the union members.



4.3 Participation analysis

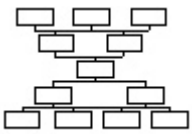
Participation analysis is aimed at getting a clear picture of the parties that are related to the problematic situation and of their role in the realisation of improvements. Their role in the planning of the project needs to be established, too, and their involvement should be organised accordingly. In identifying the parties concerned one needs to consider all possible groups, individuals or organisations that may have an effect on or may be effected by the problems you want to address with your project, either positively or negatively. The analysis helps to identify whose problems and priorities should be taken up for a deeper analysis.

Participation analysis (2)

- Identify all parties involved by writing down all the parties affected by the problems you want to address
- Categorise them according to certain criteria of importance
- Discuss whose interests and views are to be given priority, taking into account gender aspects.
- Summarise the derived information in the format for participation analysis as shown in the table below the guiding questions
- Include the completed format in the Application Form: _ 4A

Example: In the transport union sector the different parties involved are:

- *government institutions: governmental transport companies, the government as lawmaker, and as policymaker*
- *private bus companies*
- *different categories of employees of the transport companies:*
 - government employees
 - employees in the private sector
 - male employees
 - female employees
 - employees according to their position in the organisation (bus drivers, secretaries, cleaning personnel, etc)
 - employees that are union members
 - employees that are not a members



4.4 Problem analysis

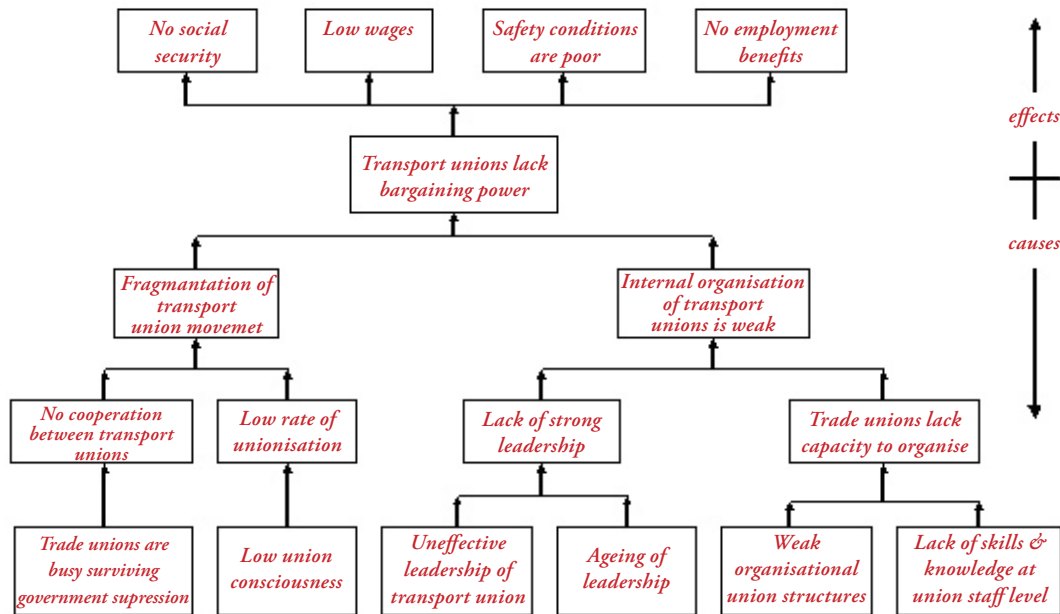
In the problem analysis the existing situation is analysed on the basis of the available information: i.e. the major problems and the main casual relationships between them are identified. A useful tool in problem analysis is the ‘problem tree method’. An example of a problem tree is given below.

Problem analysis (3)

- Identify major existing problems – not possible, imagined or future ones
- Select a central problem and identify its causes and effects
- Visualise this problem, its causes and its effects in a problem tree as explained (or use another method for problem analysis)
- Summarise the information derived from the problem analysis stating the central problem, its causes and the effects
- Include the narrative summary of the problem analysis in the Application Form: _ 4A

The development of a problem tree is a method showing the cause and effect relationships between the identified problems. Cards are used to write down the focal problem, its causes and effects and to visualise their interrelations:

PROBLEM TREE OF A TRANSPORT UNION SITUATION

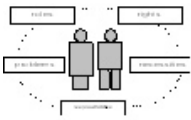


The problem tree method involves the following steps:

- ✓ Write the problem down on a card and put it in the centre
- ✓ Identify substantial and direct causes of the problem and place them side by side underneath it.
- ✓ Identify substantial and direct effects of the problem and place them side by side on the line above it.
- ✓ Identify more causes and effects along the same principle to form the problem tree. Review the problem tree, verify its validity and completeness, and make the necessary adjustments
- ✓ The problem analysis can be concluded when the participants are convinced that all essential information has been included in the problem tree.

In developing a problem tree the following suggestions will help:

- ✓ Check the subject or problem area and limit the discussion to the issue that will be addressed in the project; avoid byways in the discussion.
- ✓ Make sure information of all the stakeholders is included in the problem analysis, also including those that do not participate directly.
- ✓ Strive for reaching an unambiguous agreement about the problem tree amongst the participants
- ✓ Scope, in order to sort out what can and cannot be dealt with in a project
- ✓ Make a record of the way the problem analysis and planning process took place (when, with which stakeholders, which method was used etc.)



4.5 Gender analysis

Gender analysis focuses on the roles, rights and responsibilities, problems and necessities of women and men, and their dynamic interrelations. The aim of gender analysis is to provide solutions and mechanisms which benefit both women and men and their respective needs. Trade union projects can be distinguished into three categories according to the kind of gender issues they seek to address:

- Gender inequality in the workplace / labour force:
- Gender inequality in trade unions:
- Gender inequality as related to broader issues:

Of course, the gender dimension is already looked into in the participation analysis and problem analysis by asking questions about the specific roles and contributions of women and men. However, it will prove fruitful to do a separate analysis of gender, because the gender dimension is easily overlooked, being a difficult topic to discuss. Gender analysis helps to discuss the issues at stake from the different point of views men and women have on problems, interests and needs.

