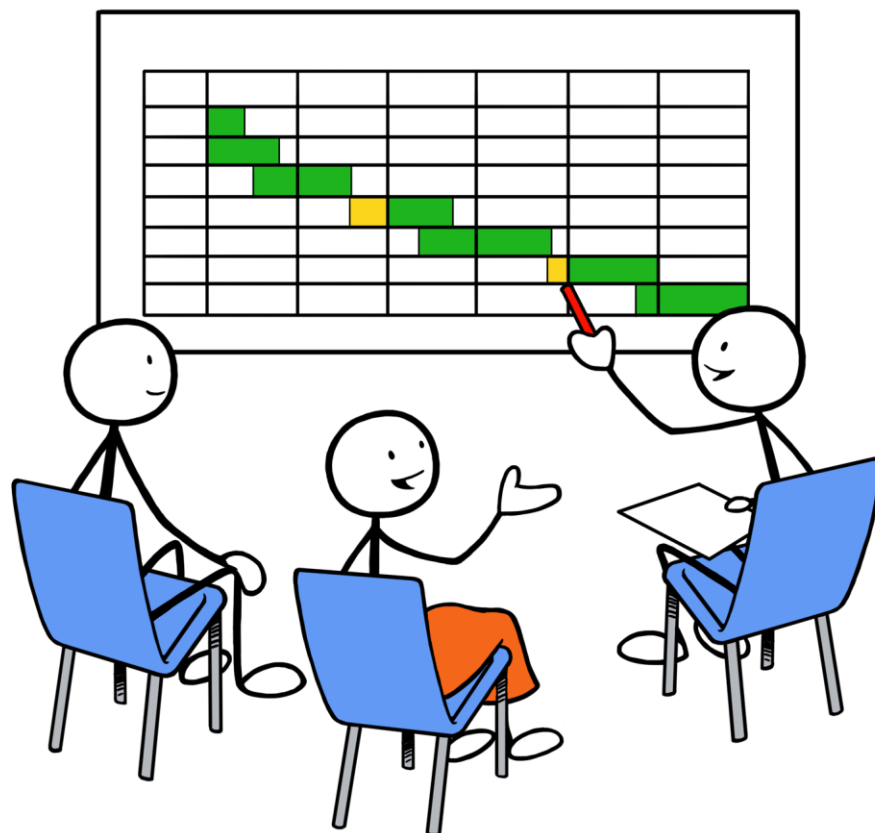


Project Planning



Project Planning Participant Manual March 2008

Prepared by:



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Acknowledgments

Organizations and individuals have been developing and using participatory learning and action tools over many years and in many countries. The original source of each tool is rarely known or acknowledged. However, many of the tools featured in this manual have been adapted and referenced from the following sources:

- **Tools Together Now.** In 2006, the International HIV/AIDS Alliance put together a selection of 100 participatory learning and action tools to use for HIV/AIDS programmes. A common theme of the Alliance's work has been encouraging community participation in the assessment, design, implementation, monitoring, evaluation and scaling up of HIV/AIDS activities.

CAWST would also like to thank our many clients who have provided case stories, photos, and examples of their training and education materials.

Acronyms

CAWST	Centre for Affordable Water and Sanitation Technology
CBO	Community Based Organizations
CIDA	Canadian International Development Agency
GDWQ	Guidelines for Drinking Water Quality
HWT	Household Water Treatment
ITA	International Technical Advisor
LFA	Logical Framework Approach
M&E	Monitoring and Evaluation
MoU	Memorandum of Understanding
NGO	Non-Governmental Organization
RBM	Results Based Management
SODIS	Solar Disinfection
SWOT	Strengths, Weaknesses, Opportunities, Threats
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Fund
USAID	U.S. Agency for International Development
WHO	World Health Organization

Glossary

Activities: The actions (and means) that have to be taken / provided to produce the results. They summarize what will be undertaken by the project

Analysis Schedule: A Gantt chart, a graphic representation similar to a bar chart, setting out the timing, sequence and duration of project activities. It can also be used to identify milestones for monitoring progress, and to assign responsibility for achievement of milestones.

