





**Project Management Handbook**  
A Working Tool for Project Managers

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**Introduction**

**Goals and Mission  
of NFSD**

**Criteria for Selecting Projects  
and Partner Organisations**

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**Templates**

# Glossary

<b>Accountability</b>	Obligation to demonstrate that work has been conducted in compliance with agreed rules and standards or to report fairly and accurately on performance results in relation to mandated roles and/or plans.
<b>Audit</b>	Independent or internal objective assessment of either compliance with applicable statutes and regulations (“regularity audit”) or the relevance, economy, efficiency, effectiveness (“performance audit”).
<b>Beneficiaries</b>	Individuals, groups, or organisations, whether targeted or not, that ultimately benefit, directly or indirectly, from a programme or project.
<b>Capacity</b>	The resources (human, financial, assets), skills, knowledge and organisation required to carry out a particular task.
<b>Effectiveness</b>	The extent to which the programme or project’s objectives were achieved, taking into account their relative importance (‘to do the right things’)
<b>Efficiency</b>	A measure of how well resources / inputs (funds, expertise, time, etc.) are converted into outputs (‘to do the things right’).
<b>Empowerment</b>	Ability of people, in particular the least privileged, to seize opportunities and control over productive resources that enable them to increase their quality of life and obtain the goods and services they need as well as to participate in the development process and to influence the decisions that affect them.
<b>Evaluation</b>	The assessment, as systematic and objective as possible, of an ongoing or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, efficiency, effectiveness, impact and sustainability.
<b>Impact</b>	Refers to the changes caused by implementation of a project (as a process or state) which are either intended or unintended, have occurred or are impending, these changes may be either favourable or adverse. Project impact is also dependent on the project environment, given that a project is one element in a system of relationships with mutual interactions.
<b>Indicator</b>	Quantitative or qualitative verifiable factor or variable that provides a simple and reliable means to measure achievement, results, and to reflect processes as well as changes in the context.
<b>Monitoring</b>	A continuing observation function that uses systematic collection of relevant and selected data to provide management and the main stakeholders of a programme / project with indications of the extent of progress and achievement of objectives as well as the process and impact.
<b>Overall goal</b>	The higher-order objective to which a development intervention is intended to contribute.

<b>Objective</b>	The intended physical, financial, institutional, social, environmental or other goals which a programme / project is expected to achieve and which lies in its own sphere of influence.
<b>Outcome</b>	Results of a programme / project relative to its objective that are sufficient and necessary to achieve the former and are generated by its respective partners' outputs.
<b>Outputs</b>	Total of all the products and services of a project as a result of the activities.
<b>Participation</b>	One or more processes in which an individual or group takes part in specific decision-making and action, and over which they may exercise specific controls. It refers specifically to processes in which primary stakeholders take an active part in planning and decision-making, implementation, learning and evaluation. This often has the intention of sharing control over the resources generated and responsibility for their future use.
<b>Planning</b>	Process through which the overall goal and objectives of a programme / project are set, partners identified, inputs assessed, activities specified and scheduled, monitoring mechanisms defined, so that expected outcomes and outputs might be achieved in a timely manner. Planning can appear as a phase, function or form of cooperation.
<b>Programme</b>	A multilevel, multi-sectored package of measures, requiring multilevel planning and structuring, leading towards an overall goal. Programmes are disaggregated into (individual) projects for reasons such as complexity (delimiting issues, allocating tasks, competence, division into manageable sectors).
<b>Project</b>	A project is a package of measures limited or capable of limitation in regional, social, subject and temporal terms, which is implemented by the NFSD, the partner and possibly other institutions in order to reach an objective that has been precisely designated beforehand and is objectively verifiable. A project may be part of an overarching programme.
<b>Relevance</b>	The extent to which the overall goal of a programme / project is consistent with beneficiaries' needs, country needs, and global priorities.
<b>Stakeholders</b>	Agencies, organisations, groups or individuals who have a direct or indirect stake or commitment in the programme / project design, implementation, benefits or its evaluation.
<b>Sustainability</b>	The continuation of benefits, effects generated by a programme / project after its termination (institutional, social, economic sustainability).

Definitions by: GTZ-Glossar, Eschborn, 1989 /  
Save the children, Toolkits, London, 2003 / SDC, English Glossary, Bern, 2002

# Abbreviations

<b>ASACO</b>	Association de Santé Communautaire
<b>CDE</b>	Centre for Development and Environment, Bern
<b>CSCOM</b>	Centre de Santé Communautaire
<b>CSR</b>	Corporate Social Responsibility
<b>CSR-DC</b>	Corporate Social Responsibility in Developing Countries
<b>FSG</b>	Foundation Strategy Group, LLC
<b>GTZ</b>	Deutsche Gesellschaft für Technische Zusammenarbeit
<b>LFA</b>	Logical Framework Approach
<b>M+E</b>	Monitoring + Evaluation
<b>MoU</b>	Memorandum of Understanding
<b>NFSD</b>	Novartis Foundation for Sustainable Development
<b>NGO</b>	Non-Governmental Organisation
<b>PISAM</b>	Projet Intégré de Santé et d'Activités Mutualistes
<b>PMC</b>	Project Management Cycle
<b>PPM</b>	Project Planning Matrix
<b>PRA</b>	Participatory Rural Appraisal
<b>SDC</b>	Swiss Agency for Development and Cooperation
<b>SFSA</b>	Syngenta Foundation for Sustainable Agriculture
<b>ToR</b>	Terms of Reference
<b>UTM</b>	Union Technique de la Mutualité Malienne
<b>ZOPP</b>	Zielorientierte Projektplanung



# Introduction

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## Purpose and Objectives of the Handbook

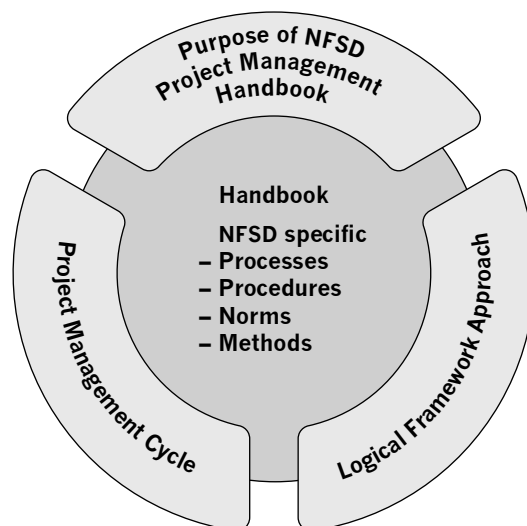
The purpose of the handbook is to orient and guide project managers of the Novartis Foundation for Sustainable Development (NFSD) and of our partner organisations. The handbook supports project managers in their daily work, providing some background information on project management as well as NFSD specific procedures, norms and methods (→ templates, p. 27). The handbook is therefore a working tool, rather than a policy or strategic document.

## Summary of best practises

There are a hundred ways to manage a project. NFSD bases its daily work on existing and deeply proven planning documents from Swiss and international organisations. The handbook does therefore not re-invent the wheel, but is a summary of best practises in international development cooperation.

NFSD uses two inter-related frameworks for project management, the Project Management Cycle (PMC) and the Logical Framework Approach (LFA). This is common practice among international development agencies. Based on these two frameworks, the above mentioned purpose of the Project Management Handbook (PMH), NFSD specific processes, procedures, norms and methods are derived (→ figure 1).

Figure 1:  
Rationale of Handbook



Source: own illustration

As in many other situations, the process is as important as the result. This holds also for developing this handbook, which is based on previous project management handbooks of the NFSD and the former Ciby-Geigy Foundation for Cooperation with Developing Countries. The present PMH has been updated and adapted to current needs, which went along with many discussions within NFSD, with our partners in the project countries as well as colleagues from other organisations.

# Goals and Mission of NFSD

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## Our Past

The Novartis Foundation for Sustainable Development (NFSD) has been one of the leading organisations in the private sector for international development for 25 years. The humanitarian engagement of Novartis goes back to the 1960s, when the Basel companies Ciba, Geigy, Sandoz, Durand & Huguenin, Hoffmann-La Roche and Lonza founded the Basel Foundation for Developing Countries. The Basel Foundation supported, amongst other projects, the field laboratory of the Swiss Tropical Institute which had been in existence since 1957 (and is today the Ifakara Health Research and Development Centre in Ifakara / Tanzania).

Later, the renamed Ciba-Geigy Foundation for Cooperation with Developing Countries worked for the sustainable improvement of the living conditions of poor people in developing countries from 1979 onwards. After the merger of Ciba and Sandoz to form Novartis in 1996, the Foundation was renamed Novartis Foundation for Sustainable Development. Through all the years, the NFSD has been solely funded by the company.

In the past, programmes and projects in developing countries have addressed agricultural issues, natural resources management and technology transfer as well as social development and health in a way that directly benefited individual and community well-being. Research, publications and dialogues (symposia) have covered the topics of human rights and multinational companies, population growth and policy, globalization and business ethics, governance and development, health policy and social and agricultural development. In 2001, the NFSD handed over its agricultural projects to the newly founded Syngenta Foundation for Sustainable Agriculture (SFSA).

