Guidelines for Developing Project Proposals

Secretariat of the Pacific Regional Environment Programme (SPREP)

Asia Pacific Adaptation Network, (APAN) and Secretariat of the Pacific Community (SPC) through the Global Climate Change Alliance: Pacific Small Island States (GCCA: PSIS) project

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Acronyms

AusAID Australian Government Overseas Aid Program
CROP Council of Regional Organisations of the Pacific
EU European Union
FSM Federated States of Micronesia
GEF Global Environment Facility
GIZ Die Deutsche Gesellschaft für Internationale Zusammenarbeit
JICA Japanese international Aid Agency
NBSAP National Biodiversity Strategic Action Plan
NZAID New Zealand Agency for International Development
RMI Republic of the Marshall Islands
SPC Secretariat of the Pacific Community
Acknowledgements

These guidelines were adapted from a number of publications which are listed as follows. For further guidance, readers are encouraged to refer to these more detailed guides:

1. Introduction

These guidelines have been developed as a tool for Pacific Island Countries to use in developing Project Proposals targeted at multi-lateral and bi-lateral donors. They have been developed as a follow-up to the Asia Pacific Adaptation Network (“APAN”) Workshop on Finance for Adaptation that was held in Apia, Samoa on 28 and 29 October 2012. The preparation of this document was supported by the Secretariat of the Pacific Community (SPC) through their Global Climate Change Alliance: Pacific Small Island States project. While APAN and SPREP are particularly focused on supporting Pacific Island Governments to develop successful funding proposals for Climate Change Adaptation work in the Pacific Islands Region, these guidelines can be generally used for any kind of project.

Another useful tool that was developed by APAN and SPREP in relation to the workshop is a directory of multi-lateral and bi-lateral donors that fund climate change adaptation work in the Pacific Islands region. It is SPREP’s intention to continue to update and expand this directory. The directory can be accessed through the SPREP website (www.sprep.org) and the Pacific Climate Change Portal (www.pacificclimatechange.net).

The diagram on the next page sets out a typical process for proposal development. Each of the key stages presented in boxes are covered by a section of this document. It is important to note that the process may not occur in exactly this order and that the stages are interdependent. Changes to one stage in the process may require changes to each of the others.
Proposal Development Process

1. **Project Idea**
   - Assemble a project team

2. **Proposal Development Timetable**
   - Collect background information/Conduct Scoping Study
   - Identify and involve partners and stakeholders

3. **Project Concept**
   - Begin informal communications with potential donors

4. **Select target donor(s)**

5. **Project Design:**
   - Logframe
   - Budget
   - M&E Plan

6. **Proposal to donor**
   - Packaging your project for specific donor(s)
   - Sign off by your organisation

Note: The process may not occur in exactly this order and the stages are interdependent (changes to one stage may require changes to the others)
2. Project conceptualisation

The following section describes the key steps and actions required during the project conceptualisation phase depicted in Section 1 above.

2.1 Project idea

A project idea can be generated from many sources including:

- National Plans,
- Organisational plans,
- Ideas generated as a result of a workshop or meeting of parties/stakeholders,
- Requests from key stakeholders (e.g. countries, constituencies, communities, etc.),
- Donor-driven calls for proposals by a given deadline.

Often an idea is generated by a combination of the above and more.

During the recent Pacific Climate Change and Finance Workshop (refer Section 1), the point was raised by country representatives that there has been a tendency in recent years to respond to donor-driven calls within tight time-frames without careful consideration of whether the funding and project proposal are the best option for the country. It is important to be clear about where a project idea is coming from and that it the best possible use of your organisation’s capacity based on its strategic priorities, these guideline will help you to assess this at various stages in the proposal development process (Section 2.3, Section 4.1.9 and Section 4.5).

It is helpful to have a bank of approved project ideas in place that can be accessed as funding opportunities arise (perhaps generated from your organisation’s strategic planning process and/or a workshop with your key stakeholders).

2.2 Proposal Development Timetable

Proposal development takes time, the process should begin well in advance of donor deadlines. Your timetable should include the following phases:

- Assembling the proposal development team – this may include people from a few departments, organisations and stakeholders (see Section 2.3),
- Project conceptualisation (see Section 2.3),
- Information gathering and background research for your project (Section 2.3.1),
- Stakeholder identification, analysis and consultation (Section 2.3.2),
- Donor selection and vetting - making sure that the donor is a good fit, investigating all the obligations associated with the grant(s) you are applying for, research your donor(s) (See Section 3),
- Project design, including log-frame, M&E plan, budget (See Section 4),
- Writing the proposal (Section 4.4),
- Target project start date.
Assign realistic timeframes to each phase and be clear about who is responsible for ensuring each phase is completed and who else should be involved, make sure these people can commit to the timetable before going forward.

Periodically update the timetable as you learn more about submission deadlines, award timetables, etc.

2.3 Project Concept

Developing a project concept involves the initial formulation of project goal(s), objectives, outputs, and activities in summary form. Ideally the concept should include an informed project budget estimate (aim for 80% accuracy).

While it is not customary to conduct extensive workshops or interviews when preparing a project concept, the strategy outlined should be based on a good understanding of the context of the project (socioeconomic, environmental, political etc.) as well as a good understanding of the needs of potential stakeholder groups.

It is also important that the right people are involved in developing the project concept. In a nutshell, the people that are going to be in charge of implementing the project should be the ones that develop the concept. It also makes sense (if time and resources permit) to include representatives of beneficiaries, key partners and people with experience in implementing similar projects.

The purpose of drafting a concept paper is to:

• conceptualize a potential project in a form that can be analysed and prioritised by your own organisation,
• can be used to look for a donor that may be willing to fund the project (comparing your concept against donor criteria), and
• can be used to identify and hold initial consultations with key stakeholders and potential partners.

There are a number of tools that can be used to develop a project concept, in particular:

• Situation analysis/Information gathering,
• Stakeholder analysis,
• SWOT analysis, and
• Problem trees.

These tools/steps are detailed below.

2.3.1 Situation analysis/Information gathering – Do we know enough?

Without a clear understanding of what is happening at your site, it is nearly impossible to develop goals, objectives and activities that make sense for your site’s conditions. In addition, often project teams think they have a shared understanding of their project’s context when in fact it can differ significantly.

A situation analysis is a process that will help you and your project team create a common understanding of your project’s ‘bigger context’ – including the natural environment and the social, economic, political, and institutional systems that affect your targets.

This practice is one that is sometimes overlooked in projects, yet it is one of the most important steps to consider. The challenge here is to make sure that you understand the
context in which your project is operating without spending too much time trying to develop a perfect model of reality.

Key steps in a situation analysis include:

1. Define the boundaries of your project concept (geographic area, thematic issues, key parties, the specific issue you seek to address),

2. Gather information on the current state and condition of human and natural environment within the boundaries you have set under 1 (as much as possible refer to research and reports that have already been carried out),

3. Identify:
   - trends in conditions,
   - pressures being exerted on the people and the environment,
   - underlying forces driving the pressures, and
   - the responses to the pressures at the international, national and local levels (or the level most appropriate for the project),

4. Identify key information gaps (you may be able to address these gaps at some stage to better design your project),

5. Discuss the analysis and identify the major significant issues requiring attention – then decide which ones are most relevant to your organisation.

6. Identify and analyse key stakeholders, including key institutions working on or involved with the selected issues and/or areas requiring change and plan how you will engage with the relevant stakeholders.

Time and resources will dictate how much you can invest in your situation analysis but it is important to be clear about the root causes of the issue your project is aiming to address.