Capacity building: Process of continuous reflection and learning by which an organization identifies any activities that will enhance or strengthen its' resources, skills and abilities to ensure its ongoing sustainable growth.

Development: The process of improving the quality of human lives around the world. Development includes three aspects:

- Raising people's living levels - incomes and consumption levels of food, medical services, and education.
- The growth of people's self-esteem through systems and institutions which promote human dignity and respect.
- Increasing people's freedom to choose by enlarging the range of their choices, for example a greater variety of consumer goods and services.

Environmental sustainability: Environmental sustainability is crucial to ensure that water resources are not only able to meet current needs but will continue to meet the needs of the community in the future.

Evaluation: A periodic assessment of the efficiency, effectiveness, impact, sustainability and relevance of a project in the context of stated objectives. It is usually undertaken as an independent examination of the background, objectives, results, activities and means deployed, with a view to drawing lessons that may guide future decision making.

Feasibility study: Analysis of a proposed project to determine its merit and acceptability in accordance with established criteria. This is the final step before a project is agreed for financing. It checks that the project is feasible against the situation on the ground that the objectives set remain appropriate and that costs are reasonable. Term often used synonymously: appraisal

Financial sustainability: For household water treatment technology, financial sustainability is a question of the ability of the householder to pay the initial cost and any recurrent or replacement costs of the filter.

Impact: The extent to which a program or project has made a long-term change.

Implementation: The individual steps taken when attempting to reach a specific goal. The implementation phase occurs after goals have been set and a strategy has been agreed upon.

Indicator: The specific numerical measures of the quality of life in a country. They are used to illustrate progress of a country in meeting a range of economic, social, and environmental goals. Since indicators represent data that have been collected by a

variety of agencies using different collection methods, there may be inconsistencies among them.

Inputs: Resources that your program has invested in order to provide activities and achieve outcomes.

Logical Framework Approach (LFA): A methodology for planning, managing, and evaluating programmes and projects, involving stakeholder analysis, problem analysis, analysis of objectives, analysis of strategies, preparation of the logframe matrix and activity and resources schedules

Milestones: Provide indications for short and medium – term objectives (usually activities) which facilitate measurement of achievements throughout a project rather than just at the end. They also indicate times when decisions should be made or action should be finished.

Monitoring: The systematic and continuous collecting, analysis and using of information for the purpose of management and decision making

Non Government Organization (NGO): Any local, national, or international organization, profit or non-profit, whose members are not employed by a government. Most are charitable, research or educational in nature. They are concerned with a wide range of humanitarian social, economic and environmental issues.

Objective Tree: A diagrammatic representation of the situation in the future once problems have been remedied, following a problem analysis, and showing a means to ends relationship

Organization: A social arrangement in which a group of people are working for a common goal. The organization has their own working guidelines, performance controlling mechanisms and boundaries of a working area.

Outcomes: Changes that occur as a result of the intervention (the results). Outcomes can be classified as short, medium, or long-term results.

Outputs: What your program does, including development and implementation of actions and products.

Problem Tree: a diagrammatic representation of a negative situation, showing a cause and effect relationship

Project: A project may involve an event, initiative, program, effort, and/or campaign with a beginning and an end.

Project Cycle: The project cycle follows the life a project from the initial idea through to its completion. It provides a structure to ensure that stakeholders are consulted, and defines the key decisions, information requirements and responsibilities at each phase so that informed decisions can be made at each phase in the life of a project. It draws on evaluation to build the lessons of experience into the design of future programmes and projects.

Social marketing: The systematic process of dissemination of concepts and technology in the community. Social marketing seeks to influence social behaviors to benefit the target audience and the community.

Social sustainability: The development of projects and processes that promote social interaction by emphasizing social values and norms while respecting social diversity.

Stakeholders: People and groups affected directly or indirectly by the project.

Technical sustainability: A product that is simple to use, easily available, affordable and effective.

