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PROJECT FORMULATION AND PROPOSAL WRITING

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INTRODUCTION

All of us involved in developing and managing projects have had to learn sooner or later that money does not necessarily flow just because we have a good idea. Although numerous organizations are in the business of granting or lending money for development, these agencies need to be provided with well written convincing documents presenting our case. They require proposals that show that what we have in mind is a priority, is feasible, is cost effective, fits with national plans, does not duplicate anything already being done, and so forth.

Project managers are usually good at identifying problems and developing relevant solutions and new interventions, but they often lack the time and the skills to present these ideas in the form required by the potential financiers and partners.

This is true of many of the managers in the Health Learning Materials (HLM) Network where good will and good ideas abound but money does not. The HLM clearinghouse at WHO has attempted to provide advice and assistance, wherever possible. But it is essential that national HLM projects become more independent and self-reliant in writing proposals and approaching donors. Towards this end, the HLM clearinghouse has produced these guidelines for project formulation and proposal writing.

Although developed specifically for HLM Network Managers, this document can also serve other middle and senior level health managers in government and non-governmental agencies in the Third World. It draws on materials from international and non-governmental organizations and, in particular, on the experience of the African Medical and Research Foundation (AMREF), a Kenya-based regional non-governmental organization involved in designing, implementing and evaluating a wide variety of health development projects.

The guidelines deal with the process of formulating ideas, soliciting feedback, developing support, writing and submitting project proposals, as well as with the contents of proposals.

Chapter One takes you through the main stages that make up the process of project formulation and proposal writing. For each of the four stages that have been identified, there is a description of what usually happens and a few points on how to proceed and what to watch out for.

In its first section, Chapter Two presents eight modules that can be used to produce preliminary project papers and full project proposals. A second section describes techniques for charting essential project information in summary tables.

Process and contents are inextricably linked in project formulation and proposal writing. By covering both, we hope that these guidelines will point the way and help you get over all the hurdles you will encounter as you formulate your idea and produce a proposal that attracts the support and resources you need.

CHAPTER 1: THE PROCESS

Stage One: Formulation

* Formulating the Idea.
* Preparing a Preliminary Project Paper.

The initial process of formulating a project idea varies enormously, depending on the temperament, training and opportunities of the concerned individual. It spans the period in time from becoming aware of a particular problem to the moment when you have settled on a particular strategy to approach that problem.

Whether you have arrived by leaps and bounds or step by step is not important. Nor does it matter whether or not the idea has come to you in what planners would regard as a logical sequence. No matter how you got there, unless you are independently wealthy and run your own one-man or one-woman organization, you must now get ready to present your project idea to those whose assistance, support, approval and money you need for its realization.

You have recognized a problem, an unmet need, a condition that requires a change in the present course of action or inaction. You have thought of a solution. It is now time to sit down and put your analysis and your propositions on paper, and to critically review your own ideas.

It is both unnecessary and unwise to start by preparing a comprehensive detailed project proposal. It is unnecessary because the bare bones of your project idea are sufficient for a first review by your colleagues, your bosses and by potential donors. It is unwise because writing a full proposal is a great deal of work which may turn out to be a waste of time if your basic idea is not acceptable to your organization or to the donors.

Produce a preliminary project paper of no more than five pages. The paper should cover a statement of the need, the goals and objectives, your proposed strategy and an indication of the type, size and value of resources required. Writing the paper will provide a mechanism for:

- thinking systematically about your project, reviewing and clarifying the connection between the need, goals and strategy;
- identifying gaps and inconsistencies you may not have noticed before;
- considering the scope of the proposed intervention and the feasibility of implementing it under the prevailing economic conditions and within the limitations of your organization;
- making a rough calculation of the resources required from external sources;
- developing a solid basis for soliciting feedback and development support among peers and decision makers within your own institution, from other relevant organizations and from potential donor agencies.

Stage Two: Circulation and Feedback

* Circulating the Preliminary Project Paper.
* Gaining Approval and Support from Bosses and Central Agencies.
* Generating Support and Cooperation from Colleagues and Related Agencies.

You have completed your preliminary project paper. The purpose of doing this has been to clarify your own thinking and to produce a brief document describing the essential elements of the project. You can now use this document as a basis for discussion and as a tool of persuasion.

At this stage, you need feedback from your superiors and your colleagues about the merit of your idea. Do they agree with your needs assessment; problem formulation; the objectives you have set and the strategy you have selected? What about feasibility? Do they consider the technical solution as appropriate and implementable? What about the projected resource requirements - is the proposed solution affordable?

Circulate your paper to a well selected group including possible adversaries. Observe carefully whether your ideas are understood in the way you meant them. How well have you communicated your analysis, your visions?

Be sure to consider the process of obtaining feedback not just in technical terms. The reactions you receive will help you review not only the technical contents of the proposal, but equally importantly, assess the feasibility of its adoption in terms of organizational and political support.

Although rationality and logic are stressed in guiding you through the process of formulating your ideas and writing proposals, we all know that these standards of rationality often do not apply in the real world. Projects may be perfectly logical and needs assessments objective and valid. Yet, a project does not get adopted because it does not coincide with the interests and values of an important decision maker in your organization. The need may be considered a priority within your organization or sector but the central treasury, dealing with the allocation of scarce resources between different sectors, may not agree with your assessment. Your objectives and strategy may be perceived to be competing or conflicting with someone else's pet project and rejected for this reason.

Discussions of the preliminary proposal can be skilfully used to develop interest and support for the project idea. This is the time to lobby, to bargain and to form coalitions that will assure not only the adoption of the proposal but also develop solid support for its successful implementation. Consider all the forces that affect your project and see how you can acquire allies at all levels.

Stage Three: Communication with Donors

* Identifying and Courting Potential Donors.

Donors have their own priorities and values. This is not only true of the major donors whose operations are largely determined by macro political and economic considerations. It is equally true of most other donors who usually have geographical and sector priorities as well as preferred strategies within sectors. If one were to caricature the donor situation, one might say that Africa is 'in', community participation is 'in', the district is 'in', hospitals are 'out', and so forth. These 'ins' and 'outs' tend to change every few years. To be sure, they are usually based on careful considerations of needs and experiences in the field. In any case, it is important to be well informed on what current trends in donor thinking are and to use appropriate terminology as a tool to market the project proposal, without compromising vital principles of your basic idea.

You should develop and keep up-to-date an inventory that contains profiles of all potential donors, including the following information:

- geographical priorities
- sector priorities
- size of projects funded (range)
- maximum project duration
- preferred health strategies
- proposal format
- channels for project submission
- reporting and evaluation requirements

To obtain this information, contact as many embassies and international delegations as possible in your capital city and ask for a list of development and aid agencies in their country or region. If they cannot provide it themselves, they will give you the name and address of an institution in their country that can help. There are also directories of international foundations issued periodically by different organizations, such as Organization for Economic Cooperation and Development (OECD) and the United Nations Development Programme (UNDP). See whether you can find these through the office of the UNDP representative, or in the library of your national development institute.

Finally, there are two particular concerns of donors that you will need to carefully consider and address in your discussions and negotiations. Firstly, donors are inevitably concerned with the economic feasibility and institutional capability for continuing the project after external funding ceases. They wish to see project strategies that explicitly address the development of institutions and that promote self-reliance.

Secondly, donors understandably aim to fund activities that will produce tangible results. They usually insist on identifying ways for measuring the success or failure of the project they are helping to finance. The development of systems for monitoring and evaluation are, therefore, of special importance.

Stage Four: Writing and Submission

*   Writing the Comprehensive Proposal.
*   Presenting and Submitting the Proposal.

In writing the final proposal you will carefully scrutinize all the feedback information you have received. It will not be possible to please everyone and to incorporate all comments. If you do, chances are that your proposal will become confused and inconsistent. When you make changes in one of the key sections of the proposal, be sure to review whether the logical link between objectives, strategies and inputs remains intact or whether other sections also need to be altered.

The preliminary project paper is usually produced with scanty information. Completeness and validity of information are important when you write the full proposal and will probably require additional work.

The interactions you have had with colleagues, bosses and donors have helped you define the strategic space within which you must now develop your full proposal. Whereas at the idea stage, organizational and political realities may have been remote, you will need to take full account of these in producing the final document.

Once you have completed the proposal, you usually need to submit it through the formal channels. This will involve central ministries, such as the Ministry of Economic Planning, the Ministry of Finance, the Ministry of Foreign Affairs or the Office of the President. In some unfortunate situations, it involves not just one but all of these. Proposals to non-governmental organizations (NGOs) do not always have to follow this route. However, they often require a supporting letter from the head of your institution. To minimize delays, it helps to draft such a letter for the signature of the relevant person rather than wait for it to be done by usually very busy top officials.

Going through official channels need not prevent you from informally submitting an advance copy to the donor, provided it has been approved within your own organization.

Cost Sharing

Do not necessarily expect to find a single donor who will finance your entire project. There are donors who are willing to provide seed money for operational research to further investigate problems and to carry out detailed project design work. Many donors favour co-financing arrangements whereby two or more donors participate in funding a project. Keep donors informed of your approaches to other agencies. If you have convinced some donor agencies of the value of your undertaking, they may even help identify and approach additional donors.

Follow-up With Agencies and Rewriting

Once you have submitted the documents, perseverance becomes the name of the game. Project submissions may get stuck at each point on the way to the donor. You will need to check regularly whether the proposal is moving in the right direction. Be prepared to spend time and effort to see that the proposal arrives at its destination. Technical officers often consider their labours over, once a proposal has been completed and accepted by their superiors. It is difficult to overemphasize the importance of making an effort to see that the proposal arrives in the right hands and to show yourself willing to rewrite and re-edit sections, if necessary and appropriate. Alterations in propsals at the request of central agencies and donors are not unusual. In fact, donors' requests for revisions are a positive sign; at least they have not rejected the proposal.

Although you need to ascertain that the proposal remains technically sound and organizationally feasible, your work has not been completed until a mutually satisfactory version of the proposal has found its way to the final decision makers.

CHAPTER 2: THE CONTENTS

Section One: Eight Modules

Section Two: Project Design Frameworks

Information requirements and formats for proposals vary a great deal from donor to donor. Some donor agencies insist that applicants adhere to their format, others simply offer guidelines to assist the applicant and to ensure that major points are adequately covered.

It is noteworthy and comforting, however, that the same key sections tend to appear in almost all standard formats of the major donors. Smaller donors frequently leave the questions of the format to the applicant, provided that specified essential information is included.

You will find more variation in the words used to denote the most important components. For example, what some donors refer to as objective is called purpose by others. Donors are usually after one and the same thing when they ask you about the approach of your project, the method of intervention, the technical plan or the project strategy.

Keep in mind that what these sections contain is more important than how they are named. Your proposal needs to be internally consistent and easily comprehensible to a wide spectrum of reviewers. Be sure that the logic of your presentation is clear in your own mind and well understood by those you have asked for comments and feedback in the first round.

In the next section, you will find eight modules which allow you to present all essential information about your proposed project. These modules can be used for both the preliminary project paper and the full project proposal.

The eight modules together will produce a comprehensive project proposal. If your donor requires less detail, you may want to omit some modules. For the preliminary project paper, you need only three modules (2, 3 and 4) and one section of a fourth module (5), covering the problem statement, goals and objectives, strategy and resource inputs.

Each module begins with the key question to be addressed in the relevant chapter of your proposal, followed by definitions and a discussion of what the chapter should contain. Examples and questions are added where required to illustrate these points.

Section two of this chapter deals with project design frameworks for presenting all essential project information in tables.

SECTION ONE: EIGHT MODULES FOR PROJECT PROPOSAL WRITING

OVERVIEW

Module 1 SUMMARY	What Is It All About?	
Module 2 PROBLEM STATEMENT	Where Are We Now?	Background Needs Analysis
Module 3 GOALS & OBJECTIVES	Where Do We Want To Go?	Goals Objectives
Module 4 STRATEGY	Which Route Will We Take?	Components Assumptions Methods Outputs Feasibility
Module 5 IMPLEMENTATION PLAN	How Will We Travel There?	Resource Inputs Workplan Organization
Module 6 MONITORING AND EVALUATION	How Will We Know When We Arrive?	Monitoring Evaluation
Module 7 BUDGET	How Much Will It Cost?	Capital Cost Recurrent Cost
Module 8 ANNEX PROFILE OF THE APPLICANT	And Who Are We?	Organization Record of Achievements

Module 1: Summary

What Is It All About?

The summary is perhaps the most critical section of your proposal. You may wonder why it is so important to write a summary. Remember that decision makers are very busy people. In addition to attending many meetings, they review large numbers of documents and propositions every day. They often do not have the time to carefully read an entire document. Only a limited number of the proposals that come across their desks can be considered.

You need to provide them with a short and concise, but interesting summary of your project. That summary must convince the decision makers that your project is relevant to their particular concerns and to the needs of the country, and that it is well thought out. Although short, it must cover the essential points of the full proposal.

Be sure that you state the objectives and the overall strategy of the project clearly and succinctly. Explain how the project will solve or significantly contribute to the solution of an urgent problem, or to addressing an important unmet need. Outline the shortcomings of the preent situation and then put forward a picture of the future reflecting the changes that will result from the proposed project interventions.

The total project cost is an essential part of the summary. It allows the decision maker to relate costs to anticipated outcomes and to assess the economic feasibility of sustaining the project activities in the longer term.

Although in the proposal the summary comes first, this section should be written after you have completed all the others.

Module 2: Problem Statement

Background

Needs Assessment

Where Are We Now?

This part of the proposal should cover the general background as well as an analysis of the need to be addressed and alleviated by the project interventions.

The background section should be short and confined to aspects of the general situation that are relevant to the problem and to the interventions you are about to propose. Explain how you (your organization) came to be involved in identifying and addressing the situation.

This should be followed by your analysis of the unmet need, diagnosing and further defining the nature of the problem to be addressed. You will explain the importance of the problem, commenting on its magnitude, its relevance to the policies and priorities of your organization and your government and its importance to the delivery of effective and efficient health services. As you present your needs analysis, keep in mind that the objectives and strategies, which you will put forward in subsequent sections, need to be clearly traceable to this part of the proposal.

The following is the first paragraph of a problem statement introducing a proposal for the rehabilitation of referral health facilities and services. It illustrates how to use the background section to set the scene for discussing specific needs and for proposing a strategy to address the situation.