Useful guidelines on how to conduct a situation analysis include:


2.3.2 Stakeholder analysis - Who should be involved in the project design and implementation?

A stakeholder analysis identifies all individuals, communities, organisations, administrative structures and any other group who may have an interest in, be affected by, or have the ability to influence the project that you have in mind.

It is critical to ensure that all of the relevant stakeholders are involved in the project development at the project planning stage to:

- Ensure that all angles have been considered and all threats and problems identified,
- Reach a consensus on what the most important problems are, how you plan to tackle these and what the overall objectives of the project are,
- Ensure full ‘buy in’ from all relevant parties,
Ensure that the project plan is realistic.


2.3.3 SWOT analysis - why and how?

A SWOT analysis can be a useful exercise to conduct with all project stakeholders. This tool can help provide an overview of the environment that the project is going to be working in. It also helps to get agreement amongst those involved in the project, because it provides a focus for open discussions. It can also be used for evaluating your own organisation and is often used as a business management tool.

**Strengths**

- What advantages does your organisation have in relation to the project?
- What is your organisation particularly good at?
- What makes your organisation special – what particular strengths does your organisation have?

**Weaknesses**

- What is your organisation not so good at? Try to be honest and as open as you can.
- What could be improved upon?
- What stops your organisation performing at its best?
- What necessary skills are missing that you might need for delivering the project?

**Opportunities**

- Where do you see the best forthcoming opportunities for the project?
- What is changing in the outside world that might create new opportunities for the project in the near future?

**Threats**

- What obstacles does the project face?
- What are others doing that might create problems for the project in the near future?
- What high-risk things are you doing that might make you vulnerable to external impacts?

When you come to write your funding application, the information from the SWOT analysis can be used to show how you will build on your strengths, address your weaknesses, use the opportunities and confront any threats through the proposed project. It will demonstrate to a potential donor that you have a realistic and accurate picture of your organisation and the environment that the project is working in.
2.3.4 Problem tree - a tool for developing your Goal and Objectives

A problem tree is a simple step-by-step process for developing your project goals and objectives. It is perhaps the most critical component of project planning because the project plan is built from this. If the problems are not identified correctly the project design is likely to be flawed and this results in wasted time and resources.

It is important that the right people are involved in this exercise such as: the project team, partners, beneficiaries, and supervisors. As such, it is a good idea to do a stakeholder analysis (Section 2.3.2) before you do your problem tree and invite key people to participate in the exercise. It also helpful to have a ‘neutral’ facilitator to guide the group through this process.

The steps involved in developing a problem tree are as follows:

• Agree amongst yourselves what the issue is that the project is hoping to address,
  This should be a single negative statement such as: Coastal Communities are threatened due to the effects of Climate Change.

• Give each group member a number of cards and ask them to write down the problems that are related to this issue (they may be causes or effects of the main issue – but don’t worry about that at this stage, just write down all the problems associated with the main problem).

  They must write the problems as a single negative statement and only have one statement per card.

Refer to existing plans and reports by your organisations for ideas.

Examples of problems for the above issue could include:
- Relocation of communities away from the coast,
- reduced food security (fish stocks and land-based crops),
- coastal erosion,
- increased extreme weather,
- damaged infrastructure (roads, water supply, etc.),
- sea level rise,
- release of fossil fuels into the atmosphere leading to global warming.

Don’t limit the groups thinking at this stage, brainstorm all associated problems whether they be causes or effects.

If you find yourself saying ‘lack of’, then think again! A problem is not necessarily a lack of a solution; it is an existing unwanted situation.

• Once the individuals in the group feel that they have written all of the problems onto separate cards, these need to be discussed and agreed by the group:
  - Share them with each-other and stick them onto the wall so that you can all see them easily,
  - Make sure their meaning is clear to everyone, or reword for clarity (with the author’s agreement),
  - Agree as a group if there are duplicates – remove these double-ups so you have a single set of problems,
  - Anything missing/additions? write them onto a card and add to the wall.
Note: You often cannot do all of this process in one go. You may need to discuss the higher-level problems first and sort out the causal relationships between them before you can start filling out more of the detail.

- Now you need to sort your problems into a tree:
  - Start with what you consider to be one of the main problems – this should have become apparent from the initial discussion above. This is your starter problem. Put it in the centre of the wall with lots of room above and below it.
  - Now work your way through the other problems on the wall, for each problem ask:
    - Is this problem causing the starter problem? (move these ones below the starter problem), or
    - Is this problem an effect of the starter problem? (move these ones above the starter problem)
  Don’t get hung up in arguments over what is the core/most important problem – this will become clearer through later discussion.
  It does not matter where you start the problem tree, anything below will be the cause and anything above will be the effect.
  Remember that trying to describe the problem is different from identifying how to solve it. You are just describing the problem at this stage.

You now have what is called a ‘problem tree’. Working up a problem tree with the identified project stakeholders is the best way to identify problems, their causes and effects. It looks very complicated but in fact is very straightforward. It gets everybody involved and allows for open discussions on the project. At the end of this exercise you should have identified the root causes of identified problems and the effects (possibly social, economic and environmental) that these are having on the environment that the project plans to be working in.
2.3.5 Objectives Tree

Your goal and objectives are simply the positive mirror-image of your problem tree. All you need to do is convert the negative states of the problem tree (i.e., the situation now) into positive states (i.e., the situation we want to see). In other words, ask “what will the world look like when that particular problem has been solved?” For example:

- **The problem:** “low awareness in communities” would be converted to “communities’ awareness increased” *(an objective).*
- **The problem** “poor law enforcement” is converted to “law enforcement improved” *(an objective).*

As with developing the problem tree, ideally you should undertake this exercise with all of the identified project stakeholders as a group, using cards that you can attach on a large wall for all to see. This technique can be used in a smaller group or even alone, although it is not as effective because there will be fewer individuals contributing and therefore you are unlikely to come up with such a well thought through project.

Involving the likely project stakeholders and getting everyone to work as a group at this stage has the advantage that any differences in opinion on what the project objectives should be are highlighted early on, before the project activities are developed. This provides an opportunity to resolve differences because the group will discuss alternative objectives and the final decisions on the objectives will be made by consensus. It creates strong ownership of the project by the relevant parties at an early stage.

**Establishing objectives from the problem tree:**

- Number the problems on the tree, start at the top of the tree and work left to right. Keep the problem tree complete and visible to all for this exercise.

- On cards (use one colour for all participants but a different colour to the cards used for the problem tree) create solutions/objectives for the various problems identified in the problem tree. To do this you need to take the negative statement of the problem and turn it into a positive statement (as instructed above).

- Number these solution cards to match the problem cards. At the moment you do not work out what activities you need to reach the solution – just what you want. Use one card per solution/objective.

- These cards should be stuck on another board/wall to match the same layout of numbers as the problem tree – or if you are short of space they can be put on the same board/wall as the problem tree next to their corresponding card/number. This is what is called the ‘objective tree’ – and this is the basis for the ‘logical framework’ (see Section 4.1).

- You can have a range of solutions for each problem; later you will look at which of these are feasible.

**Selecting your problems and objectives:**

- Having mapped out and agreed amongst your stakeholders what the key problems and potential solutions are (using the process above) you now need to decide which problems the project aims to address and, equally important: determine which problems the project will not be dealing with.

This will be determined partly by what is within your scope and expertise, but it should be primarily dictated by what really needs to be done to get to the heart of
the issue and have the desired impact. If you can’t do that alone, maybe you
need to consider broadening your project and working with other organisations
that do have these skills and expertise.

- Once everyone is happy that you have come up with all the potential
  solutions/objectives for each of the problems, each member of the group is asked to
  look at the range of solutions/objectives and vote on which they consider are the
  most important solutions/objectives for the next five years.