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## Our Future

The NFSD reviewed its strategy in 2003. The new objectives focus on activities which address poverty related public health issues in developing countries, with continued emphasis on supporting community-based initiatives. These projects will inherently contain aspects of social and economic development for the communities involved but projects will no longer primarily address such issues. All together NFSD is engaged in project work, research and dialog facilitation in the areas of international health cooperation and corporate social responsibility for developing countries.

### **Mission statement:**

The mission statement of the NFSD is to improve the quality of life for poor people in developing countries by addressing public health issues through projects, and to contribute to the development policy debate through think tank efforts and dialogue facilitation. The NFSD's concept of "health" goes far beyond the merely physical aspects of not suffering from diseases, injuries, disability or infirmity. Its programmes and projects therefore embrace the societal dimension of public health and context of individual well-being.

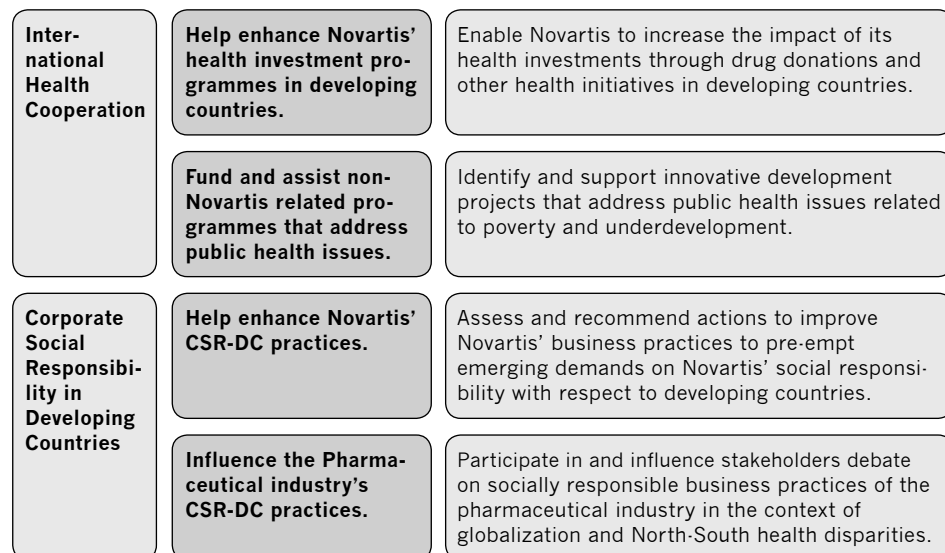
With its focus on developing countries, its practical experience in the field of health in a broad sense, its think-tank capabilities and its unique positioning within the Novartis Group, the NFSD has the ability

- to contribute towards a better state of health of poor people in developing countries in a comprehensive way;
- to improve access to healthcare services;
- to enable Novartis to improve its corporate citizenship endeavours aimed at developing countries (e.g. through drug donations).

## Working Areas

The NFSD carries out activities in the areas of international health cooperation and corporate social responsibility in developing countries (→ figure 2)

Figure 2:  
NFSD's Fields of Work



Source: Adapted from Foundation Strategy Group, LLC

## Working Approaches

All the NFSD's development work has the same underlying approach:

- Supporting the world's poorest countries and regions through projects with innovative ideas, concepts and /or technologies.
- Focusing on and strengthening our core competencies in order to duplicate successful interventions in other regions or countries.
- Supporting project partners not only financially, but also conceptually and strategically throughout the project cycle.
- Capacity building of project partners to empower them and to strengthen forces of self-help.
- Engaging in those areas where political and institutional conditions allow continuity in our project work.
- Long-term collaboration with project partners in order to assure sustainable results in the field.
- Collaboration with different partners, e.g. governmental bodies, local and international NGOs, private companies, church missions, etc.
- Expectation of transparency and accountability from ourselves and our partners with regard to the working mode and the resources used.
- Being proactive in the selection of new projects, i.e. own identification of potential projects and partners.

**Value Creation Through NFSD Programmes and Projects**

There are four ways in which NFSD seeks to create value beyond the money invested, and to exceed the social impact of other types of donors:

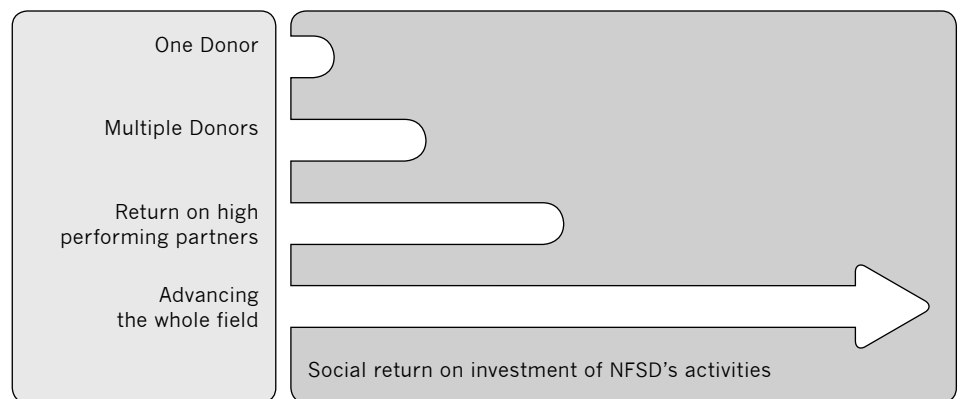
**Selecting the best partners**  
leads to more social impact per dollar spent.

**Attracting other funders**  
and creating a more effective allocation of overall health and development spending.

**Improving the performance**  
of our partners increases value for society and the social impact achieved per dollar spent.

**Advancing knowledge and practice**  
by developing new approaches to social problems and to drive productivity in the nonprofit as well as in the commercial sector.

Figure 3:  
Four Levels of Value  
Added of NFSD's work



Source: adapted from FSG

Each successive approach creates more social value than the preceding one.

**Our Core Values**

- Help for self-help
- Empowerment and capacity building of project partners and other stakeholders
- Cooperative manner of working together, appreciating diversity of values, experiences and backgrounds
- Participation of the main stakeholders at all levels throughout the project cycle
- Local contribution to financing project activities (in cash or in kind)
- Striving for sustainability (institutional, financial, social, ecological)
- Effective and efficient way of working
- Reliability and accountability of own work and of others
- Equal access and participation of the target population regardless of sex, age, race, etc.
- Considering ecological aspects during project implementation
- Respecting human rights

# Criteria for Selecting Projects and Partner Organisations

Political and economic conditions in partner countries are key

Experience in recent decades has shown that domestic political and economic conditions in partner countries are primarily responsible for determining progress or failure in development. This justifies the increasing international demands for better governance that are now made on the governments of developing countries. The need for a trade policy that benefits poor countries is (at least theoretically) being acknowledged for precisely the same reason.

Genuine sustainable development can only take place if the obstacles that hamper development are overcome in advance. The need for change in the direction of overcoming such obstacles may seem obvious, given the widespread destitution in developing countries. But a pragmatic development policy cannot afford to wait for change and then implement development strategies designed to alleviate poverty only when such change has occurred.

Promotion of practical development measures

NFSD therefore seeks to promote practical development measures that take account of existing limitations, and to take immediate action wherever the best potential for implementing the concept of sustainable development is found. The less the room for manoeuvre with respect to poverty-oriented development strategies at higher levels, the greater the intrinsic value of poverty-oriented projects at the local level.

NFSD is aware that our development work is an instrument which is neither sufficiently suited nor adequate to have a direct impact on vested interests at the national and international levels. Dealing with issues such as entrenched interests requires discussions between policy-makers, involving donors and recipients in the public sector, in the context of bilateral governmental consultations and multilateral coordinating committees (such as the World Bank Consultative Group). Ideally, such discussions should result in the formulation of explicit conditions under which donors allocate resources with the aim of purposefully changing existing conditions.

NFSD focuses its activities primarily on the grass-roots level. Development assistance is not regarded as an alternative to political solutions, nor as a purely charitable form of philanthropy. It can, however, create complementarities.

Criteria should allow maximum effectiveness and sustainability

NFSD makes a continual effort to ensure that the decision-making processes reflect a developmental perspective by focusing on criteria that allow maximum effectiveness and sustainability from its programmes and projects.

- Hence, projects and programmes supported by the NFSD should
- have a relation to poverty, i.e. focus on developing neglected productive resources among a target population defined as poor, rather than focusing, for example, on expanding existing potential without clearly linking such expansion to the target population;
  - take account of the core health problems in a particular developing country (rather than focusing on problems of little relevance); core problems are those which pose the greatest obstacles to economic and social development;
  - consider a partner country's potential for development (rather than making an effort in areas where the potential for development tends to be low);

- consider the partner country’s health priorities (rather than pursuing priorities in which the partner country has no interest);
- take account of the conditions under which development objectives are to be attained, in addition to considering the effectiveness and sustainability of an intervention (rather than making an effort where the pressure of problems is great but the conditions tend to be unfavourable);
- consider the need for external assistance (rather than choosing areas of development in which the country concerned is capable of self-help);
- take account of experience in the partner country (rather than making commitments in areas where previous experience has been somewhat problematic or where NFSD has little expertise);
- consider the commitments of other donors (in negative terms: avoid duplicating the efforts of other donors; in positive terms: determine whether the commitments of other donors can be effectively complemented to benefit from the effect of synergy);
- and last but not least: consider the level of resources available to NFSD (since this determines the extent and the focus of the contribution NFSD can make in solving a significant problem).