> "As a result of the political and economic disturbances of the 1970s, the national health referral system has deteriorated to the point that it no longer provides adequate backup support for the delivery of basic health care services. Minimum repair of facilities would include restoration of electricity, water, sanitation, basic equipment for primary health care, and limited inpatient and staff housing. In addition, health facilities have continued to decline because of insufficient funds for maintenance, and purchase of essential equipment and supplies for basic referral functions. An important factor in the deterioration of physical plant and equipment has been the attrition of skilled technical staff who are required to maintain, operate and administer the health facilities. An additional factor has been the inadequate level of support for recurrent operating costs".

Module 3: Goals and Objectives

Goals
Objectives

Where Do We Want To Go?

Goals are broad statements of what is ultimately to be accomplished. Objectives are more specific aims which the project is to achieve with its own resources and activities and within the time frame specified in your proposal.

Statements of goals and objectives form the basis for the consideration of different strategies for their attainment. Be sure that your statement explains the purpose of the activities to be performed and establishes a logical link between the problem stated in the preceding section and the strategy you are proposing in the next section.

Because most of the problems we try to address are complex, you will find that there is a hierarchy of goals and objectives pertaining to your project. This can be confusing. Concentrate on the status you want to achieve by the end of the project as a result of your project interventions (called EOPS = End of Project Status by some donors). Your project objective is a statement of the EOPS you are striving for. It will provide a standard against which to assess the project's achievements.

Some Questions

- What has led to the identification of this problem and to the decision to develop a project to address it?

- What is the general situation and how is the problem developing? Will it grow rapidly, if unchecked?

- What has been done so far to address the problem and with what effect?

- What has been your (your organization's) involvement?

- Have there been any evaluations of previous activities and what have been the findings?

- What evidence is there of both need and demand for a workable solution?

- How is addressing this need relevant to the nation's stated priorities?

Your project goal is the impact on the bigger picture in health manpower development, in the provision of health services or in improving the health status of people, to which your project should lead or contribute.

An example of a goal statement is 'control and reduction of the incidence of malaria in Eastern Africa' with the project objective 'to assist participating governments in monitoring the sensitivity of falciparum malaria to current and candidate curative and suppressive drugs'.

Another project goal may be 'orientation of health care towards the most prevalent health needs in the population' with the project objectives 'to broaden and improve the existing health information system' and 'to produce population-based health information through sampling in selected pilot areas'.

Some Questions

- What is the overall goal of the sector or programme which your project is part of?
- What are the objectives to be achieved within your project?
- At the end of the project period, where do you expect to be?

Module 4: Strategy

Components
Assumptions
Methods
Outputs
Feasibility

Which Route Will We Take?

Project strategy refers to the design for a set of interventions that will meet your objectives and contribute towards attainment of the larger developmental goal. The underlying assumption of a strategy is that its successful implementation will eliminate, reduce or control the stated problem and that it can be implemented within the time frame of the project and with the financial and organizational resources available to the project, including those resources requested from the donor. The project strategy is the core of your project design.

A strategy may consist of a single intervention or a number of simultaneous or sequential interventions. It is useful to examine and describe your strategy both as a whole and by means of its components. For example, the strategy for a national continuing education programme will comprise a large set of interventions, including reorientation and training of trainers and facilitators; refresher courses and learning surveys for rural health workers; distance teaching; development and production of learning materials; library development; and the development of a system of supportive supervision.

A number of assumptions are underlying your strategy for continuing education, for example: 'if health workers are better trained they will do a better job and, thus, provide better care to the people'; and 'continuing education provides a vehicle for more and better contact between different levels in the health system'.

Explain what approach, what methods will be employed. The next paragraph is an excerpt from a proposal, illustrating how to present your approach.

"We will offer assistance and training in developing country-specific Health Learning Materials (HLM) production strategies along the following lines:

- identification of priority needs for materials, and of potential authors and potential readership;

- development of the materials through workshops, editing and pre-testing to produce a relevant, usable draft of any book;

- conducting a workshop with potential teachers, trainers, specialists and other interested parties to ensure the correctness and acceptability of the draft;

- re-editing; typesetting; paste-up and artwork; printing; distribution.

Throughout this process, research, testing and evaluation of all aspects of need, relevance, usability, design and layout for different readerships and purposes should be carried out'.

Try to describe the <u>outputs</u> resulting directly from each set of planned activities. Outputs are those concrete and tangible products that are needed to achieve the project objective and that will happen as a result of specific activities. In the health learning materials network, your outputs will be the establishment of institutional units, e.g., a fully staffed and equipped HLM unit; a number of trained staff; and, of course, books and other teaching and learning materials. In an immunization programme, your outputs will be vaccinated children and mothers; in a rehabilitation programme, outputs will include adequate staffing to allow full functioning of the facility, management systems developed and established to support and supervise activities, and renovated buildings.

You will also need to comment on the <u>feasibility</u> of your intervention strategy in technical, economic, organizational and socio-cultural terms. For instance, can your organization establish <u>and maintain</u> a printing unit for HLM? Will your organization allocate the funds required for the operation of the unit after external funding expires? What are the constraints likely to be encountered?

In order to arrive at a <u>project strategy</u>, a number of options are usually considered and examined with regard to their cost effectiveness and feasibility. Briefly outline the main options you have considered and explain why you have selected your proposed strategy.

Some Questions

- What are the key elements/components of your strategy and what are the premises on which these are based?

- What are the methods used in this approach?

- What are the expected outputs/results of each of these components?

- Is the technology proposed in your strategy available and appropriate for the project area?

- Is there an existing infrastructure/organization to which the project can be linked or does one need to be established?

- Will the implementing organization absorb the additional recurrent costs implied by this activity?

- Can the implementing organization continue project activities and sustain the benefits beyond the expiration of external funds?

- Are there any political or bureaucratic obstacles to the adoption and/or successful implementation of this project?

Module 5: Implementation Plan

Resource Inputs
Workplan
Organization

How Will We Travel There?

This is a core section of the proposal, describing what is actually going to be done. Having decided where you want to go and what route to take, you are now explaining the details of the journey.

Begin by specifying all the inputs required in terms of manpower, facilities, equipment, supplies and operating costs. Include all inputs, not only those you are requesting to be funded by an external donor agency. Also describe what resources are already available and where they will come from. For example, your organization may provide office space that you already have, vehicles that have been provided by other donors, and management support.

Next, you need to present a workplan outlining activities, targets and schedules. In a large project, you may want to divide your workplan into several specific project components. These can also be referred to as responsibility centres when different staff members head these components.

The following table is an example of a workplan, containing the essential elements that permit easy review of achievements and constraints.

Activity (By Component)	Timing	Output Target	Critical Assumptions	Indicator of Achievement
Component A				
Activity A1				
Activity A2				
Activity A3				
Component B				
Activity B1				
Activity B2				

Page 32 shows an example of using this type of workplan for a national health planning programme.

Another possibility for charting activities and their timing is the Gantt chart, as illustrated below.

Activities	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Activity 1	xxx											
Activity 2	xxx	xxx	xxx	xxx								
Activity 3				xxx	xxx							

Yet another option is a time table in the following format:

1987					
JAN	FEB	MAR	APR	MAY	JUN
Planning	Planning	Writers Course	Operators Course	Develop Software Package	Production Assistance Kenya
JUL	AUG	SEP	OCT	NOV	DEC
Editors Course	Distribute Software Package	Operators Course	Manuals Testing Consulting	Computer Course Consulting	Production Assistance Tanzania

Under timing, note whether this is a continuous, periodic or time-specific activity. If periodic, indicate frequency. If time-specific, indicate estimated date of start and completion. Under target, indicate what will be the direct result or output of the activity, if successful. Be sure that each result of output specified can be related to an objective stated in the goals and objectives section. Under critical assumptions, state essential conditions that need to be present for the activity to take place and the target to be achieved. Under indicator of achievement, describe the concrete evidence or source of information required to demonstrate that the activity has been completed and to indicate to what extent its target has been achieved.

The workplan need not be overly detailed. Refer to the key activities and indicate by project quarter when you expect the activity to start and to terminate.

Health Planning Programme
Workplan 1986 (Excerpt)

No.	ACTIVITY Title	TIMING	OBJECTIVE/ TARGET	CRITICAL ASSUMPTIONS	INDICATOR OF ACHIEVEMENT
4.	HEALTH INFORMATION SYSTEMS (HIS)				
4.1	Produce the Health Information Quarterly for national distribution.	April July October January 1987	To encourage exchange of information activities, etc. in Uganda.	Articles submitted, adequate editorial resources, printing materials etc.	Quarterly distributed on time.
4.2	Continuous monitoring of the Health Information Systems in two districts.	April until August	To assess the appropriateness of the system.	Field work begun in March 1986. No restrictions on travel.	Final Report on system with recommendation for its alteration, adoption or otherwise.
4.3	Organize workshop on Health Information Systems	August for three days	To finalise revision of Health Information Systems.	Field trials complete and report prepared.	Proceedings.
4.4	Organize two refresher courses on Health Information Systems	November January (three days)	To introduce finalized system to two districts.	Revised system accepted and forms reviewed and printed.	Course report.
4.5	Depending on 4.3 the continuation of the modified system in two or more districts.	September	To collect reliable data on morbidity, mortality and health activity from representative districts.	An agreed system is confirmed; necessary modifications introduced, funds available. No restrictions on travel.	Regular statistical output from the system on a national level.

A very important ingredient in the success of a project is the organizational framework within which implementation is to take place. A description of the project organization should be provided in this section. This may include an organization chart. Comment on important linkages between the project and other organizational units and external organizations. Lines of authority and of communication should be clarified in this section. Discuss organizational procedures for project guidance and control, and for reporting activities and expenditures.

Some Questions

- What resources are required for the project to function?
- Which of these are already in place and can be used by the project?
- What are the activities to be carried out?
- What is the timing of these activities?
- What are the intended results of these activities?
- What are the major targets and milestones?
- What are the conditions that must be present for activities to be undertaken?

- How can implementation of activities and achievement of targets be verified?

- Who will be in charge of the project?

- What staff will be assigned and/or recruited?

- To which department/division will it be responsible?

- How will it link up with other relevant departments and organizations?

- What reports will be made? How often? To whom?

- What are the communications channels?

- Will there be a steering or advisory committee to provide direction and advice?

- What will be its membership? Its terms of reference?

Module 6: Monitoring and Evaluation

Monitoring
Evaluation

How Will We Know When We Arrive?

Surprisingly often, systems to provide information for management and for evaluation are not adequately set up at the beginning of a project. At project midpoint, when donors usually ask to evaluate achievements and project managers start to think about applying for a follow-on grant, panic sets in as it becomes clear that no baseline data is available and information has not been systematically collected to allow a clear assessment of a project's achievements against its plans.

To avoid such situations and to assure continuous review of the effectiveness of your project strategy, it is important to develop indicators of achievement and to set up a system for monitoring and evaluation at the design stage. Roles and responsibilities in this area need to be clearly assigned. Be sure to emphasize the learning objectives of these functions and to develop a system which assures broad participation.

Monitoring refers to the process of systematically reviewing progress against planned activities and targets. Evaluation encompasses a more comprehensive review and assessment not only of project results, but also of the initial assumptions underlying the project design, including the relevance of the problem statement;

the relationship between the problem and the established objectives; between objectives and strategy; between strategy and implementation; and between implementation and outcome.

<u>Monitoring</u> is usually done by the project manager on the basis of reports, field visits and regular meetings of the project team. The comprehensive workplans described in the previous section are an important monitoring tool.

<u>Evaluations</u> are commonly scheduled in the middle and towards the end of the project period. Many donors insist on external evaluations using outside consultants, but the best results are often achieved when external consultants and project implementers together make up the evaluation team. In the long run, evaluation will involve measurement of the impact of the project interventions on the situation prevailing at the outset. An example is the impact of health learning materials on the attitudes and practices of health workers.

<u>Some Questions</u>

- What data will be routinely collected?
- What indicators are you establishing for various targets?
- Who will monitor and analyse project information and how often?
- How will evaluations be scheduled and who will participate?

Module 7: Budget

Capital Costs
Recurrent Costs

How Much Will It Cost?

In the project budget, you will systematically enumerate the anticipated costs of planned inputs and activities. Although estimates must be realistic, keep in mind that a budget is a forecast rather than a definitive statement of costs and prices.

Most organizations differentiate between capital costs which occur only once during the life of a project, and operating or recurrent costs which recur regularly. An important characteristic of recurrent costs is that they usually continue beyond the project period and after external funding expires. Donors are generally wary of financing recurrent costs unless these are projected to drop substantially once a programme has been developed and established.

It is important to keep good notes stating the assumptions underlying your calculations. This is particularly true for budget items which constitute activities, such as workshops or evaluations. Although shown as one amount, the cost of a workshop is composed of several different types of expenditures, such as travel, per diem, honoraria.

However, most line items in a budget refer to inputs, such as commodities (computers, cars) and supplies (stationery). Personnel costs are best broken down into individual positions and their salaries and emoluments, rather than presented as a global figure.

Budgets should include a contingency for unforeseen events and expenditures. Provision also needs to be made for inflation.

Donor requirements vary widely with regard to the currency in which the budget is to be presented: some insist on dollar budgets and others on local currency budgets. Yet others require that your budget estimates be presented in two columns, one for local currency (LX) and one for foreign currency (FX). You will need to consult the guidelines of your particular donors to be sure that you present the budget in the required form.

It is quite possible that you will not be able to find one donor to fund your entire project. Instead of writing several proposals to cover different aspects of the same project, you may simply divide up the costs between different donors. In this case, you can present a comprehensive budget which indicates the amount of money you are requesting from different donors as well as your own organization's contribution. If your contributions are in kind, e.g. premises, equipment, you should point this out in the budget notes.

Regardless of specific donor requirements, budget preparation can be quite easy if you use a comprehensive checklist such as the one below, to guide you.

Budget Check List

Capital Expenditure

1.	Construction	Office buildings; staff housing; training schools; health units; other construction.
2.	Commodities	Equipment; furniture; vehicles.