Problems that the project cannot / will not be addressing are still important because they
are part of the environment that the project is working in and will need to be considered;
you need to be evaluated as potential ‘assumptions’ – factors that lie outside the control
of the project but may have the potential to influence whether or not it exceeds (see
Section 5.1.6).

3. Selecting the Target Donor(s)

There are many different sources of funding for environment-related projects in the
Pacific Region. These include:

- Bi-lateral agencies (national government funding schemes),
- Multi-lateral agencies (funding schemes by multiple countries working together, like
  the regional development banks)
- Non-government organisations,
- Trusts and foundations,
- Individuals, and
- Corporations.

The funding landscape in the Pacific is complex and dynamic. It is best to keep abreast
of funding opportunities on an on-going basis rather than dipping in when you find
yourself in need of funds. The CROP agencies can be a significant help in this regard;
in the case of climate change-related projects, SPREP and Forum Secretariat have staff
dedicated to assisting Pacific Island Countries to keep informed of funding opportunities.

The SPREP project database is a useful tool in this regard (refer Section 1). It lists bi-
lateral and multi-lateral donors that are offering funding to Pacific Islands Countries for
Climate Change Adaptation work.

The Pacific Islands Forum Secretariat (PIFS) has also developed a number of useful
references in the last year, these include:

- The Climate Financing Options Paper (2011) which has been developed to
  strengthen PICs ability to access and manage climate change financing,
  including access to international climate change funds. The paper includes
  information on key challenges and options for accessing climate change
  financing on three main levels: national, sub-regional/regional, and international
  level.

- Practical Experiences with Modalities Relevant for Climate Financing (2012). This paper presents a set of case studies of Pacific Island Countries' experiences with different Climate Change Financing scenarios to assist country and
stakeholders to learn from each other’s experiences. This covers a range of experiences from budget support, National Development Banks, National/Regional/Multilateral Implementing Entity experiences.

- **Pacific Climate Finance Assessment Framework Preliminary Report (2012)**. This is a guide to the necessary questions that must be answered in order to fully appreciate where the opportunities and challenges are for a country to make informed decisions with respect to climate change financing. Based on a case study underway of Nauru that aims to strengthen Nauru’s ability to better access, manage and implement climate change resources against their priorities.

- The Regional Technical Support Mechanism (RTSM) is under development and will be launched in mid-2013. Its aim is to more effectively network the existing technical expertise in the region on climate change to respond to country requests for assistance on a timely basis. A register of experts from CROP, other organisations, countries and private sector will form the basis of the RTSM. The RTSM will be supported by a rapid response fund to enable the prompt delivery of assistance to countries when they request it.

A major element in successful fundraising is finding the appropriate match between a program’s needs and a donor’s interests. Donors have very unique interests and requirements, it is critical to ensure that you understand the donor in terms of its funding goals, priorities and eligibility criteria for project proposals. Your project concept must be an exact match with the donor’s criteria. If it’s not, either change the project concept or change the donor.

Send your project proposal to as many donors as possible but make sure the proposal is tailored to the donor’s requirements. Sending a non-applicable proposal to a donor or not meeting their deadlines can damage your organisation’s long-term reputation with that donor… and is a waste of time and resources.

Informal communications with the donor is key and should be happening all along the way. Never hesitate to call the donor to ask questions at any stage in the process: proposal development, waiting for a decision, and particularly during project implementation.

### Advice from Bilateral and Multilateral Donors

- Make better use of your diplomatic corps in building relationships with donors and identifying funding opportunities,
- Be proactive in coordinating with donors e.g. Roundtables,
- Actively engage with donors (many of the key bilateral and multilateral agencies have offices in Suva),
- Always invite donors to events and to visit projects,
- Frequent communication is key, build a relationship with potential donors long before you need them.

Advice given by representatives of AusAID, European Union, NZAid, UNDP at the Pacific Climate Change and Finance Workshop, October 2012, Samoa. Hosted by SPREP and funded by APAN and SPC through the GCCA:PSIS.
Box 1 presents a checklist that is useful in making sure that the donor is an appropriate target for your proposal.

**Box 1: Donor vetting checklist:**

- Consistency between your project goals and the donors?
- What is the maximum and minimum amount that they will fund? Is it appropriate for your project?
- Deadline for proposal submission - will you have time to develop and submit the proposal before the deadline?
- Contact the donors directly - find out how much technical assistance they offer in the proposal development process,
- Request proposal/application guidelines - make sure you understand them, if not call the donor and ask questions
- Make sure you understand how the donor reviews the proposals and how decisions are made
- Check what the administration requirements would be should you be granted funding; they can often require a significant time and resource commitment. Donors vary considerable on this point. Be sure to read the fine print.
- Check budgetary requirements: are matching funds required? Is in-kind acceptable as a portion of your share?
- Learn about payment processes, including cash flow (how and when funding would be delivered might influence how you design the project)
- Request a list of projects previously funded through the specific grant programme (often included on a donor’s webpage or in their annual report)
- Does the funder have other grant sources for which your project is eligible?

### 4. Project Design

If you’ve done thorough research on a donor and believe that your organisation or project is a good fit with its guidelines, it’s time to apply for the funding.

Your proposal must match the donors requirements exactly. As such, the time and resources required for the project design phase can vary considerably depending on the donor. Some donors allow applicants to apply for funding to develop a proposal.

Regardless of the specific requirements of a given donor, it is advisable to develop the following key elements of a well-designed project:

- a logical framework,
• monitoring and evaluation plan, and
• a budget for your project.

These three documents contain all the critical information that you need for providing an excellent summary of your project. You can use the log-frame as a basis for any application (even if a donor does not request a log-frame) but equally important it means that you have planned your project properly.

The following sections set out how to develop these three documents. Before you begin this process you should assemble your **project development team**. This must include the people that will be responsible for implementing the project, without their agreement and ownership of the plan you will run into problems when you come to implement. As with the problem tree exercise (Section 2.3.4) as much as possible, the **project development team** should also include partners, beneficiaries, and supervisors as identified as through stakeholder analysis (Section 2.3.2). Depending on the scale of the project and the resources you have on hand, you may also wish to include a consultant on the team.

### Advice from Bilateral and Multilateral Donors

- Make sure your proposal matches donor’s criteria and mandate,
- Link your proposal to your national priorities (if appropriate),
- Demonstrate sustainability (see Section 4.1.9 below),
- Demonstrate capacity building and other co-benefits if you can,
- Problem analysis must be clear and design must be based on sound logic (See Section 2.3.4)
- Show existing capacities and collaboration and commitments (See Section 4.1.9)
- Demonstrate that you have consulted broadly at the country level.

Advice given by representatives of AusAID, European Union, NZAid, UNDP at the Pacific Climate Change and Finance Workshop, October 2012, Samoa. Hosted by SPREP and funded by APAN and SPC thought the GCCA:PSIS.

### 4.1 Log-frame Development

A Logical framework (Log-frame) is a tool for planning and managing development projects. It provides managers with a step-by-step process for developing a project plan. Log-frames summarise:

- What the project is going to do,
- What resources are required (time, money, people),
- What are the potential problems which could affect the success of the project, and
• How progress and the ultimate success of the project will be measured and proved.

Most importantly a log-frame is a handy summary of the agreed plan for staff, donors and other stakeholders.

It’s not set in stone – logframes require updating on a regular basis. Progress reports to donors, or on a six-monthly or annual basis, should report on progress in the context of reviewing the logical framework point by point.

The project conceptualization tools (Section 2.3), particularly the Problem/Objectives tree feed directly into the log-frame.

Log-frame terminology varies among donor agencies, so it is important not to get hung up on the specific words, but rather understand the logic involved in building a logframe. The terms may change but the hierarchy of different levels of intervention logic remains the same.