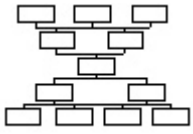
Gender analysis (4)

- Identify the roles, rights and responsibilities, problems and necessities of women and men involved in the issues to be addressed, their causes and effects
- Incorporate this information into the problem tree and make adjustments where necessary
- Summarise the main gender issues and include this summary in the Application Form: _ 4A

Example: Look back at the presented problem tree. There are still gender questions to be clarified, like for instance: Are women allowed to assume leadership positions? If not, why? And what can be done in practical terms of action to remove barriers, for example in terms of training or in terms of selection criteria? Answering these questions implies rewording parts of the problem tree, for instance with the following specifications:

	<i>Cause level</i>			<i>Effect level</i>
Lack of skills & knowledge at union staff level	Ageing of leadership	Low union consciousness	Low rate of unionisation	Low wages
-	-	-	-	-
<i>Add card: "Low participation of female union staff in training"</i>	<i>Add card: "Informal women leaders are not recognised as potential formal leaders"</i>	<i>Adjust text: "Low union consciousness, especially among female workers"</i>	<i>Adjust text: "Low rate of unionisation, especially among female workers"</i>	<i>Adjust text: "Low wages, especially for female workers"</i>

In practice changes might occur in the problem tree due to this analysis. Purely for presentation reasons the example of the problem tree given in this handbook is kept as first presented.



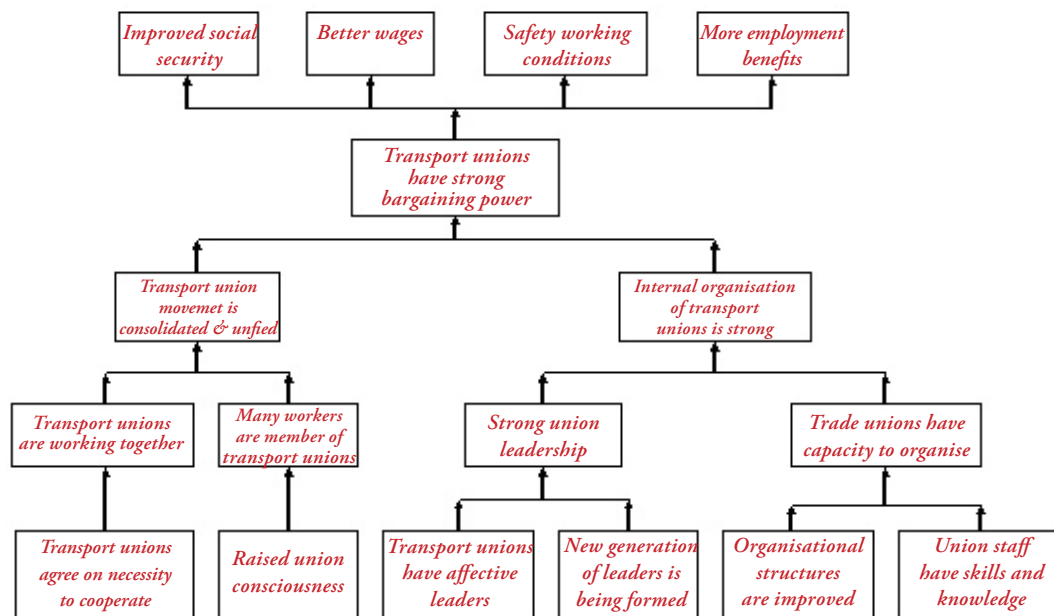
4.6 Objectives analysis

The purpose of objectives analysis is to spell out what the project should contribute to: the future desired situation. In the objectives analysis presented below, the problem tree is transformed into a tree of objectives and analysed.

Objectives analysis (5)

- Reformulate all elements in the problem tree into positive statements that picture desirable conditions
- Use the positive statements to make an objectives tree
- Assure that the objectives tree is complete and make adjustments where necessary.
- Give a summary of the desired situation that results from the objectives tree
- Include the summary in the Application Form: _ 4A

OBJECTIVES TREE OF A TRANSPORT UNION SITUATION



Rewording each of the earlier defined problems into a feasible, achievable and desired state derives objectives. A ranking of objectives will evolve, just like the hierarchy of the causes that have led to the problem. In general different levels can be identified which vary in scope and concreteness.

Problems category: “If cause A, then effect B”

If the bargaining position of trade unions in the transport sector is weak, then the effects are multiple: few social security facilities, low wages, poor safety conditions and no employment benefits

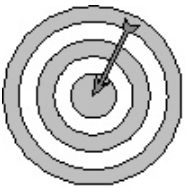
Objectives category: “Means X in order to achieve end Y”

A strong bargaining position of trade unions in the transport sector will lead to a situation of improved social security, better wages, safe working conditions and employment benefits

Suggestions for developing the objectives tree:

- ✓ Working from the top downwards, all problems are reworded into objectives (positive statements)
- ✓ Check whether the hierarchy is still consistent and logical, or in other words: that meeting the objectives at one level is sufficient to achieve the objective at the next level. Working from the bottom upwards, ensure that the cause-effect relationships have become means to an end relationships. Add new objectives where necessary
- ✓ Revise the statements. Write a replacement objective, if the statements do not make no sense after being reworded on the basis of problems, or leave the card with the problem unchanged (but in place)
- ✓ Draw lines to indicate the means-ends relationships in the objectives tree.
- ✓ Every cause-effect relationship does not automatically become a means to an end relationship. This depends on the wording
- ✓ The desired situation which is strived for in the long run will result from the statements which are visualised in the top of the objectives tree

Certain objectives might seem unrealistic, too ambitious or not feasible within the trade union's context. However, at this stage of the planning all possible ways to achieve the desired future situation are still considered. The selection of possible interventions is done later on in the planning process (strategy analysis).



4.7 Identification of target groups

As soon as the future desired situation has been identified, it is possible to identify the different people and organisations that will benefit from it. The explicit identification of the target group will ensure that the benefits resulting from the project will actually be delivered to its intended beneficiaries. More specifically, it is necessary to determine who will benefit directly from the project and who will benefit indirectly.