The list of criteria is not completely exhaustive. Owing to the degree of specification in our criteria for development work, we cannot present full details here. Nor would this serve any useful purpose. Rather, it would invite a great number of project applications especially “tailored” to our criteria that would match neither the current needs nor the absorption capacity of the target public. Nor would such applications necessarily match the capabilities or the actual specialities of those who submit them.

Final assessment by  
NFSD project managers

It must also be pointed out here that, despite all attempts to be objective and to reason from a developmental perspective during the selection process, in the final analysis, determination of priorities always requires evaluations (of core problems, development potential, conditions, willingness of the partner to pursue development, etc.) by our project managers. These priorities may vary greatly in terms of the resources they require (a certain level of funding is not the starting point for a development priority). For example, support for a programme or project that gives psychosocial counselling to children orphaned by AIDS in Tanzania may be a priority when it contributes to solving a locally significant development problem, even if development in this case consists largely of information and educational programmes and does not require a budget in the millions.

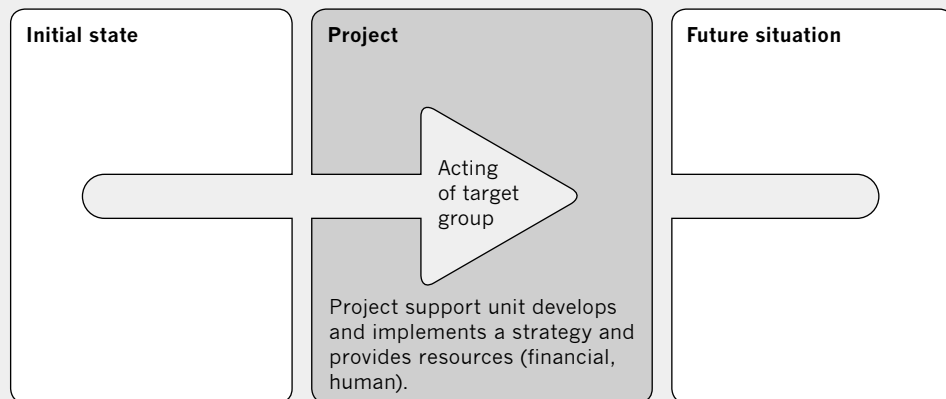
NFSD is guided by the overriding aim of concentrating on certain priorities. It enables the effectiveness of the resources that are committed to problem-solving, where we hope to have a significant impact. An evaluation is carried out towards the end of a project phase to assess efficiency, effectiveness and impact. This not only facilitates a continual learning process, but also allows successful approaches to be duplicated.

# Project Management

NFSD uses two inter-related frameworks for project management, the Project Management Cycle (PMC) and the Logical Framework Approach (LFA). This is common practice among international development agencies, since the two frameworks complement one another. In the following they are characterized more detailed and the NFSD-specific procedures and methods are derived.

A project is initiated to change a situation, an environment and /or people's behaviour and attitudes from an initial state to an (improved) future situation (→ figure 4). To facilitate this process, a project is initiated, which is limited in time and has clear objectives as to what should be achieved by the end of this limited period. In order to achieve the objective, a strategy is formulated which identifies activities and expected results as well as the financial and human resources that are needed to meet the objective. Furthermore, responsibilities have to be clarified, decision-making processes agreed, and a common understanding on monitoring the implementation process found.

Figure 4:  
Project Management



Source: own illustration

The clearer the formulation of responsibilities and procedures, the smoother the project usually runs. For this reason, NFSD applies the LFA in combination with PMC. This process is never carried out by NFSD solely, but always in a close collaboration with the implementing partners and other stakeholders.

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## Watch Out for Planning Failures

If good project management procedures are established, there is still potential for failures and pitfalls in project management. The main reasons for such failures are the following:

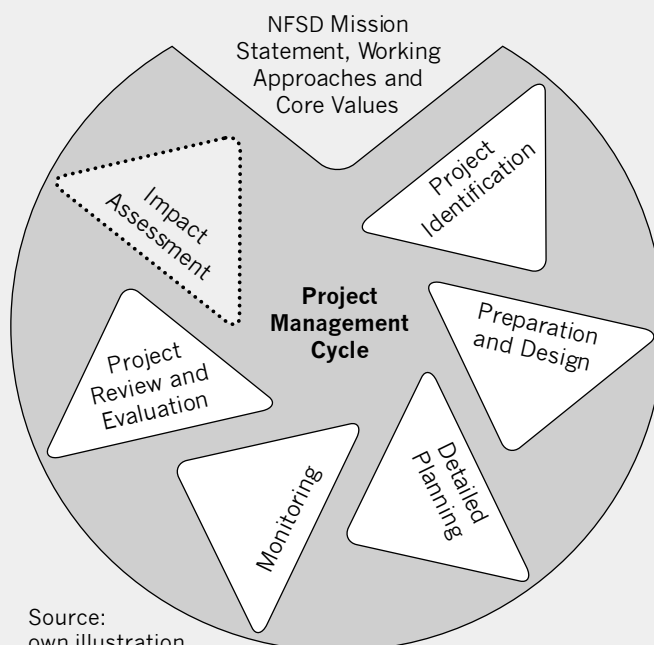
- The overall context is not analysed and considered systematically enough.
- The interests and ideas of the relevant stakeholders are not sufficiently enough included or examined.
- The objectives and expected results / outputs in combination with the foreseen time frame are too ambitious.
- The planning process and implementation of the project are not executed by the same partners.
- Underestimation of unexpected and therefore ‘unplannable’ events (no ‘air left to breathe’), no space left for flexibility.

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**Project Management Cycle**

PMC is a framework which leads through all stages of a programme or project (→ figure 5). Every project starts with an initial idea, which is based on the NFSD mission statement, working approaches and core values. From there, the broad lines of a project are identified (project identification). If NFSD decides to continue, the project will be prepared and designed in collaboration with the local partners. Detailed planning can be initiated, as soon as the project description – the first milestone in the PMC – is approved. Monitoring is carried out as a continuous process throughout project implementation. The scope of monitoring depends on the size of the project. Project review and evaluation are always carried out towards the end of a project. In bigger projects and comprehensive programmes, NFSD also carries out impact assessments after the termination of the project or programme. The following chapters describe in detail the procedures and milestones for each step in the PMC.

Figure 5:  
Project Management Cycle



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**Logical Framework Approach**

LFA was originally developed for the United States Agency for International Development (USAID) in 1969. Since then it has been adopted by many bilateral and multilateral agencies as well as non-governmental organizations (NGOs). It is a way of testing the logic of a plan of action by analysing it in terms of means and ends. It helps to:

- clarify how the planned activities will help to achieve the objectives;
- be explicit about the implications of carrying out the planned activities in terms of resources, assumptions, risks.

The analysis may be carried out by the project planners, by a consultant, or by using participatory techniques to involve staff, managers, partners and communities affected by the work.



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## Analysing the Problems

There are several steps before developing LFA. Traditionally, these are derived from the ZOPP methodology (ZOPP = zielorientierte Projektplanung or goal-oriented planning) and are listed below.

- 1. Participation Analysis:** As a first step, a comprehensive picture of the stakeholders (interest groups, institutions, individuals, etc.) affected by the project/ problem context is developed.
- 2. Problem Analysis:** On the basis of available information, the existing project / problem context is analysed, i.e. the major problems are identified and the main causal relationships between these are visualized (problem tree).
- 3. Objective Analysis:** In the objective analysis the problem tree is transformed into a tree of objectives (future solutions of the problem), and the objective tree is analysed.
- 4. Alternative Analysis:** the purpose of the alternative analysis is to identify possible alternative options, assess the feasibility of these and to agree upon one project strategy.
- 5. Project Description:** Once the project strategy has been chosen, the main project elements (overall goal, objective, expected results, activities) are derived from the objectives tree and transferred to the project planning matrix (template and example → p. 31-33).
- 6. Assumptions:** For each level of the causal hierarchy of design elements (from input to overall goal) external conditions and factors are defined that will have to be in place for the project to succeed.
- 7. Indicators and Means of Verification:** Quantitative and qualitative performance and impact indicators are defined that provide a simple and reliable means to measure the achievements and results, to reflect the processes that led to them, and to observe the changes in the project context.

A crucial element of LFA is the participatory approach to project planning, implementation, monitoring and evaluation involving all stakeholders affected by the project activities and/or decision-makers.

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## Analysing the Context

As mentioned above, a common method of analysing the project context is to develop a problem tree. This method requires the selection of a core problem (the trunk), defining causes (the roots) and consequences (the branches). However, focusing on only one problem with linear and causal relationships is critical (Herweg/Steiner, 2002). A project context is a living system; it implies a high degree of uncertainty and unpredictability.