Table 1 below presents a log-frame matrix, which summarises the results of the entire planning process and presents the project in a nutshell. Table 2 provides an example of a logframe that was drafted during a training exercise at the Pacific Climate Change and Finance Workshop held in Samoa in October 2012.

<table>
<thead>
<tr>
<th>Indicators</th>
<th>Means of Verification</th>
<th>Assumptions/Risks</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Goal</strong></td>
<td>How are we going to measure our contribution to the goal? What will have changed by the end of the project?</td>
<td>How are we going to get the information to prove the indicator?</td>
</tr>
<tr>
<td><strong>Purpose</strong></td>
<td>How are we going to prove that that the purpose has been achieved?</td>
<td>What are the sources of information for the indicators?</td>
</tr>
<tr>
<td><strong>Objectives</strong></td>
<td>How we are going to know whether the Objective occurred and what it's impact was?</td>
<td>How are we going measure the indicator? Where are we going to get this information?</td>
</tr>
<tr>
<td>Activities</td>
<td>Resources Required</td>
<td>Lead Person/Agencies</td>
</tr>
<tr>
<td>---------------------------------------------------------------------------</td>
<td>--------------------------------------------------------------------------------------</td>
<td>-------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Activities set out how each output will be carried out.</td>
<td>Equipment, materials, funds, and staff required to implement these activities. This information is the foundation of your budget...</td>
<td>Who will be in charge of ensuring this activity will be completed (lead). Who will be involved (support team, partners, etc.)</td>
</tr>
</tbody>
</table>

Table 1. Content of a log-frame matrix

<table>
<thead>
<tr>
<th>Project Title: Building resilience against climate change induced vector borne diseases.</th>
<th>Measurable Indicators</th>
<th>Means of Verification</th>
<th>Assumptions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Goal: Community X's resilience to climate change induced vector borne diseases increased between 2013 and 2017</strong></td>
<td>Number of official outbreak declarations between 2013 and 2017 goes down</td>
<td>Ministry of Health Records</td>
<td>That external factors other than climate change will not trigger outbreaks of these diseases during the project period</td>
</tr>
<tr>
<td><strong>Purpose: Decrease outbreaks of new climate change induced vector-borne diseases</strong></td>
<td>Number of patients diagnosed with climate change induced vector borne diseases in Community X does down between 2013 and 2017</td>
<td>Community clinic records</td>
<td>That community members suffering from the disease will go to the clinic for treatment (thereby enabling diagnosis and treatment)</td>
</tr>
<tr>
<td><strong>Objective 1: Raise community awareness and capacity to recognise and respond to new vector borne diseases</strong></td>
<td>20% increase in community members that know how to recognise symptoms and seek treatment</td>
<td>Community awareness survey data collected by this project</td>
<td>That the community is not already aware of how to recognise symptoms and seek treatment.</td>
</tr>
<tr>
<td><strong>Objective 2: Improve Community X's health regulations to prevent outbreaks of new vector-borne diseases by 2017</strong></td>
<td>Health by-laws updated to include regulations for the prevention of new vector borne diseases</td>
<td>Records of local government decision to pass the proposed by-laws</td>
<td>Cooperative political environment</td>
</tr>
<tr>
<td>Objective 3: Train health care professionals in Community X to better treat patients with new vector-borne diseases by 2017</td>
<td>80% increase is number of health care professionals certified to treat these diseases and to train others</td>
<td>Certification records</td>
<td>Doctors &amp; nurses available and willing to attend training</td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td><strong>Activities</strong></td>
<td><strong>Time-frame</strong></td>
<td><strong>Lead Agency/Support Agencies</strong></td>
<td><strong>Resources required (equipment, HR, funds)</strong></td>
</tr>
<tr>
<td>1.1 Community consultation, workshops and survey to identify existing knowledge.</td>
<td>Year 1, Qtr 1. (establish baseline) Year 4, Qtr 3. (determine results)</td>
<td>Project Manager leads; Supporting: Local government Local Medical Clinic</td>
<td>Workshop costs (venue hire, materials, etc.) Travel costs for Project Manager and supporting partners to travel to community to deliver workshop $20,000</td>
</tr>
<tr>
<td>1.2 Design awareness-raising campaign</td>
<td>Year 1, Qtr 2-3.</td>
<td>Project Manager leads; Supported by: WHO SPC Ministry of Health.</td>
<td>Communications consultant fee. Graphic design of awareness materials. $40,000</td>
</tr>
<tr>
<td>1.3 Deliver campaign through various channels</td>
<td>Year 1, Qtr 4. to Year 4 Qtr 1.</td>
<td>Project Manager leads; Partnering with: Ministry of Health, Local government, local radio station, local school.</td>
<td>Printing and distribution of materials Community events $60,000</td>
</tr>
</tbody>
</table>

Etc...

Table 2. Excerpt of an example of a logframe drafted during a group exercise at the Pacific Climate Change and Finance Workshop, October 2012, Samoa. Hosted by SPREP and funded by APAN and SPC thought the GCCA:PSIS.
4.1.1 Goal

The goal is the higher-level objective or long-term impact of the project. It is a description of the future state that you project is working to achieve. It should be ambitious and yet realistic.

It is important to note that the goal is the wider problem that project will help to resolve – the project will not resolve the goal on its own but it will contribute some solutions towards this big picture.

The goal should be the top objective that was generated by your Problem/Objectives Tree under Section 2.3.4 and 2.3.5.

In thinking about the goal or ultimate objective, the following should be asked:

• What is the problem identified to which the project is expected to make a contribution towards solving?
• Is this a problem which has a solution?
• Is it actually a problem?

A good goal should be SMART (see Box 2 below) and Impact Oriented which means that it describes the desired future status you would like to achieve over the long-term.

An example of a goal might be:

• To reduce poverty by improving education enrolment and achievement, particularly for girls.
• To contribute to faster economic growth and poverty reduction through improved exchange rate management policies in developing countries.
• To reduce the national population growth rate by lowering total fertility rate from 6.0 to 5.6 in a 5-year period.

4.1.2 Purpose

What is your project going to achieve? A well-stated purpose should summarise in one statement the specific nature of the intended effect of the project and who will benefit from the project. It should also be SMART (Box 2).

When thinking about the project purpose the following should be considered:

• The effect or change expected,
• The activity to be undertaken (if appropriate),
• The target group for the project,
• The location of the project,
• What is the specific achievement (or achievements) that will be the project’s contribution towards solving the goal?
• Will the project actually make an impact?
• Would another project purpose be more appropriate or realistic?

As a general rule projects should only have one purpose. Clarifying the exact purpose of a project is a useful way to focus your project – do not go on to defining objectives and activates until you are happy with your project purpose. If the project cannot be
easily encapsulated in one purpose, this often means it has not been properly thought through.

Examples:
- *Educational policy and practice reflect findings of research by 2002.*
- *Exchange rate management policies in developing countries improved by 2005.*
- *To increase the contraceptive prevalence rate amongst out-of-school youth by 2005.*

### 4.1.3 Objectives

Objectives can be seen as completed tasks or expected results that are the stepping stones to achieving the project purpose. It is important to phrase your objectives as a completed outcome or output i.e:

✔ 2 people trained in disaster response *(objective)*

✗ 2 people being trained in disaster response *(activity)*

When considering the objectives the following questions should be asked:
- What are the concrete steps envisaged to achieve the project purpose?
- What will the effects and benefits of the project be?
- What improvements and changes will be produced by the project?
- Once all of these objectives have been achieved – will the project purpose have been completed? If no, an objective is missing…
- Are there objectives included which are not necessary or irrelevant (they must relate directly to the purpose)?
- Will the project be effective?