Identification of the target group (6)

- *Derive from the objectives tree, participation analysis and gender analysis those groups, institutions or individuals that will benefit directly and/or indirectly from the future desired situation*
- *Identify criteria for selecting the target group that will benefit from the project intervention (directly and/or indirectly)*
- *Decide which group will be targeted (direct and indirect beneficiaries)*
- *Give a description – both qualitative and quantitative - of the selected target group using gender sensitive wording and selection criteria*
- *Include this description in the Application Form: _ 4A*

Example: In the case presented in the foregoing analyses, trade union staff can be identified as an important target group, and within this target group women can be targeted explicitly to benefit from the project. All members of the transport unions can be considered as indirect beneficiaries.



4.8 Strategy analysis

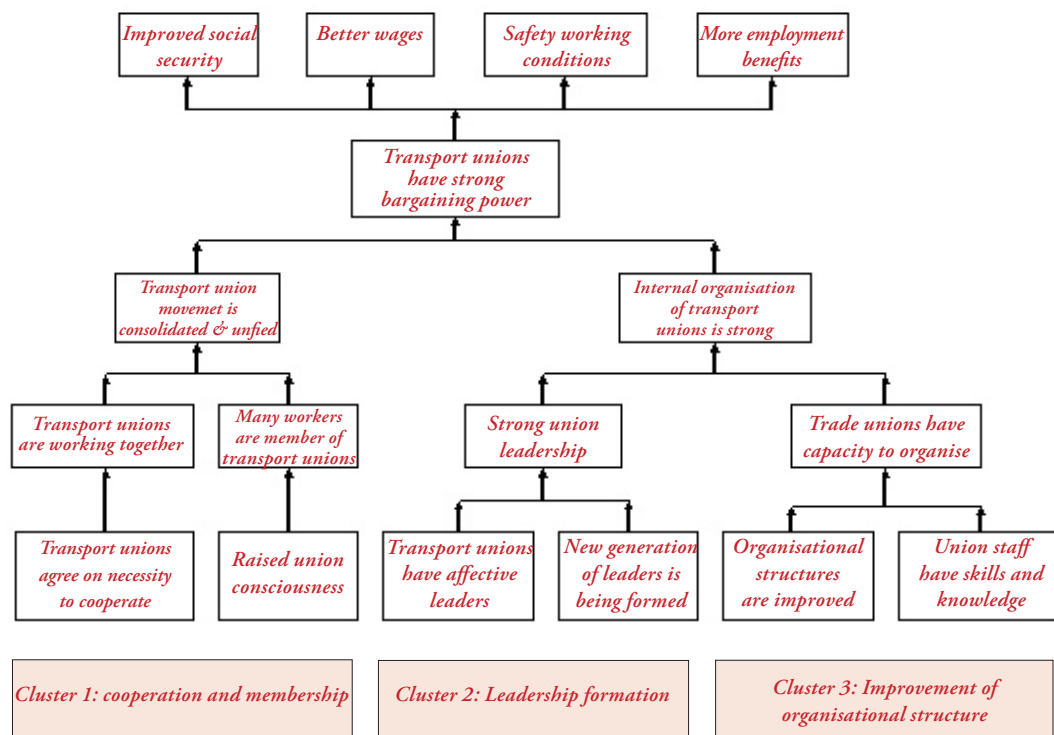
The purpose of strategy analysis is to select the best course of action to achieve the objectives, considering your possibilities and identity as a project executor. After having identified a range of

possible alternative strategies, their feasibility is assessed. Out of these the most promising and suitable strategy (or sometimes strategies) is selected and agreed upon as *the* project strategy. This is done on the basis of clustering, which simply means grouping the objectives.

Strategy analysis (7)

- Use the objectives tree to identify different groups of objectives contributing to a higher objective (clustering)
- Discuss the different strategies that result from the clustering exercise
- Make a decision on the strategy for the project intervention, thus choosing the scope of the project (scoping).
- Describe the chosen strategy including the main criteria for its selection
- Include this description in the Application Form: _ 4A

STRATEGY ANALYSIS OF A TRANSPORT UNION SITUATION



The clusters lead us to the definition of the strategy.

Suggestions for clustering:

- ✓ Consider as clusters those objectives that share the same nature, for example based on the similarity of possible future actions, regions or required expertise.
- ✓ Concentrate the clustering on common sense and practical value
- ✓ The clusters should neither be too broadly nor too narrowly defined
- ✓ Exclude unrealistic objectives and prioritise those objectives that certainly should be included.

Suggestions on choosing and defining the strategy:

- √ Addressing all the causes will probably not be within the scope of your trade union. Focus on the causes that you can reasonably tackle. However, do not disregard the causes that will not be addressed in the project. They can put a risk to the feasibility of your plans.
- √ Think if there are other actors present who will form a strategy.
- √ The most realistic approach is to assume one strategy (maximum two) within the project

V Project Formulation

The phase of project formulation concentrates on designing the project in further detail and determining its intervention logic. In this chapter the use of the so-called **SMART**-criteria is recommended to avoid that formulation terms remain vague. This is an abbreviation that stands for:

- **Specific:** pointed at a clearly limited area of competence
- **Measurable:** allowing for measurement of progress
- **Acceptable:** acceptable for the environment involved
- **Realistic:** pointing out what is achievable in a realistic way taking into account assumptions and preconditions
- **Time-bound:** pointing out the time limit of fulfilment

5.1 Project Planning Matrix

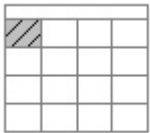
In this paragraph the Project Planning Matrix or log frame is used to summarize project design. In completing the project planning matrix it is useful to bear in mind that :

- The presented structure is offered to keep track during the planning process and should be used and interpreted accordingly;
- In practice a lot of switching between the elements will take place. This means that first you work downwards in the matrix, starting with the formulation of the intervention through objectives and ending up with the activities. After that you formulate upwards - starting at the level of the results - with the formulation of the assumptions. While formulating the assumptions you might have to adjust the formulation of the objectives and results. The same is true once you start defining the indicators.