Section 1 CAWST Dissemination Model

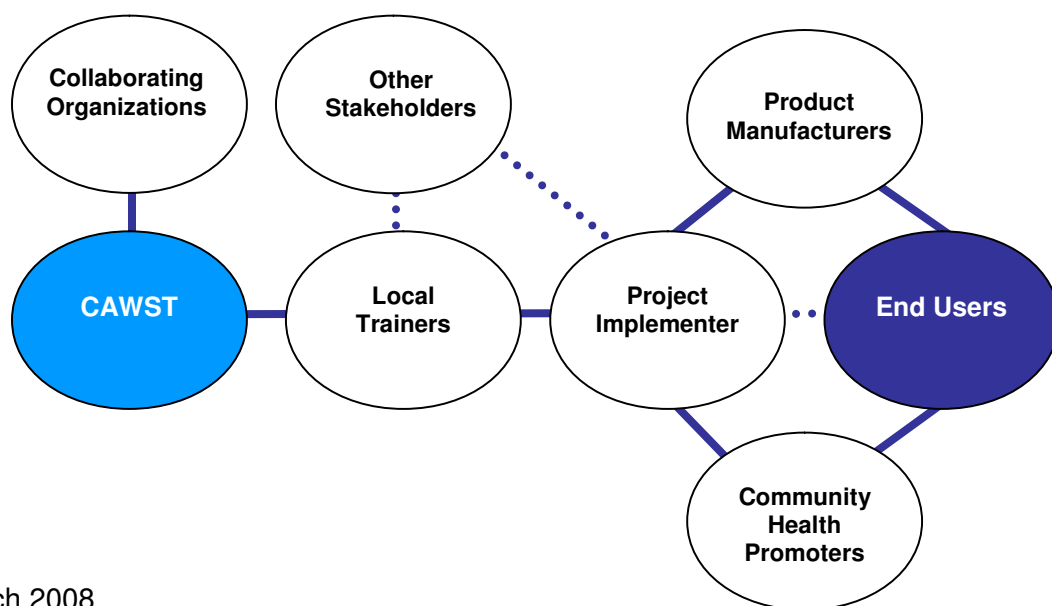
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1. 1 Introduction

The Centre for Affordable Water and Sanitation Technology (CAWST) started with the belief that the poor in the developing world deserve safe water and basic sanitation. We also believe that the place to start is to teach people the skills necessary to have safe water in their homes. The goal of the CAWST Dissemination Model is to pass knowledge and skills to organizations and individuals in developing countries through education, training and consulting services. They, in turn, can motivate households to take action and meet their own water and sanitation needs.

This model is sometimes called “technology transfer” because it enables and develops the capacity of local populations to meet their own needs for safe water and basic sanitation. Most people that CAWST reaches are not water and sanitation professionals. CAWST training programs and educational materials are designed to be appropriate for a wide variety of non-technical audiences.

As shown in the following diagram, there are different roles within the CAWST Dissemination Model that are important in making household water treatment and sanitation projects successful and sustainable. This model promotes a shared responsibility between everyone involved.



1.2 Centre for Affordable Water and Sanitation Technology

The Calgary-based Centre for Affordable Water and Sanitation Technology (CAWST) provides technical training and consulting services, and acts as a catalyst bringing together the right partners and funders to make water and sanitation projects a reality for the poorest of the poor in the developing world.

CAWST has taken a different approach to the problem of water and sanitation for the poor. Instead of starting with technology solutions, CAWST starts with education and training to build local capacity. CAWST sends International Technical Advisors (ITAs) to diverse and often remote locations around the world to deliver training directly to the people. Training is customized for each of the roles shown in the Dissemination Model.

After providing training, CAWST follows up with ongoing technical consultation to help them with project development, overcome problems to implementation, and make connections with other local organizations. ITAs provide support to organizations and individuals working around the world by telephone, e-mail and in-country visits.

1.3 Collaborating Organizations

CAWST recognizes that it is important to work with and create effective relationships with other organizations who work in the water and sanitation field. CAWST is an active member of the World Health Organization (WHO) Network to Promote Household Water Treatment and Safe Storage and has Special Consultative Status with the Economic and Social Council of the United Nations. CAWST also supports universities and others to conduct research that would be useful for technology development and project implementation.