---

**Box 2: SMART**

SMART is an acronym that summarises the five key criteria for a well-designed goal, purpose, objective, activity or indicator.

**Specific**
- Who, what, how many, percentage change, direction/trend *(increase, decrease)*

**Measurable**
- Can information be collected to prove that this has been done?

**Achievable**
- Is doing this going to be practical and cost-effective within the project's set budget, human resources and time-frame?

**Relevant**
4.1.4 Indicators

The indicator states how you are going to tell whether the project is working. In other words:

- What will have changed by the end of the project?
- How will we know when the goal, purpose, objectives have been achieved?
- How will we prove that we’ve achieved them?

You need to develop indicators for your goal, purpose and objectives. Tracking indicators over time determines trends, telling us if we are moving closer or further away from our goal and objectives.

Indicators should be SMART as described in Box 2, but with the following qualifications for achievable, relevant and time-bound:

- **Achievable**: is getting this data/information going to be practical and cost-effective (how much time and money?)
- **Relevant**: will this data/info really prove that the goal/purpose/output has been achieved?
- **Time-bound**: An indicator should be capable of picking up changes over the time period of the project, it should also be able to provide information in a timely manner.

Example:

**Objective**: Capacity of health care professionals to deal with new vector-borne diseases is built by 2016.

**Indicator**: % increase of number of treatments for xxx and xxx vector-bourne diseases in xxx town from 2013 to 2016.

There are different types of indicator:

- **Impact Indicators**: trends or significant changes in the external environment. Large scale and long-term, they tend to relate to the higher level of the logframe i.e. the goal and purpose.
  
  *e.g. change in extent or quality of habitat over time.*

- **Achievement indicators**: track significant accomplishments or successes, which should reduce pressure on what you are trying to protect. Achievement indicators are often related to policy, legislation or socio-economics. They are medium term indicators that often relate to the objective level,

  *e.g. establishment of new protected areas, signature and ratification of international conservation conventions.*

- **Performance indicators**: illustrate the delivery of activities. Indicators of performance/work being done.
e.g. number of educational and training materials published and distributed.

4.1.5 Means of Verification

Once indicators have been developed, you need to decide how you are going to source information/data for each indicator along with how you will collect this information – this is the means of verification (MOV).

The sources may be:

- **secondary** (someone else gathered it) e.g. via a UN study,
- **primary** (you gathered it yourself) e.g. via a survey you did yourself with project funds.

Don’t exclude anecdotal evidence – e.g. views of project beneficiaries, **but** donors are sometimes wary of this and may require you to prove/demonstrate your claims.

An MOV should test whether or not an indicator can be realistically measured at the expense of a reasonable amount of time, money and effort. Factor the time and money needed to collect this information into your budget.

The MOV should specify:

- The format in which information should be made available (e.g. reports, records, research findings, publications),
- Who should provide the information, and
- How regularly it should be provided.

4.1.6 Assumptions/Risks

Many projects succeed in doing the activities they plan, but fail to make the impact they desire because of factors outside their influence. That is why it is important to identify the **significant** aspects of the environment within which the project will be operating that could ‘make or break’ the project. These are the project’s assumptions or risks.

Assumptions are outside the scope of the project (beyond the project’s control), yet their fulfillment is necessary for the successful achievement of each objective. Risks are the same thing but expressed negatively (things that could cause problems for your project). For example,

- **Assumption**: that there **will not be** significant political unrest during the life of the project
- **Risk**: that there **will be** significant political unrest during the life of the project.

Assumptions/risks are important and useful for a number of reasons:

- It may be possible to minimise the potential impact of your assumptions/risks through specific project activities. You want to design your project with an awareness of these issues so that you minimise the risk of failure,
- The risks/assumptions will be monitored along with the projects indicators (refer Section 5.1.6), if problems arise with certain risks/assumptions, then the project plan can be adjusted to try to influence those assumptions,
- By disclosing them in the project proposal, you are effectively getting your donor’s approval to adjust the plan based on these factors if necessary. This build flexibility
into your project plan – you can make changes based on the assumptions/risks without too much fuss from the donor as they have approved them from the onset.

Examples or assumptions that may relate to a specific goal/purpose or objective:

• *Government is committed to climate change adaptation at high levels and line agencies are required to comply with directives to incorporate climate change into planning and collaborate with each other through mechanisms established.*

• *Effective community participation is secured through incentives and information.*

• *That all non-climate-change–related factors having a significant impact on fish stock levels have been factored into the project plan.*

• *Quantitative or at least qualitative targets of resource use can be scientifically established and monitored.*

Don’t feel obliged to write an assumption for the sake of filling in the log-frame. Make sure that the assumptions/risks you identify pose an *important* and *likely* to pose a risk to your project. Remember you will have to spend time and money monitoring them along with your indicators.

Also consider whether you can change the design of the project to reduce the risk posed by a specific issue – use your risks and assumption to make sure that you have a well-designed project.

Depending on the scale and complexity of your project (and your target donor’s requirements), it may also be advisable to develop a simple *Risk Management Plan* for your project’s risks. Writing a Risk Management Plan involves the following steps:

• Rate each risk according to how likely it is to happen (low, medium, high),

• Rate each risk according to how serious the risk would be if it did happen (low, medium, high, extreme),

• Combine the two ratings to give each risk a grade as below (A, B, C, D or E):

<table>
<thead>
<tr>
<th><strong>Likelihood</strong></th>
<th>Low</th>
<th>Medium</th>
<th>High</th>
<th>Extreme</th>
</tr>
</thead>
<tbody>
<tr>
<td>Low</td>
<td>E</td>
<td>D</td>
<td>C</td>
<td>A</td>
</tr>
<tr>
<td>Medium</td>
<td>D</td>
<td>C</td>
<td>B</td>
<td>A</td>
</tr>
<tr>
<td>High</td>
<td>C</td>
<td>B</td>
<td>A</td>
<td>A</td>
</tr>
</tbody>
</table>

• Then list an action next to each risk as below:

  **A** - Mitigation actions to reduce the likelihood and seriousness to be identified and implemented as soon as the project commences.

  **B** - Mitigation actions to reduce the likelihood and seriousness to be identified and appropriate actions implemented during project execution.
C - Mitigation actions to reduce the likelihood and seriousness to be identified and costed for possible action if funds permit.

D - To be noted - no action is needed unless grading increases over time.

E - To be noted - no action is needed unless grading increases over time.

The Risk Management Plan would then need to be monitored and reported on along with the project’s Monitoring and Evaluation Plan (Section 5.2).

4.1.7 Activities

Now that you have completed the high-level design of your project, it is time to turn to the nitty gritty. Activities are the action components needed to accomplish the objectives. Each objective should have an activity or group of activities associated with it and these should be listed with a timeframe.

Examples:

Activities Under Objective 1:

1.1 Recruit Project Officer by May 2002.

1.2 Revise and finalise plans and construction/renovation by …

1.3 Workshop exploring extension workers’ needs by ….

When considering the activities the following questions should be asked:

- What are the key activities to be carried out?
- In what sequence should the activities be carried out in order to achieve the objective?
- In what time frame should the activities be carried out in order to produce the expected results?

Once you have agreed the activities required to meet the project objectives you can:

- Set time-frames for each activity
- Assign responsibilities for different activities (who will do it),
- Determine the resources required to deliver each activity (human resources, equipment, travel costs etc.). Once these operational details are agreed you are in a position to start drawing up the project budget.