Project Planning Matrix			
<i>Development objective</i> <i>Which benefit can we expect from the project at society level?</i>	<i>Indicators¹</i>	<i>Sources of Verification</i>	<i>Assumptions</i>
<i>Project objective</i> <i>How does the target group benefit from the project results?</i>	<i>Indicators</i>	<i>Sources of Verification</i>	<i>Assumptions</i>
<i>Expected results</i> <i>What does the project deliver in terms of goods and/or services?</i>	<i>Indicators</i>	<i>Sources of Verification</i>	<i>Assumptions</i>
<i>Activities</i> <i>What are the concrete tasks to be performed by the project??</i>	<i>Input</i>	<i>Costs</i>	<i>Assumptions</i>

¹ Although formulation of indicators at the level of the development objective is desirable, it often proves to be a complex exercise.

- The number between brackets within each box refers to the main instructions for filling in the corresponding part of the Application Form;
- The required information can be derived with other methods than those presented in this manual.



Development objective

The development objective is a high level objective to which the project intervention will contribute. It determines what the project should contribute to at society level in the long term – i.e., after the project has ceased. The development objective cannot be achieved by the project alone; other interventions by other actors will also lead to its realisation.

Development objective (8)

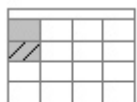
- *Derive one development objective from the objectives tree, see to it's SMART and gender sensitive formulation, and make adjustments if necessary*
- *Incorporate the development objective under 4B Project Intervention in the Application Form**

(* or use the project planning matrix in the annex)

For the development of the examples we have chosen the following two strategies: 1. Leadership formation and 2. Improvement of organisational structures in order to reach a strong internal organisation of the transport union.

Example of a development objective:

Contribute to the establishment of better wages, improved social security, safe working conditions and more employment benefit of the transport workers in Thailand



Project objective

The project objective refers to the *effects* which the project is expected to create for the intended beneficiaries. It is precisely stated as a future condition, therefore determining what will be *achieved* at the end of the project. These should be tangible benefits expressing how the beneficiaries use the project results. There should be a fair chance that these objectives will be realised by the project intervention.

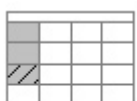
Only one project objective is established in order to prevent the project intervention from becoming too complex and too difficult to manage. Instead of one intervention featuring two project objectives, it is preferable to plan separate (parallel and inter-related) interventions.

Project objective (9)

- Derive one project objective from the objectives tree, formulate it SMARTly and in a gender sensitive manner, make adjustments if necessary
- Incorporate the project objective under 4B Project Intervention in the Application Form
- Check if the intervention logic is still in tact. Make adjustments if necessary.

Example of a project objective:

Improve the bargaining position of the transport unions in the 6 regions of Thailand, by building a strong internal organisation.



Expected results

The expected results are the outputs of the work that the project should be able to guarantee. They describe the actual results that the project is expected to achieve after the project activities are finished.

The project management is expected to achieve and sustain these results within the life of the project. The combined impact of the expected results should be sufficient to achieve the project objective. Note that, while the project management should be able to guarantee the expected results, the project objective is beyond their direct control.

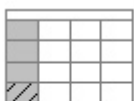
Expected results (10)

- Select from the objectives tree the statements that – following the means to an – end logic – lead to the project objective and translate them into results
- Add additional results necessary to realise the project objective.
- Incorporate the gender sensitive and SMARTly formulated results under 4B Project Intervention in the Application Form
- Check if the intervention logic is still in tact. Make adjustments if necessary.

Example of expected results which contribute to the project objective:

Result 1: Leadership formation. A new generation of capable and innovative leaders, which include women, is filling a considerable number of the leadership positions in the supported transport unions.

Result 2: Organisational capacity. Key members of the trade union staff have all received professional training in organisational skills and are implementing the new approved organisational structure.



Activities

It is necessary to identify the work, investigations and tasks to be carried out by the project staff and others involved by the project. An activity is an action which is necessary to transform the given inputs into the expected results within a specified period of time.

The activities to include in the project design have to be target-oriented: tasks that are not geared to producing one of the expected results should not be listed (for instance, routine administration tasks). Also, at this stage of project design it is important to keep the overview of the main elements of the project at the decision-making level avoiding detailed planning (this is a separate exercise).

Activities

- *Select from the objectives tree statements that – following the means to an -end logic – lead to the results and translate them into the activities.*
- *Add additional activities necessary to realise the project objective*
- *Check if the intervention logic is still in tact. Make adjustments if necessary*
- *The overview of activities is included in the Application Form linked to the expected results (10). It should also be used as a basis for the required inputs (15) and work plan (17).*

Examples of activities:

Ad Result 1. Leadership formation

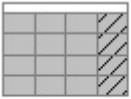
1.1 Training of current unions leaders in effective leadership skills

1.2 Formation of staff and would be-leaders in leadership skills

Ad Result 2. Organisational capacity

2.1 Improvement and change of organisational structures

2.2 Training of union staff in organisational skills and knowledge



Assumptions and preconditions

The fourth column of the Project Planning Matrix includes the assumptions and preconditions. These are outside direct intervention control, but vital for achieving a successful project implementation. Assumptions and preconditions are external factors for which the project intervention is not responsible, although they influence to an important degree the realisation of the development objective, the project objectives and expected results. Special attention has to be given to the incorporation of additional measures, possible killer assumptions and preconditions.

Assumptions and preconditions (13)

- *Identify assumptions and preconditions by analysing the objectives tree from the bottom and work upwards, from result level to objective level.*
- *Also check the objectives that were not included into the project design.*
- *Word the assumptions and preconditions as positive conditions*
- *Describe the assumptions and preconditions in such detail that they can be monitored.*
- *Include the descriptions at their level under 4B Project Intervention in the Application Form*
- *Check if the intervention logic is still in-tact. Make adjustments if necessary.*

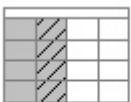
Example of assumptions:

At project objective level:

- *It is assumed that the positive signals within the government institutions provide enough justification to open up of negotiations*

At result 1 level:

- *It is assumed that current leaders and other key persons within the trade union organisation have a positive attitude towards women assuming leadership positions*
- *At result 1 and result 2 level:*
- *It is assumed that unions maintain willingness to be unified, are not manipulated (which causes) division, and maintain motivated to be members (this assumption comes from the cluster “cooperation and membership”).*



Indicators of achievement

Once the intervention logic and the corresponding assumption at different levels have been defined, we continue with the elaboration of the indicators of achievement. These indicators can be considered as statements which make it possible to verify the extent of the project's achievements; the viability and sustainability of the development objective, the project objectives and the expected results. They also provide measures for the monitoring during implementation of the project. Therefore, such statements should be as precise as possible; they are often quantitative, but may also be expressed in qualitative terms.