1.4 Local Trainers

Experienced in-country organizations can act as Local Trainers and provide ongoing consultation and technical support. These Local Trainers are capable of training other community organizations in the various roles required to implement household water treatment projects. The Local Trainers also facilitate networking between project implementers and ensure that lessons learned are shared.

The Local Trainer should be knowledgeable about the subject matter and technology appropriate to each of the various roles. An individual or organization becomes a Local Trainer through participating in trainings, and later by apprenticing with other qualified trainers. Once fully-trained and competent, these individuals and organizations can then act as local centres of expertise to pass on their knowledge and skills to other community organizations.

1.5 Project Implementer

The Project Implementer is the person or organization who initiates and organizes a household water treatment or sanitation project. They are the key driver and provide support to all of the others who are involved in the project. The Project Implementer should have a reasonable level of knowledge on water and sanitation issues and may be very knowledgeable about the local

situation. They are generalists and know a little bit of everything, but don't need to be an expert on all aspects of the project.

The Project Implementer is the center of the activities and needs to keep things moving to ensure an effective and successful project. Strong planning, management, organizational and communication skills are essential for this role. To successfully implement a project, the Project Implementer should be able to:

- Understand how to construct the household water treatment or sanitation technology
- Develop project plans and write funding proposals
- Put together a team of individuals (Product Manufacturers, Community Health Promoters) and work with other stakeholders (government agencies, funding organizations, community groups, etc.) needed to implement the project
- Teach some skills to Product Manufacturers, Community Health Promoters and End Users
- Perform monitoring and evaluation activities

1.6 Product Manufacturer

The Product Manufacturer is responsible for constructing and installing the household water treatment or sanitation technology and is the local expert on production and troubleshooting. The Product Manufacturer may also be the first person to teach the End User about how to use and maintain the technology. They are sometimes called by other names, such as Filter Technician in the case of a biosand filter project.

It would be an asset if the Product Manufacturers already have construction skills related to the type of technology being produced, such as a mason for building biosand filters or potter for making ceramic filters.

A competent Product Manufacturer should be able to complete the following tasks:

- Explain how and why the technology works, its advantages and limitations
- Assemble and prepare the required tools and materials
- Construct and install the technology using appropriate quality control steps
- Teach other workers how to construct and install the technology
- Teach End Users how to use and maintain the technology

The Product Manufacturer role can also be taken by a microentrepreneur and it can be run as a profit making business. These individuals should have or be able to develop business skills such as:

- Production planning
- Budgeting for production costs and selling price
- Accounting of money
- Customer service
- Marketing to promote the technology

1.7 Community Health Promoter

The Community Health Promoter is essential for the successful implementation of any household water treatment, sanitation or hygiene project. They are sometimes called other names, such as Community Steward, Community Health Promoter or Hygiene Educator, depending on the organization, language and country.

The primary role of Community Health Promoters is usually to visit with households to help people learn about how to treat their drinking water, improve their hygiene and sanitation practices, and answer questions that they might have about water and health in general. Another role the Community Health Promoter may have is to provide support to schools and community groups with education programs about water, sanitation and hygiene. They could act as the principal organizer of awareness raising activities or as a resource person for teachers and community leaders.

Community Health Promoters can be individuals from the community, members of a local non-governmental organization (NGO) or community based organization (CBO), health workers, nurses, or teachers. Community Health Promoters don't necessarily have to be experts in water, hygiene and sanitation. This is knowledge that they can gain through training. It is more important for Community Health Promoters to be trusted by the local community and have the capacity to learn new skills and communicate.

Community Health Promoters should have the following knowledge, skills and attitudes:

- Trusted by the members of the community or group they are facilitating.
- Able to speak the local language of that community.
- Able to understand the culture of the group or community.
- Able to communicate effectively and listen to others.
- Understanding of water, hygiene and sanitation issues.
- Skilled in using participatory learning tools.
- Possess the appropriate attitude to facilitate participatory learning activities.
- Demonstrate good water, hygiene and sanitation practices within their own household.