4.1.8 Testing the logic

Once you are happy with the overall goal, purpose, objectives, indicators, assumptions and activities, test the logic of your framework:

Working from the bottom up, ask:

- Once all these activities are done will the objective have been achieved?
• Once all the objectives are done, will the purpose have been achieved?
• Will the indicators and means of verification effectively measure the progress of the project?
• Are the assumptions reasonable – or do they indicate that there is too much risk that the project will fail? (the killer assumption)
• Are project staff committed to the objectives and indicators? Do they see them as realistic and achievable?
• Does the log-frame contains all the elements it needs to contain (and only those elements) and overlooks nothing important?

4.1.9 Other important considerations during the project design

While it is beyond the scope of this document to provide detailed guidance on the following, it is important that also you factor the following considerations into your project design:

• **Further scoping**: Depending on what you were able to determine during your situation analysis (Section 2.3.1) there may still be important information gaps that you need to address before confirming your project strategy. In which case, you may want to write this into your log-frame as an initial objective or activity.

• **Capacity needs assessment**: Determine what skills, expertise, workforce and office support functions your project will require. Identify what you already have and if there are any gaps. Plan how to address these gaps. These gaps can be addressed in a number of ways: increasing the knowledge and skills of individuals, strengthening the supporting organisational structures, bringing in partners with necessary expertise, hiring or contracting new people.

• **Determine personnel needs**: Identify required personnel both by function and, if possible, by name. Contact project consultants, trainers, and other auxiliary personnel to seek availability, acquire permission to include them in the project, and negotiate compensation. Personnel compensation is important budget information.

• **Exit plan**: exit planning is a process by which an organisation pulls-out of supporting or managing as area of work. Every project should include an exit plan in its final phase. The aim of an exit plan is to:
  - Maximise the sustainability of the project results (through making arrangements for necessary work to continue once the project comes to an end)
  - Protect the organisation’s relationship with the project partners and beneficiaries (by making arrangements for on-going communication and collaboration)
  - Protect the organisation’s reputation (through clearly communicating the project exit and any post-project arrangements to the project beneficiaries).

• **Cost/benefit analysis**: Cost-Benefit Analysis can be useful as a means of proving the efficiency and sustainability of a proposal to your donor. It proves that you’ve considered the costs and benefits of different approaches to achieving your goal.
• **Gender Analysis**: The role of gender analysis is to look at how men’s and women’s differing roles, responsibilities, resources and priorities may affect their project participation. It is important that your project design is informed by an awareness of how gender will effect people’s participation in the project and who benefits. It is also important to consider whether your indicators should be factor-in gender (collect separate data on women and men). Many useful guidelines are available that set out how to do this.

• **Sustainability planning**: refers to whether the intended impacts of the project are likely to continue once the project comes to an end and your project withdraws its input. Sustainability planning is critical as it considers whether your project will have a lasting effect. You project should be designed to maximize the sustainability of its results and many donors require that you address this point directly in your proposal.

• **Planning for communications**: Even if your project doesn’t include communications work (which it most likely will), many donors require that you make them ‘visible’ in your work. Include communications considerations in the activities of your log-frame, budget for it and plan for who will do it (do you have someone on staff? Will you need to hire a free-lancer?)

### 4.2 Monitoring and Evaluation Plan

A completed logical framework forms the basis for on-going project monitoring and also evaluation.

#### 4.2.1 What is Monitoring and Evaluation (M&E)?

In the simplest sense M&E is checking to see if what you are doing is working.

Project monitoring ensures that the project stays on track and checks that the project is meeting the original objectives set. If objectives are not being met, action can be taken to remedy this.

Monitoring also provides an opportunity to review the environment that the project is working in and determine if external or internal circumstances have changed and whether the initial project objectives are all still appropriate.

Project evaluation provides an opportunity to learn lessons about what has worked, what has failed, and why, and demonstrates how future projects can be improved accordingly.

There results of monitoring and evaluation can be applied in a number of ways:

• If it’s not working as well as it could, you need to make some changes to what you’re doing – this is often referred to as **adaptive management**.

• You should also **communicate** the results of your findings, for example through **reports to your donor**, or through profiling success stories to the public,

• Regardless of whether it’s working well or not, you will have gained a better idea of what works and what doesn’t – this is **lesson learning**, it’s important that you share this with others so that we don’t keep making the same mistakes.

It is important to make the distinction between M&E of **activities (performance M&E)** versus M&E of **results (impact M&E)**. Whilst activity tracking (did we do what we planned?) is a crucial component of project management, it is not an effective way to evaluate whether the project is/was successful. M&E should track and examine the
results of the project/programme efforts (is what we are doing working?), in order to
determine and communicate the effectiveness and appropriateness of the efforts.

M&E takes time and money. It is very important to plan what M&E work you will do
during the project design phase – before you finalise workplans and budgets.
You can do this by writing a Monitoring and Evaluation Plan based on the indicators in
your log frame then factoring the M&E Plan work back into the logical framework and the
budget for the project in terms of activities, timing and costs.

4.2.2 Monitoring Plan

A monitoring plan acts as a tool to develop the logical framework into a practical,
deliverable plan. It allows gaps in the plan to be identified, it allows the practicalities of
the monitoring approach to be assessed, and it ensures that the responsibility for
monitoring each indicator has been defined. As you flesh out your monitoring plan and
think about the practicalities, you may want to make changes to the log frame (especially
the indicators, MOV and assumptions).

A monitoring plan template together with instruction on how to complete the plan is
provided at the end of this section.

4.2.3 Evaluation Plan

You will need to do at least 2 evaluations in the course of the project: a mid-term
evaluation and a final evaluation. Some form of evaluation should occur at least every 6
months. Many projects carry out their evaluations just prior to writing the progress report
for the project, which is sensible. If the project is operating on a shorter time frame, a
mid-term and final evaluation should be scheduled accordingly.

The size and life-time of the project will determine the nature of the evaluation (how
complex, time-consuming and expensive it will be) and the how many evaluations will be
required (the longer the lifetime the more evaluations will be necessary). Donors often
have specific requirements in relation to evaluations as well.

It is important to be clear about why you are holding an evaluation. Evaluations are
usually conducted with a view to:

1. **Impact**: Determine the actual external impact of the undertaking, and prioritise
   future efforts (based on what works well and what doesn’t).
2. **Accountability and transparency**: Assessment of project performance to plan
   and with respect to the use of project funds.
3. **Institutional learning**: developing recommendations for the guidance of similar
   projects in the future, and
4. **Management**: Improving present project implementation by drawing key lessons
   learned so far and applying them to the current project (adaptive management).

Normally an evaluation will be designed to address all of these aims. However, you
may need to make the distinction between whether you are going to look purely at
whether work was completed (point 2) or whether you will also look at the impact of the
project in terms of the conservation goals that were defined (point 1). An evaluation
should ideally cover both points.
It is also important to be clear about the approach that will be used to conduct the evaluation. A number of evaluation approaches, used individually or in conjunction with one another, might be used such as:

- **Self-evaluation** – the project manager or a group of project personnel work through a series of review questions in relation to their project, with a view to assessing progress towards objectives and making changes to the project plan as new information becomes available.

- **Participatory evaluation** – project staff and/or evaluators consult with local communities or other intended beneficiaries about the project, or particular aspects of the project. This may include involvement of beneficiaries in collecting, analysing, and compiling the information for the evaluation.

- **External evaluation** – carried out by one or more people not directly associated with the project. Used where objectivity of the exercise is given high priority. These evaluations should include local nationals as well as outside experts.

- **Joint evaluation** – undertaken by project /programme staff and outsiders (donor staff and/or external consultants) to arrive at a common understanding of objectives, methods, effectiveness, and impact.

Often evaluations are under-budgeted. It is very important to plan the evaluations during the project design phase, and to anticipate the costs in the initial project budget and fundraising package.