It needs to be recognised, however, that although formulation of indicators at the level of the development objective is desirable, it often proves to be a complex exercise. Most of the time omission of this exercise can be considered without structural consequences for project design.

Indicators of achievement (11)

- *Formulate the measures that are necessary to indicate how the implementation of the project will be monitored at the different levels of the intervention logic.*
- *When formulating indicators it is important to make sure that they are formulated in a gender sensitive manner and as SMART as possible.*
- *Verify, if the development objective, the project objectives and the expected results are still viable and sustainable.*
- *Incorporate the indicators at their level under 4B Project Intervention in the Application Form*
- *Check if the intervention logic is still in tact. Make adjustments if necessary.*

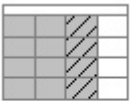
Example of indicators of achievement for result 1 leadership formation:

Quantitative:

- *In 2005 30 % of the new capable and innovative leaders are women.*
- *In 2005 the newly formed capable and innovative leaders are filling 75 % of the leadership positions in the supported transport unions.*
- *The leaders in charge have completed 80 % of the trainings needed according to the guidelines of capable and innovative leadership*
- *30 % of the members of the selection committee is female.*
- *Articles of the trade union state the length of period for filling leadership positions to a maximum of 4 years.*

Qualitative:

- *Specific guidelines for capable and innovative leadership are included in the trade union organisation's formal policy and indicate selection procedures for leadership and other key positions.*
- *A potential leadership pool is formed and renewed every six months, composed of those among the trade union staff and members who have shown competences of capable and innovative (in)formal leadership.*
- *All members of the potential leadership are engaged in at least two trainings on leadership skills and management & organisation*
- *Selection procedures for leadership and other key positions state and actively promote the selection of women.*
- *Every month, leaders in key positions report on the reunions they have participated in at government level.*



Sources of verification

The sources of verification state how or where the information can be found to verify the realisation of the development objective, the project objective and the expected results.

Possible sources of verification are documents, membership registration data, minutes of meetings, evaluation reports and other sources that provide information and permit judgements regarding the actual progress towards the objectives and results.

Sources of verification (12)

- *Identify the sources of verification for the indicators at the levels of the development objective, the project objectives and the expected results*
- *Include the sources of verification under 4B Project Intervention in the Application Form*
- *Check if the intervention logic is still in tact. Make adjustments if necessary.*

Example of sources of verification for Result 1:

- *Evaluation reports of leadership training courses*
- *Trade union's leadership selection protocols concerning members for leadership positions*
- *Trade union's minutes of internal meetings stating verbal reports on attended government reunions*
- *Articles of the trade union: duration of leadership position*



Sustainability check

The aim of the sustainability check is to ensure the maintenance or augmentation of positive changes induced by the project after the latter has been terminated. Sustainability is an issue that should be raised many times during the planning. Because of its importance in deciding on the intervention logic, it is useful to give explicit attention to the sustainability issue in this phase of the planning process.

Sustainability check

- *Check the Project Intervention as far as it is now completed.*
- *Use the guiding questions in Annex B to see if the proposed intervention logic and the underlying assumptions meet with the criterion of sustainability.*
- *Make adjustments throughout the project proposal, if necessary*
- *The sustainability check is to be applied integrally to all the aspects of the project proposal. Therefore it is not included as a separate topic within the Application Form and consequently it is not numbered either.*



Institutional framework

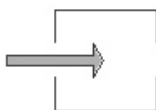
A discussion of the institutional framework will ensure that everybody is aware of who should refer to whom or communicate with whom in order to secure smooth implementation of the project. In that way misunderstandings will be avoided within the field organisation and the funding organisation. An analysis of the institutional framework also serves to reveal the preconditions and assumptions in terms of the organisational capacity to implement the project proposal and assumptions.

Institutional framework (14)

- *Describe the institutional framework needed to implement the project under 4C*
- *Considering the institutional framework, check if intervention logic and the underlying assumptions are still valid*
- *If necessary, make adjustments in the Project Intervention*

5.2 Input, budget, work plan & timetable

Once the main characteristics of the project have been established, it is appropriate to identify the way in which the project is intended to be implemented and monitored. This implies detailed planning of the project's expected results, activities in terms of inputs, institutional framework, working plan and time schedule, as well as its monitoring system.



Inputs

Inputs are the means and resources needed to carry out the planned project activities. These can be human resources, administrative capacity, infrastructural means, financial means, etc. Assessment of the required resources is necessary to find out how the project sustainability can be improved. Use of own/local resources will best guarantee the sustainability of the achievements in the longer run.

Inputs (15)

- *Make an inventory of the inputs necessary to implement the proposed project using the earlier made overview of activities;*
- *Summarise this inventory in an overview of input under 4D*



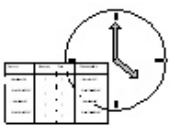
Budget

You need to specify the financial resources necessary to implement the project in a detailed level budget. The budget summary gives an overview of the expected expenditures.

Budget 16)

- *Make an inventory of estimated costs by analysing the means needed for the implementation of the project. Indicate in a logical way, how the expenses will be covered.*
- *Translate the results into a detailed level budget and a budget summary and include them in the Application Form _ 4D*

- √ Check donor specific instructions, if you are expected to follow guidelines on budgeting specified by the funding organisation
- √ If no specific instructions are available, consider the following budget headings for specifying the costs:
 - activity costs;
 - salary costs for staff, consultants and resource persons;
 - infrastructure costs;
 - monitoring costs;
 - evaluation costs;
 - costs for financial auditing by chartered accountant.
- √ Consider the following headings for indicating how the expenses will be covered:
 - organisation's own contribution
 - contribution from other sources
 - requested funds from the funding organisation



Work plan and timetable

A realistic work plan and timetable need to be detailed for directing the activities that need to be implemented.