Recurrent Expenditure

3.	Personnel	Technical staff; support staff; consultants; casual labour.
4.	Training	Fellowships; study travel; workshops; refresher courses; correspondence courses; extension courses; other courses.
5.	Travel Costs	Train/bus/air fares; per diem, etc. for personnel and training.
6.	Supplies	Medical supplies; training supplies; vehicles; office supplies; printing and photocopying.
7.	Maintenance	Equipment; furniture; buildings.
8.	Vehicle Running and Maintenance	Operation and maintenance of vehicles.
9.	Other Costs	Utilities (electricity, fuel, water, rent); communications (telephone, telex, postage); licences and permits.
10.	Contingency	
11.	Inflation	

Here is how a project budget might look:

PROJECT BUDGET (state currency)

Line Item		PY1	PY2	PY3	Total
1.	Personnel				
	Medical Training Officer	100	110	121	331
	Nurse Tutor	100	110	121	331
	Secretary	50	55	61	166
	Driver	50	55	61	166
2.	Training				
	1 Fellowship	1000	-	-	1000
	5 Refresher Courses p.a.	500	550	605	1655
	1 Regional Workshop	-	-	200	200
3.	Travel Costs				
	Support and Supervisory Visits	500	550	605	1655
4.	Supplies				
	Office Equipment	1000	-	-	1000
	1 Vehicle	1000	-	-	1000
	Office Supplies	500	550	605	1655
	Photocopies	100	110	121	331
5.	Vehicle Running and Maintenance (1000 km per year at .50)	500	550	605	1655
6.	Other Costs				
	Contingency	1000	1100	1210	3310
	TOTAL	6400	3740	4315	14455

* Budget Notes

1. 10% inflation per year included.

2. Refresher course cost based on an average of 20 participants and one week duration.

facilitators' per diem	40
participants' room and board	40
learning materials	10
stationery	10
Total Cost Per Course	100

3. Office equipment includes:

1 computer	500
1 photocopier	300
4 filing cabinets	200

Module 8: Annex/Profile of the Applicant

Organization
Record of Achievements

And Who Are We?

In this Annex, you belatedly introduce yourself. This introduction should include a description of your organization. If you have a brochure about your institution or a suitable annual report, this may suffice. If not, produce a short paper which provides basic information about the nature of your organization, its legal constitution, number of employees and proportion of professional staff, the size of your budget, your major funding sources, institutional goals and key areas of operation, both technical and geographic.

In addition to the above general information, you should outline what your track record has been in relation to the type of project you are now proposing to implement. What has been your experience in planning, managing, implementing and evaluating such interventions? What have been your achievements in this area?

Finally, your proposal may be much enchanced if you include short resumes of staff already on board, or to be recruited, who will work on the proposed project.

SECTION TWO: PROJECT DESIGN FRAMEWORKS

There is now widespread use of certain techniques for presenting all essential project information in tables. For some donors, these tables are a compulsory part of the proposal. Others will ask you to use them when you make a preliminary submission.

The two most important ones are the Logical Framework (Logframe), pioneered by the US Agency for International Development, and now also used by German, Canadian and other aid agencies, and the Basic Project Elements Framework, developed and used by UNDP. In addition to serving as concise analytic summaries of the proposed project, these frameworks can be very useful for reviewing and discussing project design in small groups.

Logical Framework

The Logframe states causal relationships between goals, purpose, outputs and inputs, and the underlying assumptions about the factors affecting them. It encourages designers and planners to be specific, concrete and realistic in describing the relationships between ends and means. It also establishes a basis for project review by providing indicators which allow comparisons of actual and intended effects.

Basic Project Elements Framework

UNDP's Basic Project Elements Framework is based on the same principles as the Logframe but uses a different vocabulary. It specifies immediate objectives, outputs and inputs and reviews success criteria, verifiers and external factors for each item.

All these terms have already been discussed in the eight modules of the preceding section. Should your donors require a project design framework, you can ask them or the UNDP office to provide you with the relevant forms and instructions.

CONCLUSION

The chief purpose of this guide is to help develop marketable proposals. We trust that the preceding pages provide a useful overview of what needs to be done and how.

As with any other skill, you will only be able to develop competence as a result of experience and a lot of hard work. Do not be discouraged if you are not successful the first time. Perhaps you have not done justice to your idea in the way you have presented it. Perhaps you are courting the wrong donor or asking for too much money or putting the case forward at the wrong moment in time. After all, donors are business people and they do not give their money away lightly.

We suggest that you follow the steps outlined in this guide, using your own discretion depending on the subject of the project and the preferences of the donor. Once the planning and selling have been done, the battle is far from over. Rather, it is only just beginning.

The accepted proposal constitutes a contract between the donor and the implementers. However, there must be built-in flexibility to be able to modify the project design in response to experience gained during implementation. A well thought-out project strategy, a sound implementation plan and a good monitoring and evaluation system will go a long way towards ensuring the success of your project.

6 Dec '94

CM/ll

Program Planning

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Proposal Writing

Introductory Version

By Norton J. Kiritz and Jerry Mundel

Proposals written for private foundations and those written for government grants (Federal, State, County or City) usually differ in their final form. Foundations often require a brief letter as an initial approach. A full proposal may follow in many situations. Government funding sources almost always require completion of a number of forms along with a detailed proposal narrative. Therefore, proposals to private and government grantmakers look quite different.

The package to a foundation or corporation will usually contain these three elements:

1. The cover letter
2. The proposal
3. Additional materials.

1. The cover letter is signed by the Chairperson of the Board of a nonprofit agency, or the top authority in a governmental agency. It briefly describes the program, and tells the grantmaker how important the grant would be to the community served by the applicant agency. It shows strong support of the Board of Directors, which is essential in gaining foundation grants.

2. The body of the proposal may be as modest as one page (in the case of a foundation that limits requests to a page) or voluminous. It may be in letter form or a more formal presentation. In either case, following the instructions in Program Planning & Proposal Writing (PP&PW) will help to assure that the necessary items are included and are presented in a logical manner. Remember one thing: PP&PW can help you structure your thinking and even plan your project or program. It can serve as your proposal format where the funding source has not provided one—as is often the case with foundation proposals. *But it should not be substituted for any format required by a foundation.* If they ask you to follow a set format, do it!

3. Additional materials should be limited to those required by the funding source supplemented by only the most important addenda. Reviewers don't grade proposals by the pound, so save your postage.

The proposal package to a government funding source usually contains these elements:

1. Letter of transmittal
2. The proposal
3. Additional materials

1. The letter of transmittal is a brief statement (2-3 paragraphs) signed by the highest level person within your organization. It briefly describes the request, the amount asked for, and may indicate the significance and importance of the proposed project. It should reflect the Board's support and approval of the request as reflected in the signature of the Board Chairperson (possibly as a dual signature along with the Executive Director/Chief Executive Officer).

2. The proposal going to a government funding source will generally be more lengthy than one going to a private foundation. It will often be 10-20 pages long, and the funding source guidelines will contain the sequence to be followed in writing the narrative portion.

It is a good idea to read the information describing how your proposal will be evaluated. Quite often, government agency guidelines describe exactly how each section of your proposal will be weighed. This tells you what the reviewers look for and helps you to organize your thoughts. If you are told to limit your proposal to 10 single-spaced pages, don't include one or two more thinking that it won't be viewed in a negative light. Follow the guidelines meticulously, because the reviewers will. Proposals can be deemed inappropriate simply because you failed to follow specific instructions.

Proposals going to government funders may also contain unique forms such as face sheet forms where the entire project, names of key staff, budget, numbers of people impacted by the project, etc. are indicated; assurance forms (addressing issues such as human subjects at risk); equal opportunity policy statements; facility access to the handicapped; and a number of other such forms. It is important to understand which items must be submitted along with your proposal and how they are to be completed, so read the instructions carefully.

3. Additional materials will generally include those items suggested by the funding source. This usually consists of job descriptions, resumes, letters of support or commitment, your IRS tax exemption designation, an annual report, financial statement, and related documents. This section (or Appendix) can be extensive when a funding source requests a great deal of information. There are instances in which the funding source will request copies of certain agency policies and procedures, copies of negotiated indirect cost rates, etc.

Generally, this will happen only once, and for refunding packages to the same public agency, you will probably not need to resubmit the same documents.

We suggest the following as a basic format for planning all of your proposals. Thinking through the various sections should enable you to create virtually all that either a private or government funding source will ask of you. It will also enable you to develop a logical approach to planning and proposal writing.

This is our proposal format:

PROPOSAL SUMMARY
I. INTRODUCTION
II. PROBLEM STATEMENT
III. PROGRAM GOALS AND OBJECTIVES
IV. METHODS
V. EVALUATION
VI. FUTURE FUNDING
VII. BUDGET
VIII. APPENDIX

PROPOSAL SUMMARY

The summary is a very important part of a proposal—not just something you jot down as an afterthought. There may be a box for a summary on the first page of a federal grant application form. It may also be called a "proposal abstract." In writing to a foundation, the summary should be the first paragraph of a letter-type proposal, or the first section of a more formal proposal. The summary is probably the first thing that a funding source will read. It should be clear, concise and specific. It should describe who you are, the scope of your project, and the cost. The summary may be all that some in the review process will see, so make it good.

I. INTRODUCTION

In this part of the proposal you introduce your organization as an applicant for funds. More often than not proposals are funded on the reputation of the applicant organization or its key personnel, rather than on the basis of the program's content alone. The Introduction is the section in which you build your credibility, and make the case that your organization should be supported.

Credibility

What gives an organization credibility in the eyes of a funding source? First of all, it depends on the funding source. A "traditional, conservative" funding source might be more responsive to persons of prominence on your Board of Directors, how long you have been in existence and how many other funding sources have been supporting you. An "avant garde" funding source might be more interested in a Board of "community persons" rather than of prominent citizens and in organizations that are new rather than established.

Potential funding sources should be selected because of their possible interest in your type of organization as well as the kind of program you offer. You can use the Introduction to reinforce the connection you see between your interests and those of the funding source.

What are some of the things you can say about your organization in an introductory section?

- How you got started—your purpose and goals
- How long you have been around, how you've grown, and the breadth of your financial support
- Unique aspects of your agency—the fact that you were the first organization of its kind in the nation, etc.
- Some of your most significant accomplishments as an organization or, if you are a new organization, some of the significant accomplishments of your Board or staff in their previous roles
- Your success with related projects
- The support you have received from other organizations and individuals (accompanied by a few letters of endorsement which can be attached in the Appendix).

We strongly suggest that you start a "credibility file" which you can use as a basis for the Introduction in your future proposals. In this file you can keep copies of newspaper articles about your organization, letters of support you receive from other agencies and from your clients. Include statements made by key figures in your field or in the political arena that endorse your kind of program even if they do not mention your agency. For example, by including a presidential commission's statement that the type of program which you are proposing has the most potential of solving the problems with which you deal, you can borrow credibility from those who made the statement (if they have any).

Remember, in terms of getting funded, the credibility you establish in your Introduction may be more important than the rest of your proposal. Build it! But here, as in all of your proposal, be as brief and specific as you can. Avoid jargon and keep it simple.

II. PROBLEM STATEMENT OR ASSESSMENT OF NEED

In the Introduction you have told who you are. From the Introduction we should know your areas of interest—the field in which you are working. Now you will zero in on the specific problem or problems that you want to solve through your proposed program. If the Introduction is the most important part of your proposal in getting funded, the Problem Statement is most important in planning a good program.

The Problem Statement or Needs Assessment describes the situation that caused you to prepare this proposal. It should refer to situation(s) that are outside of your organization (i.e. situations in the life of your clients or community). It does not refer to needs internal to your organization, unless you are asking someone to fund an activity to improve your own effectiveness. In particular, the Problem Statement does not describe your lack of money as the problem. Everyone understands that you are asking for money in your solicitation. That is a given. But what external situation will be dealt with if you are awarded the grant? That is what you should describe, and document, in the Problem Statement.

Problem Statements deal with such issues as the homeless, offenders returning to prison with regularity, children who are far behind in their reading skills, youth dropping out of school, and the myriad other problems in contemporary society. Needs Statements are often used when dealing with a less tangible subject. They are especially useful in programs that are artistic, spiritual, or otherwise value-oriented. These are certainly no less important as subjects, but they do not lend themselves as directly to the problem-solving model of PP&PW. You would ordinarily deal with them as Needs and Satisfaction of Needs instead of Problems and Objectives.

You should not assume that "everyone knows this problem is valid." That may be true, but it doesn't give a funding source assurance about your expertise if you fail to demonstrate your knowledge of the problem. Use some appropriate statistics. Augment them with quotes from authorities, especially those in your own community. And make sure that you make the case for the problem in your area of service, not just on a national level. Charts and graphs will probably turn off the reader. If you use excessive statistics, save them for an Appendix, but pull out the key figures for your Problem Statement. And know what the statistics say.

In the Problem Statement you need to do the following:

- Make a logical connection between your organization's background and the problems and the needs with which you propose to work.
- Clearly define the problem(s) with which you intend to work. Make sure that what you want to do is workable—that it can be done within a reasonable time, by your agency and with a reasonable amount of money.
- Support the existence of the problem by evidence. Statistics, as mentioned above, are but one type of support. You may also use statements from groups in your community concerned about the problem, from prospective clients, and from other organizations working in your community and from professionals in the field.
- Be realistic—don't try and solve all the problems in the world in the next six months.

Note: Many grant applicants fail to understand the difference between problems or needs and methods of solving problems or satisfying needs. For example, an agency working with the elderly in an urban area said that what the community needed were vans to get the elderly to various agencies. They determined that this "need" existed because not enough seniors were able to get to the social security office, health services, and related human service programs. What they had done was to immediately jump to a "method" by which seniors would now be able to readily receive services. The problem with that logic is that the transportation suggested is a method and there are other methods as well. For example, what about the possibility of working with institutions to decentralize services? Alternatively, volunteer advocates could work with seniors, acting on their behalf with some of these service providers. Ultimately, buying vans might be the best method, but it is clearly a method and not a problem or a client need. Be very cautious about this. If you find yourself using "lack of" statements in the problem section, you are probably saying "lack of a method." This starts you on a circular reasoning track that will ruin the planning process.

III. PROGRAM GOALS AND OBJECTIVES

A well-prepared proposal has continuity—a logical flow from one section to another. Your Introduction can establish the context for your Problem Statement. Similarly, the Problem Statement will prepare the funding source for your logical Goals and Objectives.