The Trainer is the person responsible for training and supervising Community Health Promoters, monitoring behaviour change in the community, and reporting to the Project Implementer. Trainers are generally the technical and health staff of the implementing organization. The following are some suggested knowledge, skills and attitudes required for an effective and successful Trainer:

- Ability to organize projects and make decisions
- Has experience in water, hygiene and sanitation, community development, or health education projects.
- Aware of the need for safe water and have some familiarity with household water treatment, good hygiene and basic sanitation.
- Able to communicate effectively and train others.
- Skilled in using participatory learning tools.
- Possess the appropriate attitude and behaviour to facilitate participatory learning activities.

1.8 End Users

End Users are the people who are interested and willing to adopt and use a new water treatment or sanitation technology for their home. End Users should be informed about water and health issues, and practical options to improve their quality of life, including the following topics:

- How water is contaminated and diseases are transmitted
- Proper hygiene
- Basic sanitation options
- Household water treatment options
- How to protect their water source
- How to use and maintain a technology
- Options for safe water storage

End Users should be supported by Community Health Promoters and Product Manufacturers following the installation of their new household water treatment or sanitation technology. Education materials targeted for the End Users must be culturally appropriate and suitable for the local situation. Participatory learning activities and visual materials are often used so that all members of the community can take part and learn together. Educational materials should also be adapted for women, men and children because they may have different priorities and views about water, hygiene and sanitation.

1.9 Other Stakeholders

There are usually several stakeholders that play different roles at various times in a household water treatment or sanitation project. Potential stakeholders may include government officials, funding agencies, health staff, academic personnel, religious organizations, and schools.

1.9.1 Government

Support and endorsement from the local and national government can be useful; even though they are not often directly involved in the implementation of household water and sanitation projects. Governments can benefit from household water and sanitation projects since they reduce the burden on their resources and contribute to the local economy. Household projects also contribute to reaching the water and sanitation targets of the Millennium Development Goals which generally fall under the responsibility of government. In many cases, a local government can provide some in-kind resources to support a project, such as a centralized workspace and transportation.

1.9.2 Funding Agencies

Financial support from local and international community organizations, foundations, agencies and individuals is usually a critical element in starting and sustaining a new project. End Users are often supported financially since they may not be able to afford the cost of adopting a new technology.

1.9.3 Health Departments and Educational Institutes

Health departments and educational institutes tend to be very knowledgeable about the local situation and the issues related to water and sanitation. They can support projects by sharing their expertise and knowledge with the Project Implementer. Health staff and academic researchers often rely on local projects for data to support their investigations and studies.

1.9.4 Religious Organizations

Religious communities often support household water and sanitation projects since they share a common goal of helping those in need. Religious organizations can often reach a large number of people through their regular activities and events, such as daily prayers and weekly gatherings.

1.9.5 Schools

Water, sanitation and hygiene education can be incorporated into formal school curricula or informal child education programs. Children tend to be more open to adopting new practices, and they can influence the hygiene behaviour of their families, peers, and neighbours. Once convinced, children can teach others about improved water, sanitation, and hygiene practices. There have been many successful programs using child-to-child programs; where one group of children is educated and then goes on to share what they've learned with other groups of children.

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2.1 Introduction

This section is intended to be review of the biosand filter. After working through this manual you will be able to:

- Describe the biosand filter.
- Identify the different parts of the biosand filter
- Identify the 6 different zones of the biosand filter
- Describe key operating parameters of the biosand filter