An evaluation plan template together with instructions on how to complete the plan is provided at the end of this section.

**4.2.4 Including M&E work in your proposal**

Now that you’ve written your M&E Plan, you need to ensure that you factor the activities that you have planned into your project proposals, log-frames, workplans and budgets. Funds for M&E should always be planned for and included in the project budget. The investment made in establishing project monitoring systems will translate into a much more flexible and adaptive project.
Ryan Medrana of Pacific Islands Forum Secretariat gave the following valuable advice for Pacific Islands governments at the Pacific Climate Change and Finance Workshop (Samoa, October 2012):

1. When designing your indicators and M&E Plan, refer to your existing M&E systems, avoid setting up parallel systems unless necessary. For example, if a M&E system for reporting on your national sustainable development strategy is already in place, use the indicators in that for your project if you can. Cut and paste where possible!

2. Negotiate with your donor on their M&E requirements e.g. see if they'll accept the use of your existing systems.

3. How much budget should a project allocate to M&E? (donor perspective): this depends on the donor, negotiate this up or down if you feel it’s justified. Shouldn’t be placing a big burden on your system. Aim to keep it low.

4. If there are heavy M&E requirements consider pulling a partner into your project with the technical expertise for carrying out complex M&E, for example the Secretariat of the Pacific Community (SPC). Maybe even get extra funding from the donor to do include external review part-way through your project.

5. Consider asking a donor to work with another donor; if an overseas donor doesn’t have the system in place in your country to keep an eye on things, ask them to partner with a local donor to do this for them, this is sometime referred to as ‘delegated cooperation’. An example of such an arrangement is AusAID’s contribution to the Pacific Adaptation to Climate Change (PACC) project. Another example is that the German government currently delivers some of AusAID’s aid programme in the Mekong because they have a local presence. In return AusAID is looking into providing similar support for Germany in the Pacific.
The ‘from’ and ‘to’ dates during which the indicator will be monitored and information collected. For information that needs to be collected once only, this could simply be a date.

<table>
<thead>
<tr>
<th>Goal/Purpose/Objective/Assumption</th>
<th>Indicator (Is it “SMART”?!)</th>
<th>Means of Verification/Information source (for indicator)</th>
<th>Collection time frame (from when to when will you gather this information?)</th>
<th>Collection frequency</th>
<th>People responsible for gathering the information</th>
<th>Baseline data</th>
</tr>
</thead>
<tbody>
<tr>
<td>Take the full text directly from the log-frame. Make a new row for each objective etc.</td>
<td>Take the full text directly from the log-frame.</td>
<td>The full text of the MOV that relates to the indicator (taken from the log-frame).</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The baseline is the status of the indicator before the project began.

So, if the indicator is an increase in the population of an indicator species, then the baseline will the population of the species before the project started working to protect it.

If the indicator is a change in a government policy, then the baseline will be the policy as it stands before the project began.

If available, enter the current baseline data value/status and the date to which this information applies.

For those indicators where the baseline data is already available, this could be an actual number (e.g. population = 1000, 12 March 2013), or a statement (“involvement of local communities in conservation activities limited to litter collection on local beach – 17 July 2012”), or in some cases it could reference an evaluation or a report of the initial status (e.g. A definitive policy evaluation, completed 20/3/11).

For those indicators where the baseline data is not yet available, write “to be determined” (TBD).

Where baseline data is not required for the indicator (e.g. an entirely new system is being established), make a note of this in the column.

Monitoring Plan Template
### Evaluation Plan Template

It is important to be clear about why you are holding an evaluation. Section 4.2.3 provides guidance on this point. Usually an evaluation will aim to address one or a combination of the following criteria:

1. **Impact**
2. **Accountability and transparency**
3. **Institutional learning**
4. **Management**

However, you may need to make the distinction between whether you are going to look purely at whether activities were completed (point 2) or whether you will also look at the external impact of the project, in other words whether the project is achieving its goal (point 1).

List the **Staff and Stakeholders** that will be involved in the evaluation. Note: consider for whom the evaluation is intended - who will benefit? Ideally, these people should have input into the TOR of the evaluation.

Who will lead the evaluation? i.e. develop the Terms of Reference for the evaluation, organise the evaluation, conduct it, write the report and disseminate the results - or facilitate others to do this. E.g. A member of the project team, a staff member, an external consultant...

How will the findings of the evaluation be used? The findings of the evaluation will need to be followed-up on and disseminated by the lead person identified in column 5. Other follow-up actions could include: revision of project logframe based on evaluation findings and/or holding a follow-up workshop with key stakeholders to ensure the recommendations made in the evaluation are acted upon.

<table>
<thead>
<tr>
<th>Evaluation</th>
<th>Purpose</th>
<th>Who will be involved</th>
<th>Approach/Method</th>
<th>Lead person</th>
<th>When</th>
<th>Resource needs</th>
<th>Who results will be disseminated to</th>
</tr>
</thead>
<tbody>
<tr>
<td>Indicate which evaluation this will be, e.g.: &quot;1. first six-monthly evaluation&quot; &quot;2. mid-term evaluation&quot; &quot;3. final evaluation&quot;</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>When will the evaluation be done? Give a date.</td>
<td>Give here an estimation of what the evaluation will cost and if there are any other resource needs.</td>
<td></td>
</tr>
</tbody>
</table>

State here the **general approach** that will be used to conduct the evaluation. One of a combination of the below approaches could be used:

- Self-evaluation,
- Participatory evaluation,
- External evaluation,
- Joint evaluation.

Section XXX provides more detail about these approaches. Also indicate roughly what **methodology** will be used, such as: Interviews, workshops, meetings with focus groups of stakeholders, questionnaires, analysis of quantitative data.
4.3 Budget

Well-constructed budgets provide a critical ‘reality check’ as to what can be achieved. If a project budget is not properly written during the project design stage, a project may actually end up costing your organisation money rather than bringing in new resources. A well-designed project plan is critical for realistically estimating the time and resources required on a project.

In most cases, donors initially ask for one total figure and only require a more detailed budget if the project gets through to the next application stage or only if/when funding is approved for a project.

Giving a rough estimate for the budget figure but providing a detailed project plan (the activities are going to be carried out) can pose serious financial risk to your organisation. This can lead to a situation where a project promises to deliver more than is financially feasible. This results either in the donor being disappointed, because not all activities can be carried out with the funds they have provided, or in a funding shortfall, leading to a scramble to find extra funds.

A good budget will consider:

- Full costing of the project/programme (including indirect costs),
- Contingencies/flexibility,
- Co-finance requirements,
- Cash-flow implications,
- Currency and other financial risks, and
- Whether the donor will require an audit, if so what will be the scope? Audits need to be factored into the budget and may also require specific administrative procedures. As such it must be factored into the project planning stage.

Your budget should stem directly from the planned activities in your log-frame (Section 4.1.7). It should be at an appropriate level of detail to enable good project management and only then should it be formatted to comply with the target donor’s specific budget template. It might make sense to compile two budgets:

- An ‘internal budget’ which focuses on the project inputs and ensuring that all costs are covered (including overheads), and
- an ‘external’ budget that fits a funder’s criteria and reflects the project results.

4.4 Proposal to donor

Once the log-frame, M&E plan and budget are complete, you have all the critical information that you need for providing an excellent summary of your project. You can use the log-frame as a basis for any application even if a donor does not request one. Equally importantly, they are the main tools you will use to plan and manage your project.

Assuming that you have selected your target donor(s) as set out in Section 4, the next step is to write your proposal:

1. Always follow the exact specifications of the grant makers in their applications, Requests for Proposals (RFPs) and guidelines. Read the guidelines, then read them again, make sure you understand them perfectly and contact the funder with any questions you may have.