Goals are broad statements such as: Develop additional resources to provide AIDS information to bilingual populations; Reduce underemployment rates among adults; Increase availability of resources to address the problems of adolescent pregnancies; Create an environment in which folk art is fully appreciated; or Enhance self-images of senior adults. These types of statements cannot be measured as they are stated. They offer the reader an understanding of the general thrust of a program. They are not the same as Objectives.

Objectives are specific, measurable outcomes of your program. Objectives are your promised improvements in the situation you described in the Problem Statement. When you think of Objectives this way, it should be clear in most proposals what your Objectives should look like. For example, if the problem was that certain children in your school read at least three grade levels below the norm for their age, then an objective would be that a certain number of those children would read significantly better when you had concluded your program. They would read better than their classmates who had also been reading poorly, but who did not have the benefit of your intervention. These "outcome" Objectives should state who is to change, what behaviors are to change, in what direction the changes will occur, how much change will occur, and by what time the change will occur.

Another example of a measurable objective would be:

"Within 30 days of completion of the JTPA Classroom Training Program, 75% of the 80 participating welfare recipients will have secured unsubsidized employment at a minimum of $5.25 per hour, and will maintain those positions for a minimum of 90 days."

The Importance of Distinguishing Between Methods and Objectives

Many, if not most, proposals state that the purpose of the program is to establish a program or provide a service. This is consistent with most thinking in the nonprofit sector, which sees the nonprofit organization as a "service provider." This results in Objectives that read like this:

"The objective of this project is to provide counseling and guidance services to delinquent youth between the ages of 8 and 14 in the blank community."

The difficulty with this kind of objective is that it says nothing about outcome. It says nothing about the change in a situation that was described in the Problem. That is, unless the Problem Statement (perish the thought) said that the problem was "a lack of counseling." Presumably the Problem Statement said something about youth being arrested, going to jail, dropping out of school, or whatever.

Objectives should be specific, estimating the amount of benefit to be expected from a program. Some applicants, trying to be as specific as they can, pick a number out of the air. For example, an agency might say that their objective was to "decrease unemployment among adults in the XYZ community by 10% within a certain time period." The question you need to ask is: where did that figure come from? Usually it is made up because it sounds good. It sounds like a real achievement. But it should be made of something more substantial than that. Perhaps no program has ever achieved that high a percentage. Perhaps similar programs have resulted in a range of achievement of from 2-6% decrease in unemployment. In that case, 5% would be very good and 6% would be as good as ever has been done. Ten percent is just plain unrealistic. And it leads one to expect that you don't really know the field very well. Just remember that Objectives should be realistic and attainable. Decide whether the 10% figure is attainable. If not, then it is a poor objective because you cannot achieve it.

If you are having difficulty in defining your Objectives, try projecting your agency a year or two into the future. What differences would you hope to see between then and now? What changes would have occurred? These changed dimensions may be the Objectives of your program.

A Note About Process Objectives

You may be used to seeing Objectives that read like this:

"The objective of this training program is to offer classes in automotive repair three times each week, for a period of 36 weeks, to a group of 40 unemployed individuals", or

"The objective of this program is to provide twice-weekly counseling sessions, for a period of 18 weeks, to no less than 50 parents who have been reported to Child and Protective Services for child abuse."

These are Process Objectives, and belong in the Methods section of your proposal. They tell what you will do, and do not address the outcome or benefit of what you will do. It is critically important to distinguish between these process Objectives and true outcome Objectives. If you do not do so, you will end up knowing only what has occurred during your program, and will not have dealt with the changes attributed to your program. Remember, you have proposed your program in order to make some change in the world, not to add one more service to a world already overcrowded with services and service providers.

Process Objectives may be very useful, but should only appear in the Methods section of your proposal, so they are not confused with the results of your proposed program.

IV. METHODS

You have now told the reviewer who you are, the problems you intend to work with, and your Objectives (which promise a solution to or reduction of the problems). Now you are going to describe the Methods you will use to accomplish your Objectives.

The Methods component of your proposal should describe, in some detail, the activities that will take place in order to achieve the desired results. It is the part of the proposal where the reader should be able to gain a picture in his/her mind of exactly how things work, what your facility looks like, how staff are deployed, how clients are dealt with, what the exhibits look like, how the community center recruits and assigns volunteers, or how the questionnaires will be administered and results interpreted.

There are two basic issues to be dealt with in the Methodology section. What combination of activities and strategy have you selected to employ to bring about the desired results? And why have you selected this particular approach, of all the possible approaches you could have employed?

Justifying your approach requires that you know a good deal about other programs of a similar nature. Who is working on the problem in your community or elsewhere? What Methods have been tried in the past and are being tried now and with what results? In other words, you need to substantiate your choice of Methods.

The consideration of alternatives is an important aspect of describing your methodology. Showing that you are familiar enough with your field to be aware of different program models and showing your reasons for selecting the model you have gives a funding source a feeling of security and adds greatly to your credibility. Obviously then, building credibility only starts in your Introduction, and can be enhanced as you demonstrate that you are knowledgeable throughout your proposal.

Your methodology section should describe who is doing what to whom, and why it is being done that way. Your approach should appear realistic to the reviewer, and not suggest that so much will be performed by so few that the program appears unworkable. A realistic and justified program will be impressive. An unrealistic program will not win you points for good intentions.

V. EVALUATION

Evaluation of your program can serve two purposes. Your program can be evaluated in order to determine how effective it is in reaching its stated Objectives. This concept of Evaluation is aimed at measuring results of your program (outcome Evaluation).

Evaluation can also be used as a tool to provide information necessary to make appropriate changes and adjustments in your program as it proceeds. This concept is focused on the way your program has been conducted [process Evaluation].

Measurable Objectives set the stage for effective outcome Evaluation. If you have difficulty in determining what criteria to use in evaluating your program, better take another look at your Objectives. They probably aren't very specific.

Subjective and Objective Evaluations

Many Evaluation plans are subjective in nature. Subjective Evaluations tell you how people feel about a program, but seldom deal with the concrete results of a program. For example, the Evaluation of an educational program that surveyed students, parents, teachers and administrators of the program would be eliciting attitudes about the program. It would not speak to the tangible improvement in performance attributed to the program.

Subjectivity also allows the introduction of our own biases into an Evaluation. This could easily happen if you evaluate your own programs, especially if you feel that continued funding depends on producing what looks like good results.

One way of obtaining a more objective Evaluation, and sometimes a more professionally prepared Evaluation, is to look to an outside organization to conduct an Evaluation for you. Sometimes it is possible to get an outside organization to develop an Evaluation design that can be submitted to a funding source as part of your proposal. This not only can suggest a more objective Evaluation, but can also add to the credibility of your proposal, since you have added the credibility of the evaluating institution.

It is essential to build an Evaluation plan into your proposal and be prepared to implement your Evaluation at the same time that you start your program. If you want to determine change along some dimension, then you have got to show where your clients have come from. It is very difficult to start an Evaluation at or near the conclusion of the program, for at that time you may not know the characteristics of your clients at the time of their entry into your program.

VI. FUTURE AND OTHER NECESSARY FUNDING

No grantmaker wants to adopt you. Funding sources want to know how you will continue your program when their grant runs out. If you are requesting funds to start a new program, or to expand an existing program, then how will you maintain it after the grant funds have been spent?

A promise to continue looking for alternative sources of support is not sufficient. You should present a plan that will assure the funding source, to the greatest extent possible, that you will be able to maintain this new program after their grant has been completed. Indeed, if you are having difficulty keeping your current operations supported, you will probably have more difficulty in maintaining a level of operation which includes additional programs. The funding source may be doing you no favor by supporting a new project and putting you in the position of having to raise even more money next year than you do now.

At this point in your planning you may realize that there is little likelihood of any other sources of support one or two years hence. This ought to bring you to a decision-making point—whether you should even try to implement a new program at this time in your agency's history.

What would constitute a satisfying response in this proposal component? Could you get a local institution or governmental agency to agree to continue to support your program, should it demonstrate the desired results? Can you get such a commitment in writing? Can you generate funds through the project itself—such as fees for services that will build up over a year or two, subscriptions to publications, etc.? Are there third parties available to provide reimbursement for services? Are you expanding your non-grant fundraising activities? The best plan for Future Funding is the plan that does not require continued grant support.

Other Necessary Funding

Other necessary funding refers to what are sometimes called "non-recurring grants." That is, one-time only requests. This could be a request for a vehicle to transport your clientele, or the purchase of a piece of medical equipment for your hospital. While these are not program grants, the funds you request are not all you will need either to utilize the vehicle, or to operate the medical device. For the vehicle to be used, you must cover the costs of a driver, insurance, gas, and maintenance. Similarly, the medical equipment must be operated by trained personnel. The funding source will want to know if you are aware of what you need beyond the purchase requested in your grant, and have the funds needed to cover these costs. They surely will not want to fund a bus that will sit in your garage for a year.

VII. BUDGET

Funding source requirements for Budgets vary, with foundations requiring less extensive Budgets than government funding sources. The following Budget design should satisfy most funding sources that allow you to design your own Budget and, with minor changes that the sources will tell you about, can be adapted to fit most government agency requirements. This recommended Budget contains three sections: The first is Personnel, the second is Non-Personnel, and the third is Indirect Costs.

When planning your Budget, it is wise to look closely at your Goals and Objectives to determine the level of activity in the program, and at your Methods section to review the specific plan you have proposed. For example, a Volunteer Senior Peer Counseling program would, one hopes, be less costly to operate than a Senior Peer Counseling program involving paid staff. Budgets should be built from the ground up—that is, based upon your Goals and Objectives and the methodology you have proposed. In the context of your program you can begin to itemize such things as the staffing called for, the facilities needed, the equipment required, the supplies necessary, travel costs to be paid, and the range of costs for which your agency must be reimbursed, i.e. time of the CEC, bonding of employees, fundraising, use of space, payroll services, in-service training offered, etc.

It is important to go through this exercise in developing a Budget. Without it, there is a risk of developing unrealistic or impractical requests, where program and Budget are unrelated.

This is how we suggest you structure your Budget:

I. PERSONNEL

A. Salaries & Wages

In this section you can list all full- and part-time staff in the proposed program. We suggest a format which includes the following information:

# of persons per title	Title	Full monthly salary	% of time employed in grant	# of months during grant period	Amount requested	Amount donated or volunteered	Total

How does this look on a completed line item of a Budget? If you are employing a Project Coordinator at a salary of $2,000 per month, working full time (100%) for the entire grant period (12 months) and are asking the funding source to provide the full amount of this salary, then it looks like this:

				Req.	Donated	Total
1	Proj. Coor.	@ $2000	100% time x 12 mos.	$24,000	-0-	$24,000

You can list all of your staff in the same way. If any of your staff are being paid out of another source of funds (for example, a staff person assigned to your project by a County agency), then you total up their salary and put it in the "donated" column (also referred to as in-kind, local share, or applicant share). Like this:

				Req.	Donated	Total
2	Soc Wkrs	@$1500/ea.	50% time x 12 mos.	-0-	$18,000	$18,000

This means that you will have two half-time Social Workers on your staff for the full year and their salaries are being paid by somebody other than the funding source. You take their full-time salary in the Budget ($1,500/mo.) and halve it ($750) as they are only working 50% time; multiply the $750 by the 12 months they will be working (giving you $9,000) and multiply by 2 (the number of people employed in this capacity). This gives you a total of $18,000 of donated Social Worker services in this project.

What does the $2,000 per month figure for the salary of the Project Coordinator represent? It may represent the actual salary paid the Project Coordinator, but not necessarily. If this is a new project, and if your organization has a typical five-step salary schedule for job classifications, the monthly salary range for the Project Coordinator may look like this:

Step A	Step B	Step C	Step D	Step E
$1,500	$1,750	$2,000	$2,250	$2,500

If you have developed a salary schedule like this for each position, then you should request the mid-point ($2,000) unless you know in advance who will fill that position. In that case, list the actual salary anticipated. If not, the mid-point of the salary schedule allows you to hire someone currently making $1,300/mo., who would welcome the increase even to Step A. You have the flexibility to hire at any point along the range with the assumption that all staff salaries will average out toward the middle of the salary range. (This works if there are a number of positions in your project, not just one or two.)

How do you determine what the salary range for a Project Coordinator ought to be? The federal government prefers that salaries be comparable to the prevailing practices in similar agencies in your community. To justify the salaries you build into your Budget you should obtain information from other local agencies regarding the salaries of persons with job descriptions, qualifications and responsibilities similar to those of the jobs in your agency. You might go to the local city and/or county government, the school district, or United Way. By comparing the jobs in your agency with the jobs at other local agencies, you plan a salary for each position, and you keep the "comparability data" on hand, should you be asked by the funding source to justify your staff salaries.

Another final item to be included in your Budget for most public agency applications is the matching support being contributed by your organization, or the donated services. They can either be personnel contributed by you (the applicant organization), or by a third party (another participating agency, a corporation giving you a loaned executive, students, etc.). In many cases this will involve the use of volunteers. You should place a value on the service being performed by that volunteer, e.g., plumber, attorney, carpenter, receptionist, etc. That value is based upon the function being performed by the volunteer, not on the professional background or education of the volunteer. A physician volunteering time at a community center where he/she helps out in "painting" the facility is shown at the hourly wage paid painters, not physicians.

Governmental grantmakers sometimes require financial participation on the part of an applicant, i.e., 10% or 25% match. You may be able to make this contribution in cash or in-kind. For example, if you are going to pay the salary of a staff member, that is "cash". If you are using volunteers, or receive an executive on loan from a local corporation, that is "in-kind."

If you promise volunteers in your program, you are required to deliver the promised volunteer services, just as if the funding source was actually paying their salary. You will be asked to document the work they perform and to keep records of their time. Records may be aud ted in the case of a government grant. Always be able to document 5-10% more than the required percentage match ju st in the event that you are audited and some of your volunteer time is disallowed.

Why is it important to develop a match (applicant share) and show the total costs of a project when some of the money or services are not being provided by the funding source? There are several reasons. First, the government funding source wants to know that there is a commitment on the part of your agency—a commitment beyond just conducting a program. It helps for them to know there is some likelihood that you have resources with which to continue the program after funding has ceased. It also provides some clarity as to the "exact" cost in delivering a service. If the program were to be replicated elsewhere, and donated services were not available, it tells the funding source what the total cost would be. Finally, when you have local resources (volunteers, cash, staff, equipment, etc.), it reduces the amount of money required of the grantor, thereby allowing additional projects to be funded in other locations.