All elements are highly interconnected

The elements of a context – people, institutions, resources, etc. – are highly interconnected and not all elements and interrelations are known, even to insiders. Stakeholders with their different agendas represent an additional degree of uncertainty and unpredictability. Problems in such a system are usually complex and include economic, natural, political, social and psychological dimensions. Because the reactions of a system cannot be precisely predicted, a project can not

be expected to provide simple solutions. It can only provide various “impulses”, such as enhancing cooperation and training, introducing a new product, tool or procedure in order to stimulate partners to move the context in a certain direction. Since it is not certain whether these impulses will finally lead to the desired changes, there is a need to observe and assess the changes constantly to decide which impulses to give next.

Systems or network analysis

Analysing a project context is a form of systems or network analysis. It is conducted with stakeholders to involve a variety of different backgrounds, knowledge and experience. It may be difficult to agree on a common picture of a context in the short run. But the debate about different perceptions of the same context helps to avoid predetermined thinking at an early stage.

Analysis of the context can start with development of a flow chart. Important elements (issues, problems, opportunities) may be the point of departure. At the beginning, the analysis should be broad in order not to miss any important aspect. Apart from these elements, there are interrelations of different types, e.g. flows of information, energy, nutrients, dependencies, etc. Written on cards, the elements and their interrelations can be rearranged and replaced until an agreeable result has been achieved. A flow diagram will be used to determine important and less important elements, to categorize stronger or weaker interrelations and finally, to identify possible starting points for project activities.

While a problem tree is focused on one core problem and mostly linear relations, network or systems analysis is broader and allows complex interrelations.

Further reading: Impact Monitoring & Assessment, Volume 1 and 2, Karl Herweg & Kurt Steiner, 2002, CDE/GTZ

**Project Planning Matrix**

The result of LFA is a Project Planning Matrix (PPM), which shows the interrelation of the four hierarchical levels – overall goal, objective, expected result, and activities – in a logical fashion. For each level, indicators and external factors have to be identified.

- The PPM provides a summary on:**
- Why** a project is carried out (= overall goal)
- What** the project is expected to achieve (= objective)
- How** the project is going to achieve its results (= expected results)
- Which** external factors are crucial for the success of the project (= risks and assumptions)
- How** we can assess the success (= indicators)
- Where** we will find the data required to assess the success (= means of verification)

Table 1:  
Project Planning  
Matrix

Overall Goal	Impact Indicators	External Factors / Assumptions
The higher level objective towards which the project is expected to contribute	Measures to verify to what extent the overall goal is fulfilled	Important events, conditions or decisions necessary for sustaining the overall goal in the long run
The effects that are expected to be achieved as a result of the project	Measure to verify to what extent the immediate objective is fulfilled	Important events, conditions or decisions outside the control of the project which must prevail for the overall goal to be attained
The results that the project should deliver	Measures to verify to what extent the outputs are produced.	Important events, conditions or decisions outside the control of the project necessary for the achievement of the objectives
Activities that have to be undertaken by the project in order to produce the outputs	Goods and services necessary to undertake the activities	Important events, conditions or decisions outside the control of the project necessary for the production of the outputs

### How to Formulate Indicators

All the objectives and indicators that are formulated should follow the SMART-method (SMART = specific, measurable, achievable, realistic, timely).

**Specific:** Key indicators need to be specific and must relate to the conditions the project seeks to change.

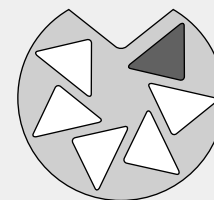
**Measurable:** Quantifiable indicators are preferred because they are precise, can be aggregated and allow further statistical analysis of data. However, development process indicators may be difficult to quantify, and qualitative indicators have to be used in these cases.

**Achievable:** The indicator (or information) must be achievable at reasonable costs using an appropriate collection method. Accurate and reliable information on such things as household incomes, for example, is notoriously difficult and expensive to actually collect.

**Relevant:** Indicators should be relevant to the management needs of the people who will use the data. Field staff may need particular indicators that are of no relevance for senior managers, and vice-versa.

**Timely:** An indicator needs to be collected and reported at the right time to influence management decisions. There is no point choosing (performance) indicators that can only tell you at the end of a project whether you succeeded or failed in meeting the objectives. They may be lessons learnt but the information comes too late for project personnel to act on.

# Project Identification



At the beginning  
is the project idea

Project identification is the stage at which the initial project idea is conceived and formulated. At this stage the perspective is still very wide and the information available is usually very limited. The focus is on the context and justification, and the logic and terminology of LFA is used to establish the scope (overall goal) and the anticipated effects of a possible future scope.

The initial project idea has been developed in many cases by NFSD, often in collaboration with a partner or a partner organisation in the recipient country. The idea has to be in line with the NFSD's fields of activity in public health, its strategy and working approaches (→ p. 9). Generally, a local organisation can independently develop a project idea and apply for funds from NFSD for support. The template necessary is the project description (→ p. 28).

Information gathering  
through studies, surveys  
or assessments

At this stage, comprehensive and reliable information has to be gathered. This can be done through feasibility studies or baseline surveys. They should include the data collection, analysis and assessment necessary to prepare further analysis and project design. Studies should provide the detailed background needed to support the justification of a project, and gather sufficient information on stakeholders and development issues to inform the decision-making process with regard to the limits of the problem context. The scope of the study and analysis depends on the size of the project and on the amount of information that already exists. Another – more interactive way – of gathering the relevant information is to carry out assessments using PRA tools. The decision as to which methods to apply at this stage depends on the scope of the project, the means available, and the time frame for project identification.

Information is needed on the stakeholders and institutions in the context of the foreseen project. How do they relate to each other? Who takes which decisions? More information has to be gathered on the people's opinions and perception of a certain problem. How do different groups of people look at the same problem? Are the opinions consistent or do they vary?

Involve all relevant  
stakeholders

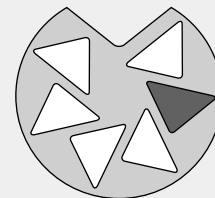
It is advisable to involve potential beneficiaries as well as external experts at this stage to help conceptualizing the studies or give feedback on the results. An advisory board could be established to share the study findings and experiences from similar – already ongoing – projects.

NFSD wants to know at the end of this stage if there is a clearly formulated problem which falls into the NFSD's mission, strategies and areas of work. Based on that information, NFSD management is in a position to decide whether to proceed with the 2nd stage (project preparation and design) or whether to stop at this point.

Key questions  
for project managers

- What is the focus/sector of the intervention of the proposed project?
- Does the project idea fall within NFSD's areas of work?
- Is the idea in line with international and national policy and sector approaches?
- Does the idea refer to clearly identified problems or opportunities and potential beneficiaries?
- Do we know enough about the problems and issues identified and their broader context?
- On what issues do we need additional information?
- Who are the beneficiaries and target populations?
- Is the project idea relevant to them?
- Who has identified the problems / opportunities / potential beneficiaries?
- Has a (preliminary) feasibility study, baseline survey, or a situation analysis been conducted or PRA tools been applied?
- If so, who initiated this?
- Is the project concept feasible?
- Are all the necessary partners identified?
- Is the project clearly pro-poor oriented?
- Does NFSD have the capacity to support the project?
- Is there a local contribution to the project (in case or in kind)
- If yes, to what extent?

# Preparation and Design



Project design defines overall goal, objectives, beneficiaries, project strategy and organisation.

During project design the basic project structure, the main external factors and the elements of the monitoring system are identified (→ monitoring framework p. 22). The perspective at this stage is the whole project and its context. The project design, however, does not go into details of the activities and the inputs needed. It defines the main components, such as overall goal, objectives, and beneficiaries as well as project strategy and organisation.

The scope of the preparation and design phase depends on the size and complexity of the project. In the case of a small project, NFSD goes directly into the detailed project planning (→ p. 21) to develop the project document. At this stage, a project description is developed and submitted to NFSD (→ template, p. 28). It is either written by the NFSD project manager and/or in collaboration with the partner in the recipient country. The rationale for this document is to compile all the existing information, to put it in the required form and to assess whether and if so – in what areas more and specific information is needed.

The objective of this phase is to submit the project description to NFSD management. If and when the document is approved, the project may proceed to detailed planning of the project.

Key questions  
for project managers

– What is the basis on which the project description has been written?

– Was a feasibility study/situation analysis been conducted before the project description was been set up?

– Is the project initiative feasible?

– Does the implementing agency have the capacity to run the project?

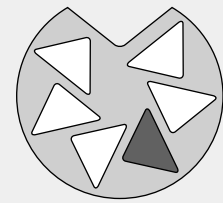
– Are the beneficiaries able to absorb the project activities?

– Are the overall project timelines clearly defined and realistic?

– Are any activities planned to ensure future sustainability?

– Does the objective of the intervention reflect the needs of all subgroups within the target population (e.g. children, elderly, women, men)?