2. Always contact the funders directly, before you start writing the proposal. Think of the funder as a resource:
   - Some funders offer technical assistance, others do not. Ask for technical assistance, including a review of proposal drafts.
   - Inquire about how proposals are reviewed and how decisions are made.
   - Remember, the contacts you make may prove valuable, even if not for now.

3. Know the submission deadline
   - Plan to submit your proposal on or preferably before the deadline.
   - Be realistic about whether you have time to prepare a competitive proposal that meets the deadline.
   - Find out how the funder will notify you about the receipt and status of your proposal. Factor this information into your timeline

4. Update your timeline, now that you know about submission deadlines and review timetables. Factor into your schedule time to write multiple drafts, solicit project officer for review of draft, gather relevant and permissible materials, and prepare an impartial critique of your proposal for clarity, substance, and form.

5. A written grant proposal is the primary tool that most funders use for making grant decisions. In a nutshell, the grant proposal is your opportunity to communicate to the funder who you are, why you are seeking a grant, what you plan to do with the money, and why you are a good fit with the funder’s priorities.

6. Donors are busy people, keep it short and relevant.

7. The funding process is a competitive process – think how your project stands out.

8. Answer these questions:
   - Who are you?
   - How do you qualify?
   - What do you want?
   - What problem will you address and how?
   - Who will benefit and how?
   - What specific objectives will you accomplish and how?
4.5 Final assessment prior to submission

Be sure to get approval from the correct people within your organisation and from the people that are listed as implementing the project before you submit your proposal.

It is important prior to sending a proposal or application for funding to make another check to ensure that all likely risks are considered and plans for dealing with these are made. It is also advisable that you consider the following points before committing your organisation to the proposal:

4.5.1 Operational risks

• General operating environment
  Are you working in a new country/operating environment? What are the risks to staff?

• Are there factors not under our control (the risks and assumptions in your log-frame)?
  Do you have the capacity to deliver the project activities, comply with the evidence requirements of the funder and produce the report on time? Have you taken into account the historical performance of the organisations/communities that you are working with?

• Are you clear what you are expected to deliver?
  What are the timetables? For example, reporting timetables need to be realistic considering the complexities of the operations. (e.g. generally the more locations and people involved, the more time is needed). You may need to collate reports from different groups, which can take a considerable amount of time to finalise.

  What are the audit requirements? Have you confirmed the wording needed for the audit certification?

  Do you have an exit strategy?

4.5.2 Financial risk

Some funders do have requirements for co-finance (match-funding), and in other cases it may be useful as a selling point. This is often a complex area and needs careful planning. As a minimum: if co-finance is needed, raising it and reporting on it bestows an additional (administrative) burden for any project.

• If co-finance is needed, is the match funding secure? Is it eligible?
  Check with the person who is managing the project to be used as match funding that it can be used. There is often a danger of ‘double counting’ (using the match funding for more than one project).

  Remember that the funding from the main funder and the match funding are all part of one project, therefore the match funding needs to be used to deliver the project’s activities.
What level of reporting is needed? Some funding agencies require a full audited report on the total budget including the match funding whereas others only need a summary.

Who is responsible for the co-finance? Is it under our control?

- **Cash flow**

  How does the financing work? What cash flow implications are there? Some funders pay in arrears and can be very slow to pay. It is important to ensure that the project can survive the cash flow deficit that is likely to occur in these cases.

  Try to get as much cash delivered as soon as possible. This provides the cash needed for operations (without which there is additional financing cost) and can reduce exchange rate risk.


5 **Post-submission considerations**

Your contact with the donor shouldn’t end once you submit. Follow-up with the donor regularly to check the status of their decision-making process. If your proposal is funded write immediately to acknowledge it. If you sign a contract, be sure to read it first and note when and what kinds of reports are due. If you realize you can't turn in the report on time, send a note or call to say it will be late. Even if the funder doesn't ask for a report, send one anyway.

What if you get some funding, but not all that you wanted for the project? For example, you budgeted $50,000 for the project but could raise just $35,000. You will then have to decide whether you can do the project in a meaningful way with the money you have. If you can, you must write all those who funded the project and explain how you will adapt to the lower budget. If you can't, write the donors to explain the situation and ask if you can transfer their money to another project (which you describe fully). They might say yes. If not, then you must return the money.

5.1 **Unsuccessful submissions**

Always request feedback on the proposal, especially if it’s not successful.

If a funder turns down your grant request, the letter giving you the unhappy news will probably be a form letter. But if you wish, and the funder has staff, you may phone or email and ask, “Can you tell me anything that will help us another time?” Perhaps they liked your proposal but just ran out of money; perhaps there was some tiny point of confusion that could be easily resolved. But don't make such a call if you are feeling angry or combative. You are trying to get information, not argue a case in court.

If your grant request is turned down, but after an objective review of the funder's guidelines you still feel there is a good match, apply again in about a year. Many
applicants are only successful on the second or third try. You can also ask the funder's staff person if she thinks it would be worth your time to apply again.

5.2 Implementation
Detailed guidance on implementation is beyond the scope of these guidelines however it is important to keep in mind the following advise from donors:

Advice from Bilateral and Multilateral Donors

- Be open and transparent with your donor about any problems that arise - there is no such thing as a problem-free project and donors get worried if you claim that it is.
- Always invite donors to events and/or any other opportunity to involve them in the project
- Timely & accurate reporting is critical:
- Donors have to report as well to continue funding,
- Report on tangible outcomes beyond activity descriptions if you can.
- Demonstrate that you are monitoring your project indicators and responding to the findings with adaptive management.
- Demonstrate that you are monitoring your risks and assumptions and working to mitigate them.

Advice given by representatives of AusAID, European Union, NZAid, UNDP at the Pacific Climate Change and Finance Workshop, October 2012, Samoa. Hosted by SPREP and funded by APAN and SPC thought the GCCA:PSIS.

Think you’ve finished? Try the check-list on the next page.
Checklist for Proposal Development and Submission

Conceptualisation
☐ Where did your project idea come from? Is it the best possible use of your organisation’s time and resources? How does it relate to your strategic plan?
☐ Have you developed a timeline for the development of your proposal? Is it realistic? Have all the people listed in the timeline confirmed they can commit to delivering it?
☐ Has your project concept been informed by:
  o An adequate situation analysis (information gathering) – do you know enough to be clear about the root causes of the issue your project is aiming to address?
  o A stakeholder analysis?
  o A SWOT analysis?
☐ Are your project goals and objectives well-reasoned (a problem/objective tree can help with this).

Selecting Target Donor
☐ Is your project concept an exact match with the donor’s criteria? If not – either change the project concept or change the donor?
☐ Have you contacted the donor directly?

Project Design
☐ Have you developed your logframe? Is it SMART?
☐ Have you ‘tested the logic’ of your log-frame (Section 4.1.8)?
☐ Have you given consideration to: the need for further scoping, capacity and personnel needs, exit planning, gender considerations, sustainability planning and planning for communications (Section 4.1.9)?
☐ Have you developed an M&E Plan for your project and factored it into your proposal work plan and budget?
☐ Have you written your budget and factored in the considerations listed in Section 4.3?
☐ Have you written your proposal to the donor and followed the 8 steps listed in Section 5.4?
☐ Have you done a final assessment of your proposal prior to submission and considered: operational risks (Section 4.5.1) and financial risks (4.5.2)?
☐ Are you regularly following-up with your donor to check the progress of their decision-making process?
☐ Have you followed-up in writing when you’ve heard from the donor – regardless of whether you are successful in securing their funding? (Section 6).