Work plan and timetable (17)

- *Make a detailed plan, including timing and responsible unit*
- *Include information derived from Institutional Framework (16)*
- *Include the work plan and timetable in the Application Form _ 4D*

5.3 Monitoring and evaluation

Monitoring and evaluation are important activities that give an insight into the project's progress and allow project administration to explain the way the project has been implemented and the results that have been achieved accordingly.



Monitoring

Monitoring is an important activity during project implementation: it is the continuous or periodic surveillance of the implementation of a project. Monitoring includes the activities of reporting on project progress. The aim of reporting is to inform the participants involved on the progress made by the project and to account for the financial expenditure to the funding organisation.

The use of standard formats for monitoring and reporting throughout the life of the project will facilitate the analysis of trends and the definition of strategies. Monitoring data will prove particularly useful when there is a change of personnel, management and decision makers. To organise the monitoring, it is recommended to make use of the content formulated in the project intervention (or project planning matrix) with a special emphasis on the indicators. The indicators determine a large part of the data to be gathered for the monitoring process.

Reporting procedures have to be agreed upon before the project is implemented. They will be included in the project document and contract.

Besides the reporting on the progress of results via the indicators, there are other types of reports, like activity reports, which are related to the work plan; they present what has been actually implemented. Financial reports show how actual expenditure compares with the budget, using the same headings as shown on each budget line. A chartered accountant must audit the annual financial report.

Monitoring activities are often time consuming and need to be incorporated timely into the working plan.

Monitoring 18)

- *Indicate which activities have to be undertaken in order to monitor the progress of project implementation according to the indicators*
- *Indicate, which reporting activities have to be undertaken during project implementation.*
- *Make a summary of proposed organisation of the monitoring activities (including reporting) and include it in the Application Form _ 4E*
- *Also include these activities into the working plan and timetable (17) that were already incorporated in the Application Form part 4D*

Examples of contents for monitoring:

- *Progress according to the indicators*
- *Type and number of activities executed*
- *Target groups involved; number of participants – men and women*
- *Training methodologies employed*
- *Materials utilised and/or produced*
- *Comments on differences between planned and actual activities*
- *A comparison between the objectives and actual results*
- *What was achieved – and why*

- *What was not achieved and why*
- *Lessons learned*
- *Suggested adjustments for the following reporting period*



Evaluation

In a project evaluation the achievements and the effectiveness of the project are assessed in order to acquire knowledge and understanding of the consequences of its implementation. Participation of the target groups in evaluation activities is necessary in order to ensure its objectivity, to create awareness of any remaining problems and of possible ways to adjust and continue the process induced by the project.

The signed project document and contract constitute a binding agreement between the funding organisation and the requesting organisation

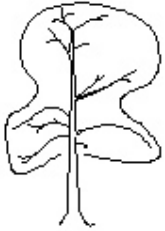
Procedures for evaluation have to be agreed upon between the contract partners before the project is implemented and will be included in the project document and contract. The agreement will normally specify how and at what intervals internal, and possibly external, reviews and evaluation will take place. If stated in the contract, the final report should also include a final report covering the whole project period, i.e., total income and expenditures.

Evaluation (19)

- *Indicate, what evaluation activities will take place during project implementation and indicate their timing as well.*
- *Make a summary of proposed organisation of the evaluation activities and include it in the Application Form _ 4E*
- *Also include the evaluation activities into the work plan and timetable that were already incorporated in the Application Form _ 4E*

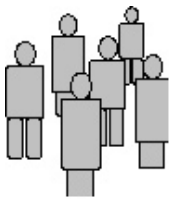
ANNEX: Guiding Questions

These guiding questions are included in this manual to support trade union organisations in the process of project planning using LFA. These questions need to be asked in order to avoid some of the many pitfalls which could hamper the successful implementation of a project. Although the list is quite extensive, it is by no means complete. Project planners are invited to come up with their own questions.



Background information and previous experiences (1)

- ✓ Which problems occur in the examined area?
- ✓ Have these problems been addressed before and by whom?
- ✓ How has one tried to address these problems?
- ✓ What lessons – positive and negative - were drawn from these experiences?
- ✓ What is the situation giving rise to the problems? (e.g. privatisation, excessive number of accidents, poor living conditions, child labour)
- ✓ What is the political and economic situation in the area in question?
- ✓ What is the labour market situation?
- ✓ What is the average income of workers in general, and in the industry and particularly in the sector in question?
- ✓ What is the employment situation?
- ✓ What is the trade union situation? (for example no. of organised and potential members; no. of unions, national centres, cooperation between unions)
- ✓ What is the structure of the trade union and/or national centre? (for example: offices, full- or part-time officials, etc)
- ✓ How many collective agreements are there at national, regional, company and/or plant level?
- ✓ What is the financial situation? (dues-paying system, dues collected by check-off, other sources of income, etc)
- ✓ What are the main activities within the union or national centre?
- ✓ What is the gender distribution among members and officials?

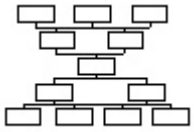


Participation analysis (2)

- ✓ Who are affected by the problem you intend to address? (Persons, groups, institutions, etc)
- ✓ What are the main problems affecting or facing the parties involved?
(Categorize persons, groups, institutions, etc., according to specific problems (economic, ecological, cultural problems, etc.)
- ✓ What are their interests with reference to the issues at stake? (Categorize persons, groups, institutions, etc according to interest)
- ✓ What is the potential of the parties involved with reference to issues at stake? Strengths and weaknesses of each party involved)
- ✓ What linkages exist between the parties involved (past and present)? (main patterns of cooperation, conflicts of interest, dependency linkages)
- ✓ Whose interests and views are to be given priority in the problems analysis?

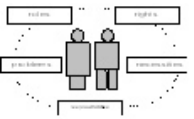
Possible format for participation analysis

<i>Groups/Institutions/individuals</i>	<i>Interests</i>	<i>Potential</i>	<i>Implications</i>	<i>Implications for planning</i>



Problem analysis (3)

- ✓ What is/are the core problem(s)?
- ✓ What causes these problems?
- ✓ What are the effects of these problems?
- ✓ Are the causes and effects the same for men and women?
- ✓ Are any groups affected in particular?
- ✓ Is there any research or statistics available, which could be used to verify or illustrate the problems?
- ✓ What needs to be done to erase the causes – not just the effects – of the problem?
- ✓ What impact – positive or negative - would the project have on the society as a whole or the working environment?