# Detailed Project Planning



Identify activities and inputs

After the main characteristics of the project are approved, detailed planning can go ahead, including the activities and inputs necessary to achieve the expected outputs, a further refinement of the monitoring system, and also time schedules and budgets. LFA format and terminology is used to develop and formulate the detailed implementation plan for the project.

At this stage, a planning workshop is usually carried out together with the implementing agency and other relevant stakeholders. In order to write the project document (→ template p. 29), crucial questions on management, responsibilities, the PPM (→ template p. 31) and the budget (→ template p. 34) have to be developed. The project document including the budget is submitted to the NFSD. In the event of approval, the project will be implemented as foreseen in the plan of operation (→ templates p. 36 / 37).

Key questions for project managers

– Have the main risks, opportunities, and assumptions been identified (social, economic and environmental effects, institutional issues, external conditions, policy support, etc.)?

– Does the project document contain a PPM with overall goal, objective, expected results, activities, indicators, assumptions and means of verification?

– Is the logical hierarchy in the objective system respected?

– Is the draft budget attached to the project document?

– Is the implementing agency identified and is this agency willing and capable of carrying out the project activities?

– Are capacities within the implementing agency built, and are the partners ready for implementation?

– Have agreements been written and signed?

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## Budget Approval and Financing

Along with the project document a budget and a financial plan are submitted. The financial plan will include the financial details and indicate the funding sources (by donors, the state, communities and beneficiaries, etc.). The NFSD Board of Trustees will then decide whether to finance the project. Subsequently, a Memorandum of Understanding (MoU) or a Cooperation Agreement including a financial agreement between NFSD and the partner / implementing agency is to be prepared and signed (→ template p. 35).

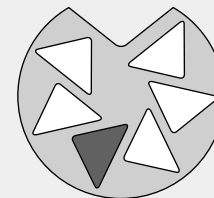
Key questions for project managers

– Are resources available to support the project within NFSD?

– Does the contract / MoU contain all the necessary details (objective and scope of agreement, roles and responsibilities of all involved partners, duration, reporting, evaluations, financial audit, etc.)?

– Are there other contributions to the budget (third parties)?

– Is the budget adequate for the project scope?



As soon as the plan of operation is ready and the agreements signed, implementation can start. The plan of operation should be available in detail for at least 6 months. Subsequently, annual plans of operation are worked out at regular planning meetings with the relevant stakeholders (→ templates p. 36/37).

Collect and analyse information on the progress of implementation.

Monitoring is the systematic and continuous collection and analysis of information about the progress of a project or programme over time. It is useful for identifying strengths and weaknesses in a project or programme and for providing the responsible people with sufficient information to make the right decisions at the right time in order to improve the quality of the project. Monitoring is carried out along the three levels of results and hierarchy objective as stipulated in table 2.

Reporting twice a year

Local project managers report on progress of the project twice a year. The reports are submitted to the NFSD project manager in charge by 31 August and 31 March. Progress reporting covers physical progress of the project (results), but also the effects and the possible impact of the project, as well as important developments in the context of the project (external factors) (→ template p. 38).

There are four main reasons for undertaking monitoring and evaluation (M+E) activities:

**Accountability:** This has generally been the most common reason for the integration of M+E activities into a project. It is through monitoring output, outcome and impact that an implementing agency demonstrates the appropriate and effective use of funds. Conventionally, this has been done for the sole or principal benefit of the donor. However, there is a growing sense within the field of development that accountability should also extend to the population which is the intended beneficiary of the intervention.

**Improve performance:** Through an effective system of M+E it should be possible to identify shortcomings or inefficiency in the project concept. This, in turn, should lead to a process of reflection and improvement.

**Learning:** Properly documented M+E activities can provide valuable information not only for the specific project or programme but also for the work of others. Lessons learned can thus be widely shared. The documentation may in addition prove valuable in terms of enhancing institutional memory.

**Communication:** Depending on how they are conducted, M+E activities can provide an opportunity for greater dialogue to take place between the different stakeholders involved in a particular intervention. The donors, implementing agency and the intended beneficiaries may have the opportunity to learn about each others' perspectives on the intervention in more detail.

Table 2:  
Monitoring Framework

Spheres	Hierarchy of objectives	Level of results	Achievement
Context	Overall goal	Relevance	Impact
Sphere of influence	Objective	Effectiveness	Outcome
Sphere of responsibility	Expected results	Efficiency	Output



Guiding questions when adapting monitoring methods to a specific project situation:

**Accuracy:** Which stakeholders will use the information and for what purposes? How accurate must the information really be in view of these purposes? Would the same method applied by different persons provide comparable results?

**Area coverage:** Is there a need for results with wide coverage, or is there a need for more detailed information from a few representative locations, households, etc.?

**Frequency:** How often should information be updated, thus repeating the observation (this is closely related to the accuracy of the method and the sensitivity of the corresponding indicator)?

**Feasibility:** Can the method be applied with the resources available to the project (field equipment, laboratory facilities, transport, labour, skills, funds, etc.)? If not, how can the method be adapted to the project's resources? Can parts of the monitoring be outsourced, i.e. be conducted by universities, private companies, etc.?

Not only the framework of monitoring matters, but also the way it is carried out (process). Participatory approaches should not only be applied when planning and implementing project activities, but also during M+E:

- to ensure that the changes which the project is creating fully reflect the concerns and aspirations of the intended beneficiaries;
- to enhance accountability to the intended beneficiaries;
- to provide an opportunity for learning and reflection, encouraging the confidence of intended beneficiaries and their sense of ownership and self-efficacy;
- to promote communication between all involved in the project;
- to identify new and emerging needs, including capacity-building needs.

Key questions  
for project managers

– Does NFSD receive reports on a regular basis?

– Who is contributing to the reports and how much?

– Does the report show evidence of whether the activities carried out ensure the expected results?

– Are indicators regularly measured?

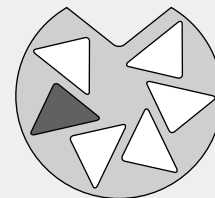
– Is an annual plan of operation available?

– Do the beneficiaries participate in the decision-making process during implementation?

– What is being done to strengthen the beneficiaries and local partners' capacities?

– How do budget and cost correspond?

– Is an evaluation planned?



Learning, guidance  
and control

The purpose of evaluations is a combination of learning, guidance and control. The focus is on assessing the impact and the relevance of the project in relation to its objectives, target groups and other affected parties. The monitoring system and project reviews provide complementary information. The terms of reference for the evaluations are based on the elements of LFA (→ template p. 39).

Assessing whether and  
to what extent targets are  
achieved

The final evaluation should not only examine the immediate objectives (outcome / effectiveness), results (outputs / efficiency) and activities, but also the impact and sustainability of the project (impact or ex-post-evaluation) (→ template p. 43).

There are many types of evaluations. Ex-ante-evaluations are carried out before an intervention is executed (initial situation). A mid-term evaluation is carried out during the implementation phase of a project. An ex-post-evaluation is carried out after a project is terminated. The combination of ex-ante and ex-post-evaluation allows insights into the difference that has actually been made by the project intervention. In addition, an evaluation can be carried out by the project team itself (internal evaluation) or by an independent group of consultants (external evaluation). Evaluations should always be planned and carried out in collaboration with the beneficiaries. According to NFSD procedures, in each project phase (2-5 years) at least one external evaluation is carried out.

The process of reviewing or evaluating work is also vital if people are to learn from experience and to share lessons learned with others. Recognizing and understanding failures and successes is equally important.

Key questions  
for project managers

– Is an external evaluation scheduled?

– Who is part of the external evaluation team (fields of competence, organisation, experience, sex, etc.).

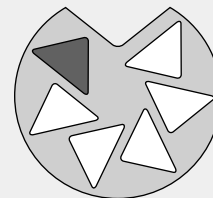
– Do the resources spent justify the progress made?

– Were the risks and assumptions correctly identified?

– Has the information needed to make assessments been collected?

– Is a self-evaluation by the project partners / beneficiaries planned?

# Impact Assessment



Analysing lasting changes in peoples' lives

Impact assessment is the systematic analysis of the lasting or significant changes – positive or negative, intended or not – brought about in people's lives by a given action or series of actions (Roche, 1999).

Impact assessment therefore considers more than the immediate, predicted outputs of an intervention (project or programme) and is much more concerned with the implications in the medium and long term. This crucially should include assumptions of expected, unintended, positive and negative impacts.

In order to measure lasting change meaningfully after the termination of a project, it is vital that change processes are tracked throughout its project cycle. Understanding and measuring change should therefore be a focus of ongoing monitoring and other key stages of the programme cycle.

Depending on the scope and overall goal of the project NFSD carries out impact assessments. While for smaller projects, a final evaluation is sufficient, impact assessments are part of a NFSD programme or regional project.

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# Templates

This chapter includes a collection of templates which are useful in project management as well as a check list and an example. To some of the templates it was already referred in the previous chapters.

You may also download the templates electronically from our website:  
[www.novartisfoundation.com](http://www.novartisfoundation.com)

# Project Description

Recommended number of pages not more than 5–10.