B. Fringe Benefits

In this section you list the fringe benefits your employees will be receiving, and the dollar cost of these benefits. Some fringe benefits are mandatory, but they vary from state to state, so you will have to determine what they are for your agency in your state. Mandatory fringe benefits may include State Disability Insurance, State Unemployment, FICA, etc. They are usually based on percentages of salaries. For example, FICA is currently 7.51% of the first $45,000 of each person's salary. Therefore, an entry for FICA on your Budget might look like this:

	Req.	Donated	Total
FICA @ 7.51% of $90,000	$6,759	-0-	$6,759

$90,000 would be the total of all your salaries, up to $45,000 for any one person.

Some fringe benefits are calculated on a flat amount per month per staff member, and not on a percentage, e.g., health insurance. For example:

	Req.	Donated	Total
Health insurance @$100/mo per staff member x 4 staff @12 mos.	$4,800	-0-	$4,800

As with your salary schedule, your fringe benefits should be comparable to the benefits offered in similar agencies in your community.

While you will need to calculate fringe benefits for your own information, in some grant applications you simply indicate the fringe benefit total as a percentage of salary.

C. Consultant and Contract Services

This is the third and final part of the Personnel section of your Budget. In this section you include paid and unpaid consultants (i.e. volunteers). You can differentiate between which items go here and which go in Salaries and Wages on the basis of the manner in which the individual or business normally operates. If a bookkeeping firm generally operates on a fee-for-service basis and is volunteering their services to your organization, that would fit best under Consultant and Contract Services. Essentially, be logical and if a Fed yells at you, change it. (Foundation persons never yell.) Entries might look like these:

	Req.	Donated	Total
Bookkeeping Services @$200/mo x 12 mos.	-0-	$2,400	$2,400
Contracted Fundraising Svcs @$400/day x 10 days	$4,000	-0-	$4,000
Trainer @$250/day x 8 days	$2,000	-0-	$2,000

II. NON-PERSONNEL

A. Space Costs

In this section you list all of the facilities you will be using, both those on which you pay rent and those which are being donated for your use. Rent you pay, or the valuation of donated facilities, should be comparable to prevailing rents in the geographic area in which you are located. In addition to actual rent, you should also include the cost of utilities, maintenance services and renovations, if they are absolutely essential to your program, insurance on the facility, telephones (number of instruments needed, installment cost, and monthly cost of instruments), and out-of-town facilities needed. Include these items in line item fashion like this:

	Req.	Donated	Total
Office Space of 900 sq. feet @$1.25/foot/mo./ x 12 mos.	$13,500	-0-	$13,500
Facility insurance @$600/year	-0-	$600	$600

B. Rental, Lease or Purchase of Equipment

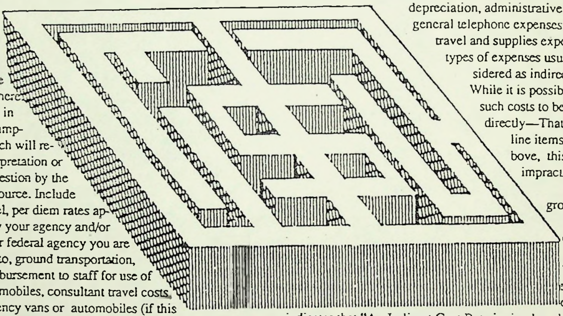
Here you list all of the equipment, donated or to be purchased, that will be used in the proposed program. This includes office equipment, desks, duplicating machines, word processors, etc. Let discretion be your guide in this section. Try to obtain as much donated equipment as you can. It not only lowers the funding source cost, but it shows the funding source that other people are involved in trying to make the program happen. Be careful to read guidelines closely when working with government grant applications—especially as to their definition of "equipment" and restrictions which apply. For example, equipment is often defined as something costing more than $500 per unit and/or having a lifetime of greater than one year. Additionally, there may be prohibitions against purchasing equipment, and you may be encouraged to lease rather than purchase.

C. Supplies

This generally means "desk top" supplies such as paper clips, pens, paper, stationery, etc. A reasonable figure to use is $125 per year for each of your staff. If you have any unusual needs for supplies—perhaps you are running an art education program, a sheltered workshop, or some classroom activity requiring a good deal of educational materials—then have a separate line item for such supplies. This component can also include publications, subscriptions, and postage.

D. Travel

All transportation related expenses are included here. Don't put in any big lump-sums which will requireinterpretation or raise a question by the funding source. Include staff travel, per diem rates approved by your agency and/or thestate or federal agency you are applying to, ground transportation, taxi, reimbursement to staff for use of their automobiles, consultant travel costs, use of agency vans or automobiles (if this has not been included under equipment), etc. Examples include the following:



	Req.	Donated	Total
Four roundtrip air fares LA-NY for workshop on Creative Accounting @$500/each	$2,000	-0-	$2,000
Reimbursement for staff travel @.20/mile x average of 400 miles/mo. x 12 mos.	$960	-0-	$960
Per Diem (NY) @$150/day x 8 days for 4 staff at Creative Accounting Workshop	$1,200	-0-	$1,200

Be sure that you use per diem (hotel and meals) rates which are consistent for the location. Attending a workshop in Weed, California will be considerably less expensive than New York City.

E. Other Costs

This is generally a catch-all category which includes items not reasonable to include elsewhere. For example:

1. Bonding of employees
2. Tuition for classes
3. Professional Association dues
4. Printing (unless you placed this under Consultant and Contract Services)

III. INDIRECT COSTS

The third component of your Budget is called Indirect Costs. The federal government defines indirect costs as "those costs of an institution which are not readily identifiable with a particular project or activity, but nevertheless are necessary to the general operation of the institution and the conduct of the activities it performs. The cost of operating and maintaining buildings and equipment, depreciation, administrative salaries, general telephone expenses, general travel and supplies expenses are types of expenses usually considered as indirect costs." While it is possible for all such costs to be charged directly—That is, to the line items listed above, this is often impractical, and you may group them into a common pool. The federal government indicates that "An Indirect Cost Rate is simply a device for determining fairly and expeditiously...that proportion of an institution's general expenses each of its projects or activities should bear." An organization or institution can negotiate an Indirect Cost Rate (generally a percentage of Salaries and Wages or Total Direct Costs) with any federal agency from whom it has received funds. This is an important issue since many larger institutions find that every new project undertaken costs the institution money unless it is reimbursed for the indirect costs associated with operating the institution.

For further clarification of Indirect Cost Rates, contact the Federal Office's Regional Comptroller or your Program Officer or Contract Officer to find out exactly how to go about negotiating Indirect Cost Rates. Once you have such a rate, there may still be instances in which the funding source refuses to pay indirect cost rates or places a cap (a maximum) on the percentage of total direct costs they will pay. Nevertheless, this is an area which should be explored and understood.

SAMPLE BUDGET

	Req.	Donated	Total
I. PERSONNEL			
A. Salaries and Wages			
Project Coordinator @$2,000/month @100% x 12 months	24,000	-0-	24,000
2 Social Workers @$1,500/month each @50% time x 12 months	-0-	18,000	18,000
20 Volunteer Recreational Aides @50 hours each/year x 7.00/hour	-0-	7,000	7,000
B. Fringe Benefits			
20% of $42,000	4,800	3,600	8400
C. Consultant and Contract Services			
Bookkeeping Services @$200/month x 12 months	-0-	2,400	2,400
Fundraising Services @$400/day x 10 days	4,000	-0-	4,000
Trainer @$250/day x 8 days	2,000	-0-	2,000
Annual Audit	2,000	2,000	4,000
II. NON-PERSONNEL			
A. Space			
900 square feet @$1.25/square foot/month x 12 months	13,500	-0-	13,500
Telephones @$200/month x 12 months	2,400	-0-	2,400
Utilities @$300/month x 12 months ·	-0-	3,600	3,600
Facility Insurance @$600/year	600	-0-	600
B. Rental, Lease, Purchase of Equipment			
Word processor/printer	2,000	-0-	2,000
12-passenger van @$400/month x 10 months	4,000	-0-	4,000
3 desk/chair sets @$250/each	750	-0-	750
C. Supplies			
Desk top supplies @$125/year/staff x 3	375	-0-	375
Educational materials @$50/month x 12 months	600	-0-	600
D. Travel			
4 roundtrip airfares LA-NY @$500/each	2,000	-0-	2,000
Reimbursement for staff auto travel @$.20/mile x average of 400 miles/month x 12 months	960	-0-	960
8 days per diem (NY) @$150/day	1,200	-0-	1,200
E. Other Costs			
Conference Tuition (Creative Accounting) @$200/each x 4 staff	800	-0-	800
Board Liability Insurance	600	-0-	600
III. INDIRECT COSTS			
15.3% of TADC (Total Allowable Direct Costs) as per att. negot. rate with Dept. of Labor, 1988	10,860	-0-	10,860
TOTAL PROJECT COST:	77,445	36,600	114,045

VIII. APPENDIX

Addenda to a foundation or corporate proposal should be limited. It is an imposition to suggest that a reviewer plod through many pages of additional material that you decided were important enough to include with your proposal. In the case of a government grant, however, the Appendix may be longer than the body of the proposal. It contains material which needs to be submitted to the funding source, but should not detract from the continuity and flow of the proposal by being included in the narrative. The rationale for any decision about what to include in the body of a proposal should be based on your answering the question, "Do I really want the funding source to read/scan the census runs, flow chart, or job descriptions while reading the proposal?" If the answer is "Yes," then definitely include the item at that juncture. If the answer is "No," then include the item in the Appendix and refer the reader to it.

Funding sources will usually stipulate the attachments they want you to include with your grant application. This will involve a variety of documents, many of which will be required routinely by other funding sources. It is a good idea for Development Officers, Program Planners, Grantwriters, or related personnel to maintain a file of materials which can be included in a proposal package. Such items ought to be accessible to you at all times.

Items which are routinely requested by many funding sources include the following:

1. An Audited Financial Statement

Funding sources generally require an "audited" financial statement. Many smaller organizations do not routinely have an audit conducted, or cannot afford an audit, and an "unaudited" financial statement is often developed by the agency's accountant or bookkeeper. It is important that applicants know whether the funding source will accept an "unaudited" financial statement. A telephone call to the program officer, foundation staff member, or related contact person at the offices of the funding source will provide you with the answer.

2. I.R.S. Determination Letter

This letter from the I.R.S. indicates that your organization is exempt from federal corporate income taxes. It contains important information regarding the basis for your exemption and the requirements associated with maintaining it. In some cases, individual states also grant such exemptions, and copies of both letters may be appropriate for submission.

3. Indication of Nonprofit Corporation Status

A copy of the receipt of nonprofit corporation status by the state in which your organization was incorporated may be required by funding sources. In most instances, the favorable determination of tax exemption (above) will be sufficient in that it lists the name of the incorporated nonprofit organization.

4. Roster of Board of Directors

A document more and more requested by funding sources is a roster of board members by affiliation. Of concern is more than simply the names of your board members, but who they represent. By this is meant their job function—minister, doctor, banker, social worker, building contractor, etc. In the cases of retired individuals, indicate their former job or profession.

In situations where organizations have board members who are welfare recipients, housewives, unemployed persons, students, etc., select an area of interest or specialty for such individuals, and indicate that after their name. Don't just list a name without any affiliation.

5. Table of Organization

Another item which may be useful is a table of organization. This table should include the proposed staffing pattern for the project for which funds are being requested, and should also include the larger agency/department/section to whom the new project personnel report. With large organizations, it is not critical that each position be indicated, but units or departments should be shown. In many instances it is more important that the funding source understand how the major "functions" of the organization are carried out, and how boards, committees and staff interrelate. The only problem with these tables is that they too often present such a confusing picture that one wonders how the organization could ever work.

6. Organizational Budget

Some funding sources will require submission of an organizational Budget for the current or forthcoming program year. This organizational Budget differs from the Budget for the project itself, previously discussed. This allows the reviewer to put the grant request in a larger context.

7. Summary Chart of Key Activities

Most public grant applications will require that you submit some form of timeline for major milestones or activities. This can be done in a variety of formats—Gantt charts, PERT charts, flow charts, etc., and can be done by month, quarterly, or by time elapsed from the initiation of the project. Whatever format you use, it should be clear and easily understood by the funding source.

Other documents are often needed for inclusion as an attachment to a proposal:

8. Negotiated Indirect Cost Rate

A copy of your agency's negotiated indirect cost rate should be included in the Appendix when you are citing a "percentage" amount for indirect costs. This is required when submitting public agency applications where such costs are being charged.

Private foundations may also pay indirect cost rates, but be sure to review foundation guidelines closely in that some place a limit on the percentage they will pay. In some cases this percentage is only ten percent (10%) of total direct costs—considerably less than the negotiated percentage with the federal agency.

9. Letters of Support or Endorsement

Letters from elected officials, other organizations and individuals will need to be submitted as required by a funding source or on the basis of your organization's decision that such indicators of support would be a good idea.

In general, such letters should be addressed to your organization (Executive Director, Board Chairman, etc.) and sent to you for submission along with the proposal. Letters should not be sent under separate cover to the funding source because they may not get there in time or may not be filed appropriately with your proposal. More significantly, many funding sources simply will not accept documents submitted separately.

To aid in the process of securing letters of support, many grantwriters and development officers have developed a procedure designed to aid those individuals and organizations from whom you want such letters. Many elected officials and agency executives are continually asked for such letters of support, and will gladly provide them, but it speeds up the process if they can see an example of the type of letter desired.

It is a good idea to draft letters of support and share them with potential signees. This will ensure that you do not receive a glowing endorsement for your program "to provide a shelter for homeless immigrant families" when you are actually seeking support for "establishing a source of food and shelter for migrating birds." Telephone discussions which summarize project ideas often do not get heard exactly as you think you've transmitted them.

If you plan to include "motherhood letters" along with your proposal, i.e. "As a mother in Centerville with six children, I have nothing but praise for the Headstart program and urge you to continue funding it," try to keep such endorsements to a minimum—no more than two such letters per proposal!

10. Resumes

Whenever possible, resumes/curriculum vitae of key staff should be updated periodically so that you are not submitting the exact resume which was placed in the agency's file ten years ago when the person was hired.