Gender analysis (4)

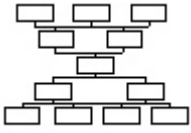
- ✓ What specific roles do women and men have? (Who does what?; How are men and women represented in the different positions?)
- ✓ To what extent do women and men have access to and control over resources? (Who can make use and/or has ownership of what?; Who is in what position?; Who benefits from what, and who doesn't?)
- ✓ What rights and responsibilities do men and women specifically have?
- ✓ What are the differences and similarities between the problems and necessities that women and men have?
- ✓ What explanation can you give for these differences and similarities?
- ✓ Is this gender situation subject to change? What is getting better? What is getting worse?
- ✓ What can be done to decrease/erase the gap between men's and women's needs?
- ✓ Are there any obstacles? If so, what are they and how can they be anticipated?
- ✓ What can be done in the project planning and implementation – in terms of concrete actions and activities - to address these issues effectively?

These are the central questions of a gender analysis. In the practice of the trade union, these general questions may generate more specific questions as shown in the example below. This listing is by no means complete and neither will all the questions apply to your situation. The list is added to help you start up the gender discussion about your specific trade union situation:

Examples of more specific questions on gender issues:

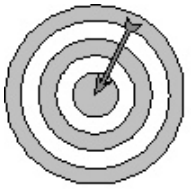
- ✓ Who receives the money, grant or support? Are activities prioritised? Are activities dominated by a certain gender? How are resources distributed between different activities, officials or organisations?
- ✓ How are meetings and way of working organised? Can everyone participate? Are times and places of meetings planned so that everyone can join? Whose priorities set the agenda? Whose time is most important? Can recruitment to education activities or routines change gender imbalances?
- ✓ How are representatives appointed to different structures? Are women and men equally represented in the different positions available? What can be done to create balance in an uneven representation? What is "competence" and how are different experiences valued? Are there differences in valuing experiences when appointing a man or a woman? In which contexts are women respective men represented? Is there a difference? Why are they in that special context? How are assignments allocated?
- ✓ How and by whom are projects and research initiated? Which are the instructions and how will gender equality be promoted?
- ✓ Are all statistics divided by gender? How is the gender dimension handled and up- dated in current material? Do the data in the material present information on men and women?

- √ How is the gender equality treated in reports, working groups and applications? Which methods can be suggested to improve this situation where necessary? How are gender aspects brought forward?
- √ Does your organisation have a gender policy of its own?



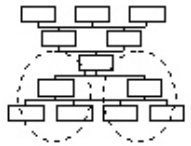
Objectives analysis (5)

- √ Which of the positive statements in the objective tree are to the benefit of society as a whole?
- √ Which of these positive statements are to the benefit specific groups in society?
- √ Which of the positive statements can be achieved within the capacities and in a realistic time frame?
- √ Which of the positive statements in fact indicate actions to be undertaken?



Identification of target groups (6)

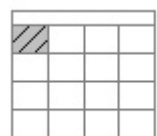
- √ Who will benefit from the project?
- √ Who will be directly involved in the project activities? (direct recipients, e.g. participants in meetings, trainings, workshops, etc.)
- √ Who will be indirectly affected by and benefit from the project? (e.g. members, workers, people living in the community, etc).
- √ What are the characteristics of the different target groups? (age, sex, race, income, work situation)
- √ How will men and women be affected by the project?
- √ Will the project have a negative impact on any group?



Strategy analysis (7)

- √ What are the limitations and possibilities of the trade union?
- √ Which strategy will be the most beneficial for the beneficiaries?
- √ Are there other possible ways to achieve the desired objectives?
- √ What can be learned from earlier projects and activities?
- √ Should other local organisations be involved? If so, which and how?
- √ How can the strategy strengthen the general policies of the trade union?
- √ Does the selected strategy take into account gender issues?
- √ Which of the following optional criteria provide arguments for strategy selection?

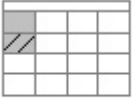
Technical	<i>Appropriateness, use of local resources, market suitability, etc</i>
Financial	<i>Costs, financial sustainability, foreign exchange needs, etc.</i>
Economic	<i>Economic return, cost effectiveness, etc.</i>
Institutional	<i>Capacity, capability, technical assistance, etc., probability of achieving objectives</i>
Social/distributional	<i>Benefits for priority groups, distribution of costs and benefits, gender issues, socio-cultural constraints, local involvement and motivation, social risks etc</i>
Environmental	<i>Environmental effects, environmental costs vs. benefits.</i>



Development objective (8)

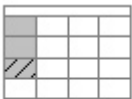
- √ Does the development objective address the political, economical and social changes in society which should be influenced by the project in the long run?
- √ To what extent should the project contribute to:
 - increased equality between women and men?
 - organisational development (democratisation, membership, age distribution, efficiency, etc.)?
 - specific topics (e.g. occupational safety & health, environmental aspects)?

- √ Is the development objective consistent with the policy of the partner organisations?
- √ Is it consistent with the policy guidelines of funding organisations?
- √ Does the development objective represent sufficient justification for the project?
- √ Is it excluded that the development objective implicitly may contain two or more objectives, which are causally linked?
- √ Is the development objective not too ambitious? (i.e. is it in line with the project objective that is assumed to contribute significantly to its realisation?)
- √ Is the formulation of the development objective SMART enough?



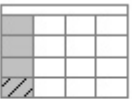
Project objective (9)

- √ What should the project achieve within its period of operation?
- √ Will the project objective contribute significantly to the development objective?
- √ Is the project objective outside the immediate control of the project?
- √ Is the formulation of the project objective as SMART as possible?