<b>1.</b>	<b>Summary</b> ..... .....	▶ Main features of the proposed project: ..... project components, duration, what needs are being addressed and how .....										
<b>2.</b>	<b>Background</b> ..... ..... ..... .....	▶ Situation of the country regarding the project intervention ..... ▶ Government / sector policy ..... ▶ Information on the implementing agency ..... ▶ Project history ..... ▶ Problems to be addressed / opportunities given .....										
<b>3.</b>	<b>Findings from Previous Studies</b> .....											
<b>4.</b>	<b>Project Design</b> ..... ..... ..... ..... ..... ..... ..... ..... ..... .....	<table border="1"><tr><td data-bbox="523 808 619 846"><b>4.1</b></td><td data-bbox="619 808 1474 846">Overall Goal</td></tr><tr><td data-bbox="523 846 619 884"><b>4.2</b></td><td data-bbox="619 846 1474 884">Objective</td></tr><tr><td data-bbox="523 884 619 922"><b>4.3</b></td><td data-bbox="619 884 1474 922">Target Population and Beneficiaries</td></tr><tr><td data-bbox="523 922 619 1120"><b>4.4</b></td><td data-bbox="619 922 1474 1120">Rationale, Strategies and Approaches ▶ In which broader conceptual framework is the project situated? ..... ▶ Which strategies and approaches in terms of sector/policy, collaborations, project type etc. are chosen in order to attain the objective? ..... ▶ How does the objective relate to the NFSD and the recipient country's policy? .....</td></tr><tr><td data-bbox="523 1120 619 1182"><b>4.5</b></td><td data-bbox="619 1120 1474 1182">Project Organisation / Technical and Operational Support</td></tr></table>	<b>4.1</b>	Overall Goal	<b>4.2</b>	Objective	<b>4.3</b>	Target Population and Beneficiaries	<b>4.4</b>	Rationale, Strategies and Approaches ▶ In which broader conceptual framework is the project situated? ..... ▶ Which strategies and approaches in terms of sector/policy, collaborations, project type etc. are chosen in order to attain the objective? ..... ▶ How does the objective relate to the NFSD and the recipient country's policy? .....	<b>4.5</b>	Project Organisation / Technical and Operational Support
<b>4.1</b>	Overall Goal											
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<b>4.5</b>	Project Organisation / Technical and Operational Support											
<b>5.</b>	<b>Rough Cost Estimates</b> .....											
<b>6.</b>	<b>Tentative Plan of work</b> .....											

# Project Document

Recommended number of pages not more than 40.

1.	<b>Executive summary</b> ..... ..... .....	<ul style="list-style-type: none"> <li>▶ Context</li> <li>▶ Objective system and strategy</li> <li>▶ Implementation</li> <li>▶ Risks and controlling</li> </ul>
2.	<b>Background</b> ..... ..... .....	<ul style="list-style-type: none"> <li>▶ Features of the country / region / area and sector concerned</li> <li>▶ Policy / sector strategies and approaches</li> <li>▶ Analysis of situation and problems of the target groups / beneficiaries / other stakeholders</li> <li>▶ Other (complementary) initiatives in the sector / region / area</li> </ul>
3.	<b>Objective System</b> ..... .....	<ul style="list-style-type: none"> <li>▶ Overall goal / indicators</li> <li>▶ Objective / indicators</li> <li>▶ Expected results / indicators</li> </ul>
4.	<b>Project Concept and Strategy</b> ..... ..... .....	<ul style="list-style-type: none"> <li>▶ Project duration</li> <li>▶ Geographical area</li> <li>▶ Project approach and principles</li> <li>▶ Intervention system, intervention levels and project instruments</li> <li>▶ Working approaches and values</li> </ul>
5.	<b>Target Population, Beneficiaries and Partners</b> ..... .....	<ul style="list-style-type: none"> <li>▶ Features of the country / region / area and sector concerned</li> <li>▶ Policy / sector strategies and approaches</li> <li>▶ Analysis of situation and problems of the target groups / beneficiaries / other stakeholders</li> <li>▶ Other (complementary) initiatives in the sector / region / area</li> </ul>
6.	<b>Project Organisation</b> ..... ..... .....	<ul style="list-style-type: none"> <li>▶ Project structure</li> <li>▶ Project infrastructure and management</li> <li>▶ Roles and responsibilities</li> <li>▶ Administrative arrangements (accounting, financial management, external audits)</li> </ul>
7.	<b>Funding</b>	<ul style="list-style-type: none"> <li>▶ Overall budget</li> </ul>
8.	<b>Controlling</b> ..... .....	<ul style="list-style-type: none"> <li>▶ Monitoring</li> <li>▶ Evaluation</li> <li>▶ Financial controlling</li> </ul>
9.	<b>Potentials and Risks</b> .....	<ul style="list-style-type: none"> <li>▶ Potentials</li> <li>▶ Risks</li> </ul>
10.	<b>Reference Documents</b>	
11.	<b>Appendices</b> ..... ..... .....	<ul style="list-style-type: none"> <li>▶ Project Planning Matrix</li> <li>▶ Terms of Reference for project staff</li> <li>▶ Budgets</li> <li>▶ Plan of Operation</li> </ul>

# Project Document (Check List)

Quality Criteria	Given	Not Given	
<b>Relevance</b>	<ul style="list-style-type: none"> <li>▶ The beneficiaries are clearly identified.</li> <li>▶ The beneficiaries are involved in the problem analysis and the formulation of objectives.</li> <li>▶ The problem analysis is comprehensive and adequately described.</li> <li>▶ The overall goal explains why a project is important to society (main development problems are addressed).</li> <li>▶ The objective is formulated as an important benefit for the beneficiaries.</li> <li>▶ The objective is in line with the country's policy and sector approaches.</li> <li>▶ The results are necessary and sufficient to achieve the objective.</li> <li>▶ The project intervenes in a field where external assistance is needed.</li> </ul>	<p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>	<p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>
<b>Feasibility</b>	<ul style="list-style-type: none"> <li>▶ The objective contributes to the overall goal.</li> <li>▶ The objective will be achieved if the results are delivered.</li> <li>▶ The results are described as services to be delivered to the beneficiaries.</li> <li>▶ The results will be delivered if the activities are carried out.</li> <li>▶ The activities are necessary and sufficient to achieve the result.</li> <li>▶ The means are sufficiently justified by quantified objectives.</li> <li>▶ Important external conditions have been identified.</li> <li>▶ Realistic assessment of assumptions are made.</li> <li>▶ Implementing agencies have the capacity to implement the project.</li> <li>▶ The beneficiaries are able to absorb the activities and results of the project.</li> <li>▶ The resources needed are realistic.</li> <li>▶ NFSD is able to contribute the resources required.</li> </ul>	<p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>	<p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>
<b>Sustainability</b>	<ul style="list-style-type: none"> <li>▶ Adequate policy support of government, competent national, regional and local authorities can be expected.</li> <li>▶ The technology is appropriate for local conditions.</li> <li>▶ Ownership of the project by the beneficiaries will be adequate.</li> <li>▶ The beneficiaries / communities mobilize appropriate local resources for the project.</li> <li>▶ The beneficiaries participate in the project planning, implementation and evaluation (e.g. self-evaluation).</li> <li>▶ Women / minority ethnic groups / lower socio-economic groups will have adequate access to benefits and production factors.</li> <li>▶ The project will produce no negative environmental effects.</li> <li>▶ The implementing agencies are likely to be able to provide sufficient follow-up to the project (institutional sustainability).</li> <li>▶ Financial and economic benefits will compensate for running costs and investments (financial sustainability).</li> <li>▶ Risks are adequately formulated.</li> <li>▶ Killer assumptions are formulated.</li> <li>▶ An exit strategy is developed.</li> </ul>	<p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>	<p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>
<b>Innovation / other factors</b>	<ul style="list-style-type: none"> <li>▶ The entity falls into the thematic focus of NFSD.</li> <li>▶ The project solves problems in an innovative way.</li> <li>▶ The project aims to learn lessons</li> <li>▶ Replication of results is planned.</li> </ul>	<p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>	<p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>



# Project Planning Matrix

Strategy	Indicator	Means of Verification	Assuptions
<b>Overall Goal</b> ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... .....	..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... .....	..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... .....	..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... .....
<b>Objective</b> ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... .....	..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... .....	..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... .....	..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... .....
<b>Expected Results</b> ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... .....	..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... .....	..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... .....	..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... .....
<b>Activities</b> ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... .....	..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... .....	..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... .....	..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... ..... .....