Also, it helps the ease of reading if different resumes are written in the same format, so when updating resumes you might consider developing a similar format for each. With the exclusion of academic and medical personnel, they need be no longer than 2-3 pages.

11. Job Descriptions

While in some instances it is important to create a capsule resume for inclusion in the body of the proposal, in most cases the description of positions ought to be an Appendix item.

This reprint is available from The Grantsmanship Center. For a free copy of The Grantsmanship Center's Whole Nonprofit Catalog, which includes a reprint price list and order form, as well as a current schedule of Grantsmanship Center Training Programs, write to: The Grantsmanship Center, Dept. DD, 650 S. Spring St., Suite 507, P.O. Box 6210, Los Angeles, CA 90014.

NGO - 16.17

Forum for Creche and Child Care Services

FORCES

About FORCES

Forum for Creche and Child Care Services (FORCES) is an informal and growing network of more than 58 organizations, six regional networks (each with their own membership) and individual members. Founded in 1989, to act as a pressure group, the network is committed to the survival and development of young children, particularly of women working in the informal sector.

The Issue

Recognizing that all underprivileged women are workers and carry the triple responsibility of bearing children, household tasks and earning, FORCES **identifies the lack of Child Care support as a critical factor which impacts the health and development of children and increases the poverty and hardship of families.**

Some facts

1 12-15 crore women work in the unorganized sector

2 5.5- 6.5 crore children under six years of age are in need of Child Care services

3 53% of all children under 5 years of age are malnourished

4 88 % of all women are anemic

5 15,000 creches are run under government schemes while the need is for 8 lakh crèches

MATERNITY AND CHILDCARE SUPPORT IS A MAJOR STRATEGY TO BREAK THE CYCLE OF POVERTY

Convictions:

- FORCES believes that a strong intervention is required during the special vulnerable period of pregnancy, birth, and early childcaring when the needs and rights of women and young children are closely intertwined and continue to be so through early Childhood. Maternity and Child Care support is seen as a major strategy to break the cycle of poverty.

- Daycare and Creches have implications for :
  - Child Survival and development
  - Women's health
  - Increased economic productivity and women's empowerment
  - School entry and retention especially for the girl child
  - Prevention of child labour, child prostitution and child abuse
  - All strategies for equitable development, poverty prevention and alleviation.

- FORCES believes that tinkering with programmes will not bring about any fundamental change in the situation for women and children. A holistic approach with a multi-pronged strategy is necessary that includes daycare services, food security, maternity entitlements, social security, education and adequate health care systems is required. It also requires a law to protect the rights of Maternity and Early Childhood backed by a holistic National Policy and adequate resource allocation.

Distinctive Features of the FORCES Network:

* Focus on the young child under six

* Membership comprising Child Care organizations, trade unions (particularly , women's wings of trade unions), training and research organizations, academic institutions and women's groups.

* The wide geographical spread of its partners.

* Activities that include grassroots mobilization, campaigns, policy interventions and research.

F O R C E S

Key Demands

- Inclusion of Child Care services in the Minimum Needs Programme
- Allocation of a fixed percentage of the GDP (1%) for Child Care support
- Strengthening of ICDS and universalization of Childcare services
- Recognition of importance of the Child Care worker in the protection, survival and development of young children. Provision of adequate remuneration for their skills, and the responsibilities they carry
- Decentralization of Child Care services
- Flexibility of models of Child Care
- Inclusion of Child Care as a part of all programmes for women and development
- Reviving of the primary health care systems
- Maternity Entitlements for all women
- Recognition of Early Child Care and Development as a vital component of Education
- Quality in, and regulation of pre-school education.

List of Organisations

National Members

- Action for Child Care and Education Services, Chennai
- All India Trade Union Congress (Women's Wing), New Delhi
- All India Women's Conference, New Delhi
- Avinashlingam Institute for Home Science and Higher Education for Women, Coimbatore
- Bharatiya Adim Jati Sewak Sangh, New Delhi
- Centre for Women's Development Studies, New Delhi
- Child-in-Need Institute, 24 Paraganas (West Bengal)
- Co-ordination Committee of Working Women (CITU), New Delhi
- Department of Human Development and Family Studies, M.S. University, Vadodara
- Family Planning Association of India, New Delhi
- Indian Council of Child Welfare, New Delhi and Council in Tamil Nadu, Meghalaya, Punjab etc.
- Institute of Development Studies, Jaipur
- Mobile Creches, New Delhi
- Nari Samata Manch, Delhi
- Palmyrah Workers' Development Society, Martandan, Tamilnadu
- PREPARE India Rural Reconstruction and Disaster Response Service, Chennai
- Self Employed Women's Association (SEWA), Ahemdabad
- Sewa Bharat, Delhi
- SNDT Women's University, Mumbai
- Tata Institute of Social Sciences, Mumbai
- Voluntary Health Association of India, New Delhi
- YWCA of India
- Anjuman Child Development Society, Uttar Pradesh
- BAIF Development Research Foundation, Pune
- Centre for Learning Resources, Pune
- Chetna, Ahemdabad
- Christian Children's Fund, New Delhi
- Delhi Council of Child Welfare, New Delhi
- Foster Parents Plan International, New Delhi
- Giri Institute of Development Studies, Lucknow
- Indian Institute of Rural Management, Jaipur
- Mahila Samakhya Society, Vadodara
- SOS Children's Villages of India, New Delhi
- Vihan Society for Child Development and Education in Rajasthan, Jaipur
- Women's Studies Research Centre, M.S. University of Vadodara
- Youth Charitable Organisation, Andhra Pradesh
- Call for Communication, New Delhi
- Loyola College, Department of Social Work, Chennai
- Committee for Legal Aid to Poor (CLAP), Cuttack
- Lady Irwin College, New Delhi
- National Federation of Indian Women, New Delhi
- Nirman Mazdoor Panchayat Sangh, New Delhi
- Breastfeeding Promotion Network of India, New Delhi

Regional Chapters and Other groups

- Tamil Nadu- FORCES, Convenor, Loyola College, Chennai
- Rajasthan FORCES, Convenor, Vihaan and Chetna
- Gujarat FORCES, Convenor, SEWA
- Maharashtra FORCES, Convenor, TISS
- Orissa FORCES, Convenor CLAP
- Delhi - Neenv (Dilli Basti Bal Vikas Samooh)

Individual Members

- Ms. Jaya Srivastava
- Ms. Kamini Kapadia
- Dr. Shanti Ghosh
- Ms. Hamida Habibullah
- Dr. Janaki Rajan
- Dr. Archana Prasad
- Ms. Runu Chakraborty

FORCES
c/o YWCA of India
10 Sansad Marg. New Delhi-110001
Phone. 3346547 3361561

Forum for Creche and Child Care Services
c/o Mobile [redacted]
D.I.Z. Area, Sector IV, [redacted]zaar, Near Gole Market,
[redacted] 110001
[redacted]3271, 3347635 • Fax:3347281
Email : forces@del6.vsnl.net.in
forces @vsnl.com

Designed by H. Simran Singh

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PROJECT FORMULATION & PROPOSAL WRITING

by Dr Katja Janovsky

WORLD HEALTH ORGANIZATION

A Guide for National Project Managers in the Interregional Health Learning Materials Programme

PROJECT FORMULATION AND PROPOSAL WRITING

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INTRODUCTION

All of us involved in developing and managing projects have had to learn sooner or later that money does not necessarily flow just because we have a good idea. Although numerous organizations are in the business of granting or lending money for development, these agencies need to be provided with well written convincing documents presenting our case. They require proposals that show that what we have in mind is a priority, is feasible, is cost effective, fits with national plans, does not duplicate anything already being done, and so forth.

Project managers are usually good at identifying problems and developing relevant solutions and new interventions, but they often lack the time and the skills to present these ideas in the form required by the potential financiers and partners.

This is true of many of the managers in the Health Learning Materials (HLM) Network where good will and good ideas abound but money does not. The HLM clearinghouse at WHO has attempted to provide advice and assistance, wherever possible. But it is essential that national HLM projects become more independent and self-reliant in writing proposals and approaching donors. Towards this end, the HLM clearinghouse has produced these guidelines for project formulation and proposal writing.

Although developed specifically for HLM Network Managers, this document can also serve other middle and senior level health managers in government and non-governmental agencies in the Third World. It draws on materials from international and non-governmental organizations and, in particular, on the experience of the African Medical and Research Foundation (AMREF), a Kenya-based regional non-governmental organization involved in designing, implementing and evaluating a wide variety of health development projects.

The guidelines deal with the process of formulating ideas, soliciting feedback, developing support, writing and submitting project proposals, as well as with the contents of proposals.

Chapter One takes you through the main stages that make up the process of project formulation and proposal writing. For each of the four stages that have been identified, there is a description of what usually happens and a few points on how to proceed and what to watch out for.

In its first section, Chapter Two presents eight modules that can be used to produce preliminary project papers and full project proposals. A second section describes techniques for charting essential project information in summary tables.

Process and contents are inextricably linked in project formulation and proposal writing. By covering both, we hope that these guidelines will point the way and help you get over all the hurdles you will encounter as you formulate your idea and produce a proposal that attracts the support and resources you need.

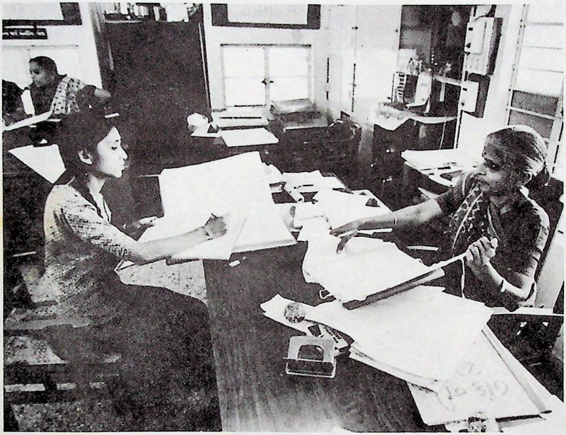


Photo: WHO/UN/SEWA

You have recognized a problem, an unmet need. It is now time to sit down and put your analysis and your propositions on paper

CHAPTER 1: THE PROCESS

Stage One: Formulation

* Formulating the Idea.
* Preparing a Preliminary Project Paper.

The initial process of formulating a project idea varies enormously, depending on the temperament, training and opportunities of the concerned individual. It spans the period in time from becoming aware of a particular problem to the moment when you have settled on a particular strategy to approach that problem.

Whether you have arrived by leaps and bounds or step by step is not important. Nor does it matter whether or not the idea has come to you in what planners would regard as a logical sequence. No matter how you got there, unless you are independently wealthy and run your own one-man or one-woman organization, you must now get ready to present your project idea to those whose assistance, support, approval and money you need for its realization.

You have recognized a problem, an unmet need, a condition that requires a change in the present course of action or inaction. You have thought of a solution. It is now time to sit down and put your analysis and your propositions on paper, and to critically review your own ideas.

It is both unnecessary and unwise to start by preparing a comprehensive detailed project proposal. It is unnecessary because the bare bones of your project idea are sufficient for a first review by your colleagues, your bosses and by potential donors. It is unwise because writing a full proposal is a great deal of work which may turn out to be a waste of time if your basic idea is not acceptable to your organization or to the donors.

Produce a preliminary project paper of no more than five pages. The paper should cover a statement of the need, the goals and objectives, your proposed strategy and an indication of the type, size and value of resources required. Writing the paper will provide a mechanism for:

- thinking systematically about your project, reviewing and clarifying the connection between the need, goals and strategy;

- identifying gaps and inconsistencies you may not have noticed before;

- considering the scope of the proposed intervention and the feasibility of implementing it under the prevailing economic conditions and within the limitations of your organization;

- making a rough calculation of the resources required from external sources;

- developing a solid basis for soliciting feedback and development support among peers and decision makers within your own institution, from other relevant organizations and from potential donor agencies.

Stage Two: Circulation and Feedback

* Circulating the Preliminary Project Paper.
* Gaining Approval and Support from Bosses and Central Agencies.
* Generating Support and Cooperation from Colleagues and Related Agencies.

You have completed your preliminary project paper. The purpose of doing this has been to clarify your own thinking and to produce a brief document describing the essential elements of the project. You can now use this document as a basis for discussion and as a tool of persuasion.

At this stage, you need feedback from your superiors and your colleagues about the merit of your idea. Do they agree with your needs assessment; problem formulation; the objectives you have set and the strategy you have selected? What about feasibility? Do they consider the technical solution as appropriate and implementable? What about the projected resource requirements - is the proposed solution affordable?

Circulate your paper to a well selected group including possible adversaries. Observe carefully whether your ideas are understood in the way you meant them. How well have you communicated your analysis, your visions?

Be sure to consider the process of obtaining feedback not just in technical terms. The reactions you receive will help you review not only the technical contents of the proposal, but equally importantly, assess the feasibility of its adoption in terms of organizational and political support.

Although rationality and logic are stressed in guiding you through the process of formulating your ideas and writing proposals, we all know that these standards of rationality often do not apply in the real world. Projects may be perfectly logical and needs assessments objective and valid. Yet, a project does not get adopted because it does not coincide with the interests and values of an important decision maker in your organization. The need may be considered a priority within your organization or sector but the central treasury, dealing with the allocation of scarce resources between different sectors, may not agree with your assessment. Your objectives and strategy may be perceived to be competing or conflicting with someone else's pet project and rejected for this reason.

Discussions of the preliminary proposal can be skilfully used to develop interest and support for the project idea. This is the time to lobby, to bargain and to form coalitions that will assure not only the adoption of the proposal but also develop solid support for its successful implementation. Consider all the forces that affect your project and see how you can acquire allies at all levels.

Photo: Aga Khan Foundation/K. Pfitzer

Donors usually insist on identifying ways for measuring the success or failure of the project. The development of systems for monitoring and evaluation are, therefore, of special importance

Stage Three: Communication with Donors

* Identifying and Courting Potential Donors.

Donors have their own priorities and values. This is not only true of the major donors whose operations are largely determined by macro political and economic considerations. It is equally true of most other donors who usually have geographical and sector priorities as well as preferred strategies within sectors. If one were to caricature the donor situation, one might say that Africa is 'in', community participation is 'in', the district is 'in', hospitals are 'out', and so forth. These 'ins' and 'outs' tend to change every few years. To be sure, they are usually based on careful considerations of needs and experiences in the field. In any case, it is important to be well informed on what current trends in donor thinking are and to use appropriate terminology as a tool to market the project proposal, without compromising vital principles of your basic idea.