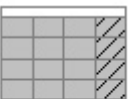
Expected results (10)

- √ What results does the project need to provide in order to achieve the project objectives?
- √ What outputs will the project deliver to the beneficiaries in order to allow them to realise tangible benefits?
 - Outputs can be tangible products, such as training materials, handbooks, reports, policy papers, guidelines.
 - Outputs can be less visible, like provided for by services: trained officers, established networks, etc.
 - In defining the outputs it is necessary to explicitly identify the intended beneficiaries taking into account gender, age, race and ethnicity
- √ Is the formulation of the expected result as SMART as possible?



Activities

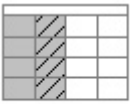
- √ What are the essential activities necessary to produce the results?
- √ How will the needs be identified and specific plans developed for training or involving the target groups?
- √ What types of meetings, campaigns, etc. must be organised; how many of each?
- √ Do any members or trainers have to be trained? If so, how many in order to reach the expected results?
- √ What has to be done to ensure that there is a proportional representation of women among the participants, as well as among resource persons and staff?
- √ Are the activities appropriate to the situation in the intervention area, in terms of institutions, ecology, technology, culture, etc.?
- √ Is there enough time available for each activity?
- √ Are the activities correctly being stated in terms of action being undertaken rather than completed results?



Assumptions and preconditions (13)

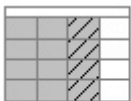
- √ Are the inputs, activities, expected results and project objectives sufficient to realise the achievement of the next level?
- √ Which additional measures or events must also take place outside the project in order to achieve the realisation of each level?
- √ Which assumptions are more important / probable to occur?
- √ Are there any external factors which may qualify as killer assumptions?
- √ Which of the external factors are in fact preconditions necessary to be realised before project implementation can be started?

- √ What is the significance of each of the assumptions?
 - Eliminate those obvious assumptions that are not important for the outcome or that are not very likely to occur
 - Assess the probability of occurrences for the remaining assumptions, including those quite likely but not certain to occur
 - In case of killer assumptions: redesign the project. If this is not possible the project proposal has to be rejected.
- √ How will the assumptions included in the project design be monitored?
- √ Are there any political, economic or social factors that may hinder, seriously hamper or delay project implementation?
- √ Have alternative strategies for reaching the objectives been discussed?
- √ Is there a risk of conflict or duplication of efforts with other projects carried out by the government, NGO's or other organisations?



Indicators of achievement (11)

- √ Do the indicators cover all the important aspects of the objectives (each of the two levels) and the expected results?
- √ What is the current situation (point of departure)?
- √ Do the indicators allow progress to be assessed?
- √ Are the formulated indicators measurable and time-bound?
 - What? (variable)
 - How much? (present + future desired value)
 - Who? (target group)
 - Where? (place/location)
 - When? (time span)
- √ In case it is difficult to directly measure progress in a quantifiable way: what other indirect or qualitative ways are there to measure the progress?



Sources of verification (12)

- √ Which are the sources through which the realisation of the development objective, project objectives and expected results can be verified?
- √ Which of these sources are produced by the project itself and which of these are produced by independent organisations outside the project context?
- √ Is it realistic to assume that you can collect the required information?
- √ Is there an administration system/ data base from where to (easily) get the information? If not, it should either be developed or another indicator should be used.
- √ Does the project design provide for the collection of information about the baseline situation, on the basis of which progress can be measured?



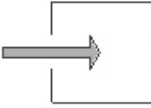
Sustainability check

- √ How can it be made certain that the results achieved by the project will continue to be useful to – and actively used by – direct and/or indirect beneficiaries?
- √ How can the financial situation of the field organisation be improved, enabling facilities to be maintained and activities continued after the project is terminated?
- √ Which structures / mechanisms can be established that enable and encourage the beneficiaries to continue their work after the project ends?



Institutional framework (14)

- ✓ Who should be partners in the project and what should be their responsibilities?
- ✓ What should be the line of communication and responsibility between the project staff, the field organisation and the requesting organisation?
- ✓ How will the target groups and other parties involved participate in the planning, implementation, monitoring and evaluation of the project?



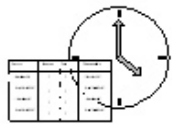
Inputs (15)

- ✓ What are the human, physical and financial means necessary to implement the planned activities? (first column, 'intervention logic')
- ✓ What means - human, material and financial – are necessary for management and support activities not formulated in the Project Planning Matrix?
- ✓ What are the field organisation's own available resources?
- ✓ Can other parties involved like (local) governments or employers contribute to the project by funds or facilities?
- ✓ Has external funding to be considered?
- ✓ What are the conditions and guidelines set by funding organisations?
- ✓ How does the field organisation plan to raise the necessary funds to sustain the results once external support is phased out?



Budget (16)

In this category there are no guiding questions added



Work plan and timetable (17)

- ✓ Who is going to do what and when?
- ✓ Are all the activities identified in the Project Planning Matrix included?
- ✓ Are the management and support activities included as well?
- ✓ At what point does each level in the project chain have to present applications, reports and accounts?
- ✓ Are the requirements of the funding organisation with regard to submitting and reporting taken into account?
- ✓ Check the "flow" in the activities: Is the sequence of the activities taking place in accordance with their timing?
- ✓ Is the work plan realistic compared to the capacity and resources of the field organisation?



Monitoring (18)

- ✓ What format will be used for monitoring?
- ✓ Which are the guidelines for the progress reports?
- ✓ What reports are requested by the funding organisation?
- ✓ What is the frequency of monitoring activities (including reporting)?
- ✓ What should the reports contain?
- ✓ Who of the project staff is responsible for producing these reports?
- ✓ What will be monitored in order to determine the progress of the project – and which Indicators will be used?
- ✓ Is there a need to build up some baseline figures?
- ✓ What activities are needed to build up baseline data?
- ✓ Who will be responsible for the monitoring and who will provide the information (e.g. participants, project staff, requesting organisation)?

- √ Is the physical progress of the project being monitored?
- √ Are the impact of the project and developments in its environment (external factors) monitored as well?
- √ How will the financial monitoring of expenditure take place and who will provide the information?



Evaluation (19)

- √ When and by whom will the internal reviews and evaluation be conducted?
- √ How is it ensured that the target group participates in reviews and evaluations?
- √ If any external reviews or evaluations are foreseen, when and by whom will they be conducted?