# Project Planning Matrix (Example)

Strategy	Indicator	Means of verification	Assumption
<p><b>Overall Goal</b></p> <p>The project contributes to the improvement of the productivity of the population, social inclusion, and reduction of acute poverty</p>	<p>Poverty rate (various indicators)</p>	<ul style="list-style-type: none"> <li>National poverty surveys</li> </ul>	
<p><b>Objective</b></p> <p>Improvement in the state of health of the inhabitants in the 72 villages of the Commune of Cinzana</p>	<ul style="list-style-type: none"> <li>Maternal mortality rate</li> <li>Infant mortality rate</li> <li>Mortality rate of children under 5 years</li> </ul>	<ul style="list-style-type: none"> <li>Periodic surveys</li> </ul>	
<p><b>Expected results</b></p> <ol style="list-style-type: none"> <li>Financial access to health services improved for a large number of the population in the area through membership of the mutual health insurance scheme</li> <li>Health care services (of the CSCOM) used by a greater proportion of the population through the improvement in the quality of care</li> <li>Hygiene and nutritional measures (preventive) applied by a large number of households</li> </ol>	<ol style="list-style-type: none"> <li> <ol style="list-style-type: none"> <li>20% membership rate</li> <li>95% coverage rate for premium contributions to the mutual health insurance scheme</li> <li>Ratio expenditure/income of mutual health insurance scheme (expenditure = % of income)</li> <li>Ratio of availability of finances / debts to be covered by the mutual health insurance scheme</li> <li>Utilisation rate of health care services: 0.6 new contacts among members of the mutual health insurance</li> <li>0.4 new contacts among the target population</li> <li>Rate of resigning members (loss of members from year to year)</li> </ol> </li> <li>40% rate of uptake of health care services among the target population</li> <li>30% assisted delivery rate in the commune</li> <li>Availability of essential medicines</li> <li>Quality of care (qualitative indicators)</li> </ol> <ol style="list-style-type: none"> <li>Reduction in acute malnutrition rate in children under surveillance to less than 10%</li> <li>Reduction in chronic malnutrition rate in children under surveillance to less than 20%</li> <li>Number of women using flour and applying hygiene measures /number of women having benefited from sensitization program (60%)</li> <li>Number of cases of diarrhoea per month recorded by CSCOM (15)</li> <li>Prevalence of diarrhoea in under 5-year-olds (number of children having suffered diarrhoea 2 weeks before the survey)</li> </ol>	<ul style="list-style-type: none"> <li>PISAM records / activity report</li> <li>Financial report from the mutual health insurance scheme</li> <li>CSCOM records / statistics</li> <li>CSCOM records / statistics</li> <li>Records mutual health insurance scheme</li> <li>Statistics on the follow-up of children under 5 years (PISAM and CSCOM)</li> <li>Periodic qualitative surveys</li> <li>CSCOM Statistics</li> <li>Periodic surveys</li> </ul>	<p>The health and social authorities support the mutual health insurance scheme</p> <p>The health and social authorities support the CSCOM and the ASACO</p> <p>The population is involved in the process</p>
<p><b>Activities (1)</b></p> <ol style="list-style-type: none"> <li>Feasibility study on the setting up of a mutual health insurance scheme</li> <li>Training and follow-up of the managers of the mutual health insurance scheme</li> <li>Training and follow-up of village animators (sensitization campaigns)</li> <li>Developing statutes and regulations, holding of Constitutive Assembly and seeking of acknowledgement of receipt</li> <li>Production and testing of tools /equipment for sensitization campaigns (social marketing)</li> </ol>	<ul style="list-style-type: none"> <li>Presentation of results to the commune and the beneficiaries</li> <li>Number of training sessions / duration of training / curricula validated</li> <li>Number of training sessions / duration of training / curricula validated</li> <li>Statutes and regulations presented to the Constitutive Assembly and approved / acknowledgement of receipt acquired</li> <li>A range of tools and suitable equipment is available, content validated</li> </ul>	<ul style="list-style-type: none"> <li>Approved report from the UTM</li> <li>Approved report of training and follow-up</li> <li>Approved report of training and follow-up</li> <li>Final approved report from the UTM Report from the marketing agency</li> <li>Supervision report</li> <li>Financial balance sheet</li> </ul>	

- ▶ 1.6 Construction and equipment of a head office for the mutual health insurance scheme
- ▶ 1.7 Exchange of experiences with other mutual health insurance schemes
- ▶ 1.8 Large-scale social marketing by radio and video
- ▶ 1.9 Safeguarding of the financial resources of the mutual health insurance scheme / opening of savings account / guarantee funds
- ▶ 1.10 Signature of service provision agreement with the CSCOM, Regional Hospital of Segou

- Activities (2)**
- ▶ 2.1 Feasibility study on the improvement of health services in the Cinzana health area
  - ▶ 2.2 Production of the plan of construction of the CSCOM
  - ▶ 2.3 Construction and equipment of a new CSCOM / and first provision of medicines
  - ▶ 2.4 Appointment of personnel including a rural doctor
  - ▶ 2.5 Training and follow-up of CSCOM personnel / and management in the first year
  - ▶ 2.6 Training and follow-up of ASACO personnel (association in charge of CSCOM)
  - ▶ 2.7 Sensitization campaigns in villages within the health area by ASACO managers
  - ▶ 2.8 Signature of service provision agreement with mutual health insurance scheme
  - ▶ 2.9 Organisation of reference and evacuation of patients to higher level (Regional Hospital)

- Activities (3)**
- ▶ 3.1 Training and monitoring of village animators
  - ▶ 3.2 Sensitization of households by animators
  - ▶ 3.3 Preparation and distribution of improved flour
  - ▶ 3.4 Local production of niébé (ingredient of flour)
  - ▶ 3.5 Diagnosis of nutritional state of children aged 6 to 24 months in the villages of the commune
  - ▶ 3.6 Preparation of project site for local production of infant flour
  - ▶ 3.7 Analysis of health situation (definition of areas of interventions)
  - ▶ 3.8 Production and testing of tools for sensitization
  - ▶ 3.9 Training of health personnel, animators
  - ▶ 3.10 Introduction of preventive measures against the most common diseases (e.g. HIV/AIDS / malaria)

- ▶ Building constructed and equipment available in line with national directives and with the architectural plan
- ▶ Number of meetings with other mutual health insurance schemes that are working well
- ▶ Number of radio broadcasts, sensitization sessions and debates held, approximate number of people involved
- ▶ Sufficient sum to offset temporary high expenditure
- ▶ Agreement drawn up, negotiated and accepted by the partners

- ▶ Presentation of results to the commune and the beneficiaries
- ▶ Construction plan available and in line with national directives
- ▶ Buildings constructed and equipment available in line with national directives and with the architectural plan
- ▶ On-site doctor
- ▶ Number of training sessions / duration of training / curricula validated
- ▶ Number of training sessions / duration of training / curricula validated
- ▶ Number of sensitization sessions and debates held, approximate number of people involved, content validated
- ▶ Agreement drawn up, negotiated and accepted by the partners
- ▶ Means of communication available, means of transport available, evacuation protocol

- ▶ Number of training sessions/duration of training/curricula validated
- ▶ Number of sensitization sessions and debates held, approximate number of people involved, content validated
- ▶ Ingredients available, test flour available for the women
- ▶ Niébe seeds available, collective or individual niébe fields, part of harvest available for the women
- ▶ Number of children aged between 0 and 24 months measured regularly
- ▶ Technical base available and accessible for animators and women
- ▶ Restitution of results to commune and beneficiaries
- ▶ A range of adapted tools (simplified manual) is available, content validated
- ▶ Number of training sessions/duration of training/Curricula validated
- ▶ Number of sensitization sessions and debates held, approximate number of people involved, content validated

- ▶ Annual report from PISAM
- ▶ Annual report from PISAM
- ▶ Mutual health insurance scheme savings account
- ▶ Legal and administrative document from the mutual health insurance scheme

- ▶ Approved final report
- ▶ Construction dossier
- ▶ Supervision report, Financial balance sheet
- ▶ Contract signed between ASACO and doctor
- ▶ Approved report of training and follow-up
- ▶ Approved report of training and follow-up
- ▶ Annual report ASACO, PISAM
- ▶ ASACO legal and administrative document
- ▶ ASACO documents

- ▶ Approved report of training and follow-up
- ▶ PISAM, animators, CSCOM statistics
- ▶ PISAM statistics
- ▶ Annual report from PISAM
- ▶ PISAM statistics
- ▶ Annual report from PISAM
- ▶ Study report
- ▶ Report from the agency in charge of development of tools
- ▶ Approved report of training and follow-up
- ▶ Annual report from PISAM; CSCOM, PISAM statistics

# Budget

ER	Budget heading	Year 1			Year 2			Total Costs
		Unit	Price	Quantity	Costs	Unit	Price	
1.	Expected result 1 Cost items							
2.	Expected result 2 Cost items							
3.	Expected result 3 Cost items							
4.	Expected result 4 Cost items							
5.	Expected result 5 Cost items							
6.	Expected result 6 Cost items							
	<b>Total</b>							

# Cooperation Agreement / Memorandum of Understanding

<b>Article I</b> ..... .....	▶ Objective and Scope of Agreement ..... .....
<b>Article II</b> ..... .....	▶ Term ..... .....
<b>Article III</b> ..... .....	▶ Responsibilities of the Parties ..... .....
<b>Article IV</b> ..... .....	▶ Decision Making ..... .....
<b>Article V</b> ..... .....	▶ Access / Property Rights ..... .....
<b>Article VI</b> ..... .....	▶ Transport, Logistics, Infrastructure ..... .....
<b>Article VII</b> ..... .....	▶ Reporting Requirements ..... .....
<b>Article VIII</b> ..... .....	▶ Audit Requirements ..... .....
<b>Article IX</b> ..... .....	▶ Third Party Claims ..... .....
<b>Article X</b> ..... .....	▶ Amendments ..... .....
	▶ Signatures of all parties ..... .....