You should develop and keep up-to-date an inventory that contains profiles of all potential donors, including the following information:

- geographical priorities
- sector priorities
- size of projects funded (range)
- maximum project duration
- preferred health strategies
- proposal format
- channels for project submission
- reporting and evaluation requirements

To obtain this information, contact as many embassies and international delegations as possible in your capital city and ask for a list of development and aid agencies in their country or region. If they cannot provide it themselves, they will give you the name and address of an institution in their country that can help. There are also directories of international foundations issued periodically by different organizations, such as Organization for Economic Cooperation and Development (OECD) and the United Nations Development Programme (UNDP). See whether you can find these through the office of the UNDP representative, or in the library of your national development institute.

Finally, there are two particular concerns of donors that you will need to carefully consider and address in your discussions and negotiations. Firstly, donors are inevitably concerned with the economic feasibility and institutional capability for continuing the project after external funding ceases. They wish to see project strategies that explicitly address the development of institutions and that promote self-reliance.

Secondly, donors understandably aim to fund activities that will produce tangible results. They usually insist on identifying ways for measuring the success or failure of the project they are helping to finance. The development of systems for monitoring and evaluation are, therefore, of special importance.

Stage Four: Writing and Submission

* Writing the Comprehensive Proposal.
* Presenting and Submitting the Proposal.

In writing the final proposal you will carefully scrutinize all the feedback information you have received. It will not be possible to please everyone and to incorporate all comments. If you do, chances are that your proposal will become confused and inconsistent. When you make changes in one of the key sections of the proposal, be sure to review whether the logical link between objectives, strategies and inputs remains intact or whether other sections also need to be altered.

The preliminary project paper is usually produced with scanty information. Completeness and validity of information are important when you write the full proposal and will probably require additional work.

The interactions you have had with colleagues, bosses and donors have helped you define the strategic space within which you must now develop your full proposal. Whereas at the idea stage, organizational and political realities may have been remote, you will need to take full account of these in producing the final document.

Once you have completed the proposal, you usually need to submit it through the formal channels. This will involve central ministries, such as the Ministry of Economic Planning, the Ministry of Finance, the Ministry of Foreign Affairs or the Office of the President. In some unfortunate situations, it involves not just one but all of these. Proposals to non-governmental organizations (NGOs) do not always have to follow this route. However, they often require a supporting letter from the head of your institution. To minimize delays, it helps to draft such a letter for the signature of the relevant person rather than wait for it to be done by usually very busy top officials.

Going through official channels need not prevent you from informally submitting an advance copy to the donor, provided it has been approved within your own organization.

Cost Sharing

Do not necessarily expect to find a single donor who will finance your entire project. There are donors who are willing to provide seed money for operational research to further investigate problems and to carry out detailed project design work. Many donors favour co-financing arrangements whereby two or more donors participate in funding a project. Keep donors informed of your approaches to other agencies. If you have convinced some donor agencies of the value of your undertaking, they may even help identify and approach additional donors.

Follow-up With Agencies and Rewriting

Once you have submitted the documents, perseverance becomes the name of the game. Project submissions may get stuck at each point on the way to the donor. You will need to check regularly whether the proposal is moving in the right direction. Be prepared to spend time and effort to see that the proposal arrives at its destination. Technical officers often consider their labours over, once a proposal has been completed and accepted by their superiors. It is difficult to overemphasize the importance of making an effort to see that the proposal arrives in the right hands and to show yourself willing to rewrite and re-edit sections, if necessary and appropriate. Alterations in propsals at the request of central agencies and donors are not unusual. In fact, donors' requests for revisions are a positive sign; at least they have not rejected the proposal.

Although you need to ascertain that the proposal remains technically sound and organizationally feasible, your work has not been completed until a mutually satisfactory version of the proposal has found its way to the final decision makers.

CHAPTER 2: THE CONTENTS

Section One: Eight Modules

Section Two: Project Design Frameworks

Information requirements and formats for proposals vary a great deal from donor to donor. Some donor agencies insist that applicants adhere to their format, others simply offer guidelines to assist the applicant and to ensure that major points are adequately covered.

It is noteworthy and comforting, however, that the same key sections tend to appear in almost all standard formats of the major donors. Smaller donors frequently leave the questions of the format to the applicant, provided that specified essential information is included.

You will find more variation in the words used to denote the most important components. For example, what some donors refer to as objective is called purpose by others. Donors are usually after one and the same thing when they ask you about the approach of your project, the method of intervention, the technical plan or the project strategy.

Keep in mind that what these sections contain is more important than how they are named. Your proposal needs to be internally consistent and easily comprehensible to a wide spectrum of reviewers. Be sure that the logic of your presentation is clear in your own mind and well understood by those you have asked for comments and feedback in the first round.

In the next section, you will find eight modules which allow you to present all essential information about your proposed project. These modules can be used for both the preliminary project paper and the full project proposal.

The eight modules together will produce a comprehensive project proposal. If your donor requires less detail, you may want to omit some modules. For the preliminary project paper, you need only three modules (2, 3 and 4) and one section of a fourth module (5), covering the problem statement, goals and objectives, strategy and resource inputs.

Each module begins with the key question to be addressed in the relevant chapter of your proposal, followed by definitions and a discussion of what the chapter should contain. Examples and questions are added where required to illustrate these points.

Section two of this chapter deals with project design frameworks for presenting all essential project information in tables.

SECTION ONE: EIGHT MODULES FOR PROJECT PROPOSAL WRITING

OVERVIEW

Module 1 SUMMARY	What Is It All About?	
Module 2 PROBLEM STATEMENT	Where Are We Now?	Background Needs Analysis
Module 3 GOALS & OBJECTIVES	Where Do We Want To Go?	Goals Objectives
Module 4 STRATEGY	Which Route Will We Take?	Components Assumptions Methods Outputs Feasibility
Module 5 IMPLEMENTATION PLAN	How Will We Travel There?	Resource Inputs Workplan Organization
Module 6 MONITORING AND EVALUATION	How Will We Know When We Arrive?	Monitoring Evaluation
Module 7 BUDGET	How Much Will It Cost?	Capital Cost Recurrent Cost
Module 8 ANNEX PROFILE OF THE APPLICANT	And Who Are We?	Organization Record of Achievements

Module 1: Summary

What Is It All About?

The summary is perhaps the most critical section of your proposal. You may wonder why it is so important to write a summary. Remember that decision makers are very busy people. In addition to attending many meetings, they review large numbers of documents and propositions every day. They often do not have the time to carefully read an entire document. Only a limited number of the proposals that come across their desks can be considered.

You need to provide them with a short and concise, but interesting summary of your project. That summary must convince the decision makers that your project is relevant to their particular concerns and to the needs of the country, and that it is well thought out. Although short, it must cover the essential points of the full proposal.

Be sure that you state the objectives and the overall strategy of the project clearly and succinctly. Explain how the project will solve or significantly contribute to the solution of an urgent problem, or to addressing an important unmet need. Outline the shortcomings of the preent situation and then put forward a picture of the future reflecting the changes that will result from the proposed project interventions.

The total project cost is an essential part of the summary. It allows the decision maker to relate costs to anticipated outcomes and to assess the economic feasibility of sustaining the project activities in the longer term.

Although in the proposal the summary comes first, this section should be written after you have completed all the others.

Photo: WHO/Hackett

Your analysis of the unmet need will explain the importance of the problem, its relevance to the policies and priorities of your organization

Module 2: Problem Statement

Background
Needs Assessment

Where Are We Now?

This part of the proposal should cover the general background as well as an analysis of the need to be addressed and alleviated by the project interventions.

The background section should be short and confined to aspects of the general situation that are relevant to the problem and to the interventions you are about to propose. Explain how you (your organization) came to be involved in identifying and addressing the situation.

This should be followed by your analysis of the unmet need, diagnosing and further defining the nature of the problem to be addressed. You will explain the importance of the problem, commenting on its magnitude, its relevance to the policies and priorities of your organization and your government and its importance to the delivery of effective and efficient health services. As you present your needs analysis, keep in mind that the objectives and strategies, which you will put forward in subsequent sections, need to be clearly traceable to this part of the proposal.

The following is the first paragraph of a <u>problem statement</u> introducing a proposal for the rehabilitation of referral health facilities and services. It illustrates how to use the background section to set the scene for discussing specific needs and for proposing a strategy to address the situation.

> "As a result of the political and economic disturbances of the 1970s, the national health referral system has deteriorated to the point that it no longer provides adequate backup support for the delivery of basic health care services. Minimum repair of facilities would include restoration of electricity, water, sanitation, basic equipment for primary health care, and limited inpatient and staff housing. In addition, health facilities have continued to decline because of insufficient funds for maintenance, and purchase of essential equipment and supplies for basic referral functions. An important factor in the deterioration of physical plant and equipment has been the attrition of skilled technical staff who are required to maintain, operate and administer the health facilities. An additional factor has been the inadequate level of support for recurrent operating costs".

Module 3: Goals and Objectives

Goals
Objectives

Where Do We Want To Go?

Goals are broad statements of what is ultimately to be accomplished. Objectives are more specific aims which the project is to achieve with its own resources and activities and within the time frame specified in your proposal.

Statements of goals and objectives form the basis for the consideration of different strategies for their attainment. Be sure that your statement explains the purpose of the activities to be performed and establishes a logical link between the problem stated in the preceding section and the strategy you are proposing in the next section.

Because most of the problems we try to address are complex, you will find that there is a hierarchy of goals and objectives pertaining to your project. This can be confusing. Concentrate on the status you want to achieve by the end of the project as a result of your project interventions (called EOPS = End of Project Status by some donors). Your project objective is a statement of the EOPS you are striving for. It will provide a standard against which to assess the project's achievements.

Some Questions

- What has led to the identification of this problem and to the decision to develop a project to address it?

- What is the general situation and how is the problem developing? Will it grow rapidly, if unchecked?

- What has been done so far to address the problem and with what effect?

- What has been your (your organization's) involvement?

- Have there been any evaluations of previous activities and what have been the findings?

- What evidence is there of both need and demand for a workable solution?

- How is addressing this need relevant to the nation's stated priorities?

Your project goal is the impact on the bigger picture in health manpower development, in the provision of health services or in improving the health status of people, to which your project should lead or contribute.

An example of a goal statement is 'control and reduction of the incidence of malaria in Eastern Africa' with the project objective 'to assist participating governments in monitoring the sensitivity of falciparum malaria to current and candidate curative and suppressive drugs'.

Another project goal may be 'orientation of health care towards the most prevalent health needs in the population' with the project objectives 'to broaden and improve the existing health information system' and 'to produce population-based health information through sampling in selected pilot areas'.

Some Questions

- What is the overall goal of the sector or programme which your project is part of?
- What are the objectives to be achieved within your project?
- At the end of the project period, where do you expect to be?

Photo: International Labour Office

Explain what approach, what methods will be employed

Module 4: Strategy

Components
Assumptions
Methods
Outputs
Feasibility

Which Route Will We Take?

Project strategy refers to the design for a set of interventions that will meet your objectives and contribute towards attainment of the larger developmental goal. The underlying assumption of a strategy is that its successful implementation will eliminate, reduce or control the stated problem and that it can be implemented within the time frame of the project and with the financial and organizational resources available to the project, including those resources requested from the donor. The project strategy is the core of your project design.

A strategy may consist of a single intervention or a number of simultaneous or sequential interventions. It is useful to examine and describe your strategy both as a whole and by means of its components. For example, the strategy for a national continuing education programme will comprise a large set of interventions, including reorientation and training of trainers and facilitators; refresher courses and learning surveys for rural health workers; distance teaching; development and production of learning materials; library development; and the development of a system of supportive supervision.

A number of assumptions are underlying your strategy for continuing education, for example: 'if health workers are better trained they will do a better job and, thus, provide better care to the people'; and 'continuing education provides a vehicle for more and better contact between different levels in the health system'.

Explain what approach, what methods will be employed. The next paragraph is an excerpt from a proposal, illustrating how to present your approach.

"We will offer assistance and training in developing country-specific Health Learning Materials (HLM) production strategies along the following lines:

- identification of priority needs for materials, and of potential authors and potential readership;

- development of the materials through workshops, editing and pre-testing to produce a relevant, usable draft of any book;

- conducting a workshop with potential teachers, trainers, specialists and other interested parties to ensure the correctness and acceptability of the draft;

- re-editing; typesetting; paste-up and artwork; printing; distribution.

Throughout this process, research, testing and evaluation of all aspects of need, relevance, usability, design and layout for different readerships and purposes should be carried out'.

Try to describe the outputs resulting directly from each set of planned activities. Outputs are those concrete and tangible products that are needed to achieve the project objective and that will happen as a result of specific activities. In the health learning materials network, your outputs will be the establishment of institutional units, e.g., a fully staffed and equipped HLM unit; a number of trained staff; and, of course, books and other teaching and learning materials. In an immunization programme, your outputs will be vaccinated children and mothers; in a rehabilitation programme, outputs will include adequate staffing to allow full functioning of the facility, management systems developed and established to support and supervise activities, and renovated buildings.

You will also need to comment on the feasibility of your intervention strategy in technical, economic, organizational and socio-cultural terms. For instance, can your organization establish and maintain a printing unit for HLM? Will your organization allocate the funds required for the operation of the unit after external funding expires? What are the constraints likely to be encountered?

In order to arrive at a project strategy, a number of options are usually considered and examined with regard to their cost effectiveness and feasibility. Briefly outline the main options you have considered and explain why you have selected your proposed strategy.

Some Questions

- What are the key elements/components of your strategy and what are the premises on which these are based?

- What are the methods used in this approach?

- What are the expected outputs/results of each of these components?

- Is the technology proposed in your strategy available and appropriate for the project area?

- Is there an existing infrastructure/organization to which the project can be linked or does one need to be established?

- Will the implementing organization absorb the additional recurrent costs implied by this activity?

- Can the implementing organization continue project activities and sustain the benefits beyond the expiration of external funds?

- Are there any political or bureaucratic obstacles to the adoption and/or successful implementation of this project?