2.2 Biosand Filter Review

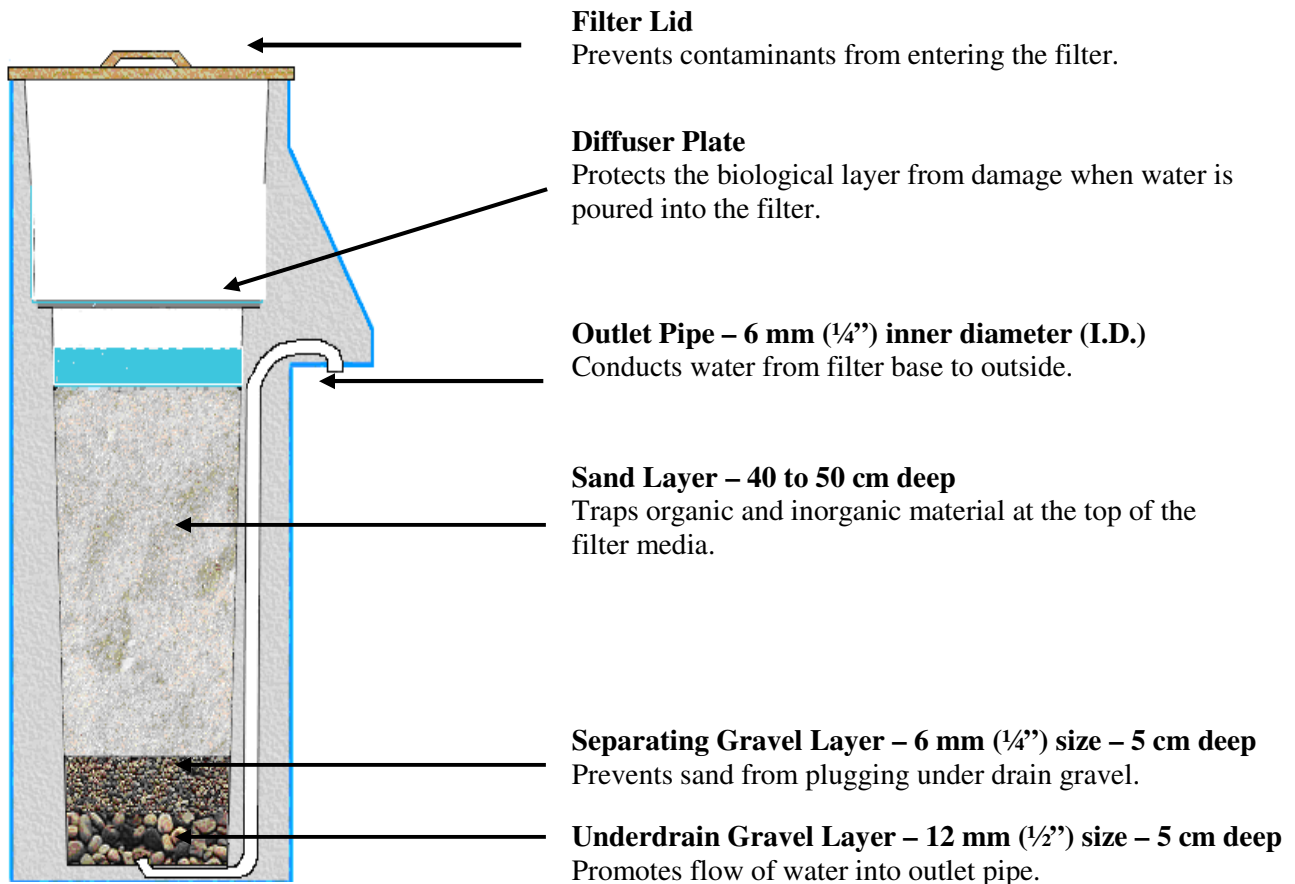
2.2.1 What is the Biosand Filter?

The biosand filter is a modified form of the traditional slow sand filter in such a way that the filters can be built on a smaller scale and can be operated intermittently. These modifications make the biosand filter suitable for the household or small group use. The biosand filter can be produced locally anywhere in the world using materials that are readily available.

The biosand filter is a 'point of use' or household treatment device. The water to be filtered can be obtained from the closest water supply point, whether that be a river, a stream or a well, and used immediately after filtering. The water supply, water treatment, and water distribution are therefore all within the control of the individual householder. Effective use of the technology does not require the formation of user groups or other community support which are sometimes difficult to develop. The independence of the household makes this technology extremely suitable for use in developing countries which often lack the governance and regulatory processes needed for effective and efficient multi-family systems.

The biosand filter should be used as part of a multi-barrier approach which is the best way to reduce the health risk of drinking unsafe water. Barriers can be put in place which protect drinking water from pathogens. Here are the steps that are effective barriers against pathogens:

- Step 1- Protecting the water source
- Step 2 – Sedimentation
- Step 3 – Filtration (e.g. biosand filter)
- Step 4 – Disinfection
- Step 5 – Safely storing water after treatment