# Overall Plan of Operation

Milestones / Month per year.....	
Completion Date by Quarter Year 1   Year 2   Year 3	
Respon- sible	
Activities.....	

# Annual Plan of Operation

Milestones / Month per Year												
Planning Year 200... 1 2 3 4 5 6 7 8 9 10 11 12												
Responsible												
Indicators												
Activities												

# Progress Report

1.	<b>Introduction</b> .....		
2.	<b>Executive Summary</b> .....		
3.	<b>Overview of Achievements</b> .....		
4.	<table border="1"><tr><td data-bbox="284 640 619 784"><b>Objective System</b> ..... ..... .....</td><td data-bbox="619 640 1489 784"><ul style="list-style-type: none"><li>▶ Overall Goal .....</li><li>▶ Objective .....</li><li>▶ Phase Objectives .....</li></ul></td></tr></table>	<b>Objective System</b> ..... ..... .....	<ul style="list-style-type: none"><li>▶ Overall Goal .....</li><li>▶ Objective .....</li><li>▶ Phase Objectives .....</li></ul>
<b>Objective System</b> ..... ..... .....	<ul style="list-style-type: none"><li>▶ Overall Goal .....</li><li>▶ Objective .....</li><li>▶ Phase Objectives .....</li></ul>		
5.	<table border="1"><tr><td data-bbox="284 806 619 949"><b>Activities / Results</b> ..... ..... .....</td><td data-bbox="619 806 1489 949"><ul style="list-style-type: none"><li>▶ Expected result 1.1 .....</li><li>▶ Expected results 1.2 .....</li><li>▶ Etc. ....</li></ul></td></tr></table>	<b>Activities / Results</b> ..... ..... .....	<ul style="list-style-type: none"><li>▶ Expected result 1.1 .....</li><li>▶ Expected results 1.2 .....</li><li>▶ Etc. ....</li></ul>
<b>Activities / Results</b> ..... ..... .....	<ul style="list-style-type: none"><li>▶ Expected result 1.1 .....</li><li>▶ Expected results 1.2 .....</li><li>▶ Etc. ....</li></ul>		
6.	<table border="1"><tr><td data-bbox="284 972 619 1151"><b>Conclusions and Outlook</b> ..... ..... .....</td><td data-bbox="619 972 1489 1151"><ul style="list-style-type: none"><li>▶ Lessons learned so far .....</li><li>▶ Tentative Plan of Operation for next year (half year) .....</li><li>▶ Budget for next year (half-year) .....</li><li>▶ Important events / challenges to come .....</li></ul></td></tr></table>	<b>Conclusions and Outlook</b> ..... ..... .....	<ul style="list-style-type: none"><li>▶ Lessons learned so far .....</li><li>▶ Tentative Plan of Operation for next year (half year) .....</li><li>▶ Budget for next year (half-year) .....</li><li>▶ Important events / challenges to come .....</li></ul>
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7.	<b>Overview of Achievements</b> .....		



## Terms of Reference for Consultants

1. **Background**

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2. **Objective**

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3. **Expected Results**

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4. **Tasks for the Consultant**

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5. **Time frame**

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6. **Deliverables**

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## Agreements with Consultants

1. **Mandate of Consultant**  
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2. **Payment Regulations**  
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3. **Travel Expenses, other Costs**  
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4. **Insurance**  
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5. **Modification of Agreement**  
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6. **Entry into Force**  
.....  
.....
7. **Appendices**  
.....  
.....

# Consultants' Report / Invoice

	Activity	Number of working days	Costs per activity	Additional expenses	Total costs
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					
	<b>Total</b>				

# Final Report

<b>1.</b>	<b>Background</b> ..... .....	
<b>2.</b>	<b>Executive Summary</b> ..... .....	<ul style="list-style-type: none"><li>▶ Milestones and Achievements</li><li>▶ Challenges and Failures</li></ul>
<b>3.</b>	<b>Main Results</b> ..... ..... .....	<ul style="list-style-type: none"><li>▶ Efficiency / Output</li><li>▶ Effectiveness / Outcome</li><li>▶ Relevance / Outcome</li></ul>
<b>4.</b>	<b>Controlling</b> ..... .....	<ul style="list-style-type: none"><li>▶ Summary of Evaluation Report</li><li>▶ Summary of Audit Report</li></ul>
<b>5.</b>	<b>Implementation Environment and Arrangements</b> ..... ..... ..... ..... .....	<p>Status and changes regarding</p> <ul style="list-style-type: none"><li>▶ Context (economic, social, environmental, political)</li><li>▶ Policy Frameworks</li><li>▶ Institutional set-up, integration and overall project organisation and management</li><li>▶ Staff as well as technical and management capacities</li><li>▶ Evaluation findings</li><li>▶ Audit findings</li></ul>
<b>6.</b>	<b>Sustainability</b> ..... ..... ..... ..... ..... .....	<ul style="list-style-type: none"><li>▶ (Continued) Use of results by beneficiaries and stakeholders</li><li>▶ Contribution to overall goal</li><li>▶ Policy support</li><li>▶ Participation of stakeholders and beneficiaries</li><li>▶ Appropriate technology</li><li>▶ Socio-cultural aspects / gender equity</li><li>▶ Environmental protection and effects</li><li>▶ Institutional and management capacity</li><li>▶ Economic and financial viability (cost-effectiveness)</li></ul>
<b>7.</b>	<b>Conclusions and Outlook</b> ..... .....	<ul style="list-style-type: none"><li>▶ Lessons Learned</li><li>▶ Future NFSD Support / Strategy</li></ul>
<b>8.</b>	<b>Annexes</b> ..... ..... ..... .....	<ul style="list-style-type: none"><li>▶ Final planning matrix</li><li>▶ Final overall implementation schedule (activities)</li><li>▶ Final overall resource schedule/cost summary/financial status</li><li>▶ Annual activity/resource schedule of last implementation year</li></ul>

# Evaluation Mission Report

1.	<b>Summary</b> ..... ..... .....	<ul style="list-style-type: none"> <li>▶ Summary of overall goal, objective and project structure</li> <li>▶ Brief description of reasons for the evaluation incl. composition and timing</li> <li>▶ Main findings and recommendations</li> </ul>
2.	<b>Introduction</b> .....	<ul style="list-style-type: none"> <li>▶ Rationale for the evaluation mission and its composition</li> </ul>
3.	<b>Background</b> ..... ..... .....	<ul style="list-style-type: none"> <li>▶ Setting at the time of its approval and its changes</li> <li>▶ Government / sector policy</li> <li>▶ Features of the sector</li> <li>▶ Problems to be addressed</li> <li>▶ Other interventions</li> <li>▶ Starting date and duration of the project</li> </ul>
4.	<b>Assessment of Project Design</b> ..... ..... .....	<ul style="list-style-type: none"> <li>▶ Rationale</li> <li>▶ Beneficiaries and stakeholders involved</li> <li>▶ Overall goal and objective</li> <li>▶ Expected Results</li> <li>▶ Activities</li> <li>▶ Assumptions at different levels (results, activities etc.)</li> <li>▶ Risks and opportunities</li> <li>▶ Overall project logic</li> </ul>
5.	<b>Assessment of Project Implementation</b> ..... .....	<ul style="list-style-type: none"> <li>▶ Project organisation and management</li> <li>▶ Project budget and expenditures</li> <li>▶ Outputs and service delivery</li> <li>▶ Timeline (reasons for delays etc.)</li> <li>▶ Technical and operational support</li> <li>▶ Institutional integration and linkages</li> </ul>
6.	<b>Assessment of Impact and Sustainability</b> ..... ..... ..... .....	<ul style="list-style-type: none"> <li>▶ Effects and impact</li> <li>▶ Policy support</li> <li>▶ Appropriate technology</li> <li>▶ Participation of stakeholders and beneficiaries</li> <li>▶ Maintenance of institutional and management capacity (implementing agency and beneficiaries)</li> <li>▶ Economic and financial viability (including cost-effectiveness)</li> <li>▶ Environmental effects</li> <li>▶ Socio-cultural aspects / gender equity</li> <li>▶ Cost-effectiveness</li> <li>▶ Major factors affecting the results</li> </ul>
7.	<b>Assessment of Monitoring and Evaluation System</b> .....	<ul style="list-style-type: none"> <li>▶ Reporting system</li> <li>▶ Monitoring indicators</li> <li>▶ Internal (self-) Evaluations</li> </ul>
8.	<b>Conclusions and Recommendations</b> .....	
9.	<b>Lessons learned</b> .....	
10.	<b>Annexes</b> ..... .....	<ul style="list-style-type: none"> <li>▶ Terms of Reference</li> <li>▶ List of places visited and key persons met</li> <li>▶ List of documents and reference materials consulted</li> </ul>

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