Module 5: Implementation Plan

Resource Inputs
Workplan
Organization

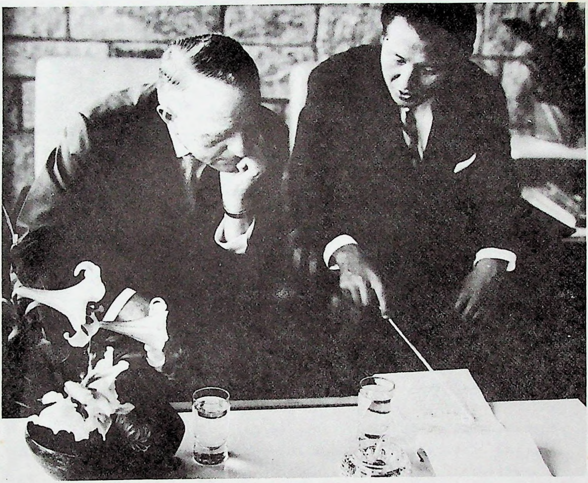
How Will We Travel There?

This is a core section of the proposal, describing what is actually going to be done. Having decided where you want to go and what route to take, you are now explaining the details of the journey.

Begin by specifying all the inputs required in terms of manpower, facilities, equipment, supplies and operating costs. Include all inputs, not only those you are requesting to be funded by an external donor agency. Also describe what resources are already available and where they will come from. For example, your organization may provide office space that you already have, vehicles that have been provided by other donors, and management support.

Next, you need to present a workplan outlining activities, targets and schedules. In a large project, you may want to divide your workplan into several specific project components. These can also be referred to as responsibility centres when different staff members head these components.

Photo: International Labour Office



Begin by specifying all the inputs required

The following table is an example of a workplan, containing the essential elements that permit easy review of achievements and constraints.

Activity (By Component)	Timing	Output Target	Critical Assumptions	Indicator of Achievement
Component A				
Activity A1				
Activity A2				
Activity A3				
Component B				
Activity B1				
Activity B2				

Page 32 shows an example of using this type of workplan for a national health planning programme.

Another possibility for charting activities and their timing is the Gantt chart, as illustrated below.

Activities	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Activity 1	xxx											
Activity 2	xxx	xxx	xxx	xxx								
Activity 3				xxx	xxx							

Yet another option is a time table in the following format:

1987					
JAN	FEB	MAR	APR	MAY	JUN
Planning	Planning	Writers Course	Operators Course	Develop Software Package	Production Assistance Kenya
JUL	AUG	SEP	OCT	NOV	DEC
Editors Course	Distribute Software Package	Operators Course	Manuals Testing Consulting	Computer Course Consulting	Production Assistance Tanzania

Under timing, note whether this is a continuous, periodic or time-specific activity. If periodic, indicate frequency. If time-specific, indicate estimated date of start and completion. Under target, indicate what will be the direct result or output of the activity, if successful. Be sure that each result of output specified can be related to an objective stated in the goals and objectives section. Under critical assumptions, state essential conditions that need to be present for the activity to take place and the target to be achieved. Under indicator of achievement, describe the concrete evidence or source of information required to demonstrate that the activity has been completed and to indicate to what extent its target has been achieved.

The workplan need not be overly detailed. Refer to the key activities and indicate by project quarter when you expect the activity to start and to terminate.

Health Planning Programme
Workplan 1986 (Excerpt)

No.	ACTIVITY Title	TIMING	OBJECTIVE/ TARGET	CRITICAL ASSUMPTIONS	INDICATOR OF ACHIEVEMENT
4.	HEALTH INFORMATION SYSTEMS (HIS)				
4.1	Produce the Health Information Quarterly for national distribution.	April July October January 1987	To encourage exchange of information activities, etc. in Uganda.	Articles submitted, adequate editorial resources, printing materials etc.	Quarterly distributed on time.
4.2	Continuous monitoring of the Health Information Systems in two districts.	April until August	To assess the appropriateness of the system.	Field work begun in March 1986. No restrictions on travel.	Final Report on system with recommendation for its alteration, adoption or otherwise.
4.3	Organize workshop on Health Information Systems	August for three days	To finalise revision of Health Information Systems.	Field trials complete and report prepared.	Proceedings.
4.4	Organize two refresher courses on Health Information Systems	November January (three days)	To introduce finalized system to two districts.	Revised system accepted and forms reviewed and printed.	Course report.
4.5	Depending on 4.3 the continuation of the modified system in two or more districts.	September	To collect reliable data on morbidity, mortality and health activity from representative districts.	An agreed system is confirmed; necessary modifications introduced, funds available. No restrictions on travel.	Regular statistical output from the system on a national level.

A very important ingredient in the success of a project is the organizational framework within which implementation is to take place. A description of the project organization should be provided in this section. This may include an organization chart. Comment on important linkages between the project and other organizational units and external organizations. Lines of authority and of communication should be clarified in this section. Discuss organizational procedures for project guidance and control, and for reporting activities and expenditures.

Some Questions

- What resources are required for the project to function?

- Which of these are already in place and can be used by the project?

- What are the activities to be carried out?

- What is the timing of these activities?

- What are the intended results of these activities?

- What are the major targets and milestones?

- What are the conditions that must be present for activities to be undertaken?

- How can implementation of activities and achievement of targets be verified?

- Who will be in charge of the project?

- What staff will be assigned and/or recruited?

- To which department/division will it be responsible?

- How will it link up with other relevant departments and organizations?

- What reports will be made? How often? To whom?

- What are the communications channels?

- Will there be a steering or advisory committee to provide direction and advice?

- What will be its membership? Its terms of reference?

Module 6: Monitoring and Evaluation

Monitoring
Evaluation

How Will We Know When We Arrive?

Surprisingly often, systems to provide information for management and for evaluation are not adequately set up at the beginning of a project. At project midpoint, when donors usually ask to evaluate achievements and project managers start to think about applying for a follow-on grant, panic sets in as it becomes clear that no baseline data is available and information has not been systematically collected to allow a clear assessment of a project's achievements against its plans.

To avoid such situations and to assure continuous review of the effectiveness of your project strategy, it is important to develop indicators of achievement and to set up a system for monitoring and evaluation at the design stage. Roles and responsibilities in this area need to be clearly assigned. Be sure to emphasize the learning objectives of these functions and to develop a system which assures broad participation.

Monitoring refers to the process of systematically reviewing progress against planned activities and targets. Evaluation encompasses a more comprehensive review and assessment not only of project results, but also of the initial assumptions underlying the project design, including the relevance of the problem statement;

Photo: WHO/J. Mohr

Monitoring refers to the process of systematically reviewing progress against planned activities and targets

Module 7: Budget

Capital Costs
Recurrent Costs

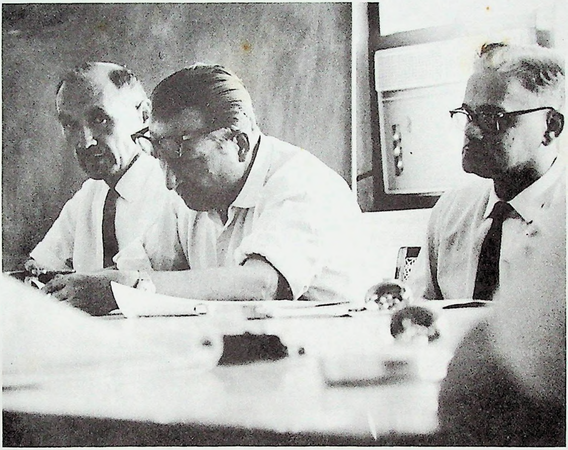
How Much Will It Cost?

In the project budget, you will systematically enumerate the anticipated costs of planned inputs and activities. Although estimates must be realistic, keep in mind that a budget is a forecast rather than a definitive statement of costs and prices.

Most organizations differentiate between capital costs which occur only once during the life of a project, and operating or recurrent costs which recur regularly. An important characteristic of recurrent costs is that they usually continue beyond the project period and after external funding expires. Donors are generally wary of financing recurrent costs unless these are projected to drop substantially once a programme has been developed and established.

It is important to keep good notes stating the assumptions underlying your calculations. This is particularly true for budget items which constitute activities, such as workshops or evaluations. Although shown as one amount, the cost of a workshop is composed of several different types of expenditures, such as travel, per diem, honoraria.

Photo: International Labour Office



You will systematically enumerate the anticipated costs of planned inputs and activities

However, most line items in a budget refer to inputs, such as commodities (computers, cars) and supplies (stationery). Personnel costs are best broken down into individual positions and their salaries and emoluments, rather than presented as a global figure.

Budgets should include a contingency for unforeseen events and expenditures. Provision also needs to be made for inflation.

Donor requirements vary widely with regard to the currency in which the budget is to be presented: some insist on dollar budgets and others on local currency budgets. Yet others require that your budget estimates be presented in two columns, one for local currency (LX) and one for foreign currency (FX). You will need to consult the guidelines of your particular donors to be sure that you present the budget in the required form.

It is quite possible that you will not be able to find one donor to fund your entire project. Instead of writing several proposals to cover different aspects of the same project, you may simply divide up the costs between different donors. In this case, you can present a comprehensive budget which indicates the amount of money you are requesting from different donors as well as your own organization's contribution. If your contributions are in kind, e.g. premises, equipment, you should point this out in the budget notes.

Regardless of specific donor requirements, budget preparation can be quite easy if you use a comprehensive checklist such as the one below, to guide you.

Budget Check List

Capital Expenditure

1.	Construction	Office buildings; staff housing; training schools; health units; other construction.
2.	Commodities	Equipment; furniture; vehicles.

Recurrent Expenditure

3.	Personnel	Technical staff; support staff; consultants; casual labour.
4.	Training	Fellowships; study travel; workshops; refresher courses; correspondence courses; extension courses; other courses.
5.	Travel Costs	Train/bus/air fares; per diem, etc. for personnel and training.
6.	Supplies	Medical supplies; training supplies; vehicles; office supplies; printing and photocopying.
7.	Maintenance	Equipment; furniture; buildings.
8.	Vehicle Running and Maintenance	Operation and maintenance of vehicles.
9.	Other Costs	Utilities (electricity, fuel, water, rent); communications (telephone, telex, postage); licences and permits.
10.	Contingency	
11.	Inflation	

Here is how a project budget might look:

PROJECT BUDGET (state currency)

Line Item	PY1	PY2	PY3	Total
1. Personnel				
Medical Training Officer	100	110	121	331
Nurse Tutor	100	110	121	331
Secretary	50	55	61	166
Driver	50	55	61	166
2. Training				
1 Fellowship	1000	-	-	1000
5 Refresher Courses p.a.	500	550	605	1655
1 Regional Workshop	-	-	200	200
3. Travel Costs				
Support and Supervisory Visits	500	550	605	1655
4. Supplies				
Office Equipment	1000	-	-	1000
1 Vehicle	1000	-	-	1000
Office Supplies	500	550	605	1655
Photocopies	100	110	121	331
5. Vehicle Running and Maintenance (1000 km per year at .50)	500	550	605	1655
6. Other Costs				
Contingency	1000	1100	1210	3310
TOTAL	6400	3740	4315	14455

* Budget Notes

1. 10% inflation per year included.

2. Refresher course cost based on an average of 20 participants and one week duration.

facilitators' per diem	40
participants' room and board	40
learning materials	10
stationery	10
Total Cost Per Course	100

3. Office equipment includes:

1 computer	500
1 photocopier	300
4 filing cabinets	200

Module 8: Annex/Profile of the Applicant

Organization
Record of Achievements

And Who Are We?

In this Annex, you belatedly introduce yourself. This introduction should include a description of your organization. If you have a brochure about your institution or a suitable annual report, this may suffice. If not, produce a short paper which provides basic information about the nature of your organization, its legal constitution, number of employees and proportion of professional staff, the size of your budget, your major funding sources, institutional goals and key areas of operation, both technical and geographic.

In addition to the above general information, you should outline what your track record has been in relation to the type of project you are now proposing to implement. What has been your experience in planning, managing, implementing and evaluating such interventions? What have been your achievements in this area?

Finally, your proposal may be much enchanced if you include short resumes of staff already on board, or to be recruited, who will work on the proposed project.

SECTION TWO: PROJECT DESIGN FRAMEWORKS

There is now widespread use of certain techniques for presenting all essential project information in tables. For some donors, these tables are a compulsory part of the proposal. Others will ask you to use them when you make a preliminary submission.

The two most important ones are the Logical Framework (Logframe), pioneered by the US Agency for International Development, and now also used by German, Canadian and other aid agencies, and the Basic Project Elements Framework, developed and used by UNDP. In addition to serving as concise analytic summaries of the proposed project, these frameworks can be very useful for reviewing and discussing project design in small groups.

Logical Framework

The Logframe states causal relationships between goals, purpose, outputs and inputs, and the underlying assumptions about the factors affecting them. It encourages designers and planners to be specific, concrete and realistic in describing the relationships between ends and means. It also establishes a basis for project review by providing indicators which allow comparisons of actual and intended effects.

Basic Project Elements Framework

UNDP's Basic Project Elements Framework is based on the same principles as the Logframe but uses a different vocabulary. It specifies immediate objectives, outputs and inputs and reviews success criteria, verifiers and external factors for each item.

All these terms have already been discussed in the eight modules of the preceding section. Should your donors require a project design framework, you can ask them or the UNDP office to provide you with the relevant forms and instructions.

CONCLUSION

The chief purpose of this guide is to help develop marketable proposals. We trust that the preceding pages provide a useful overview of what needs to be done and how.

As with any other skill, you will only be able to develop competence as a result of experience and a lot of hard work. Do not be discouraged if you are not successful the first time. Perhaps you have not done justice to your idea in the way you have presented it. Perhaps you are courting the wrong donor or asking for too much money or putting the case forward at the wrong moment in time. After all, donors are business people and they do not give their money away lightly.

We suggest that you follow the steps outlined in this guide, using your own discretion depending on the subject of the project and the preferences of the donor. Once the planning and selling have been done, the battle is far from over. Rather, it is only just beginning.

The accepted proposal constitutes a contract between the donor and the implementers. However, there must be built-in flexibility to be able to modify the project design in response to experience gained during implementation. A well thought-out project strategy, a sound implementation plan and a good monitoring and evaluation system will go a long way towards ensuring the success of your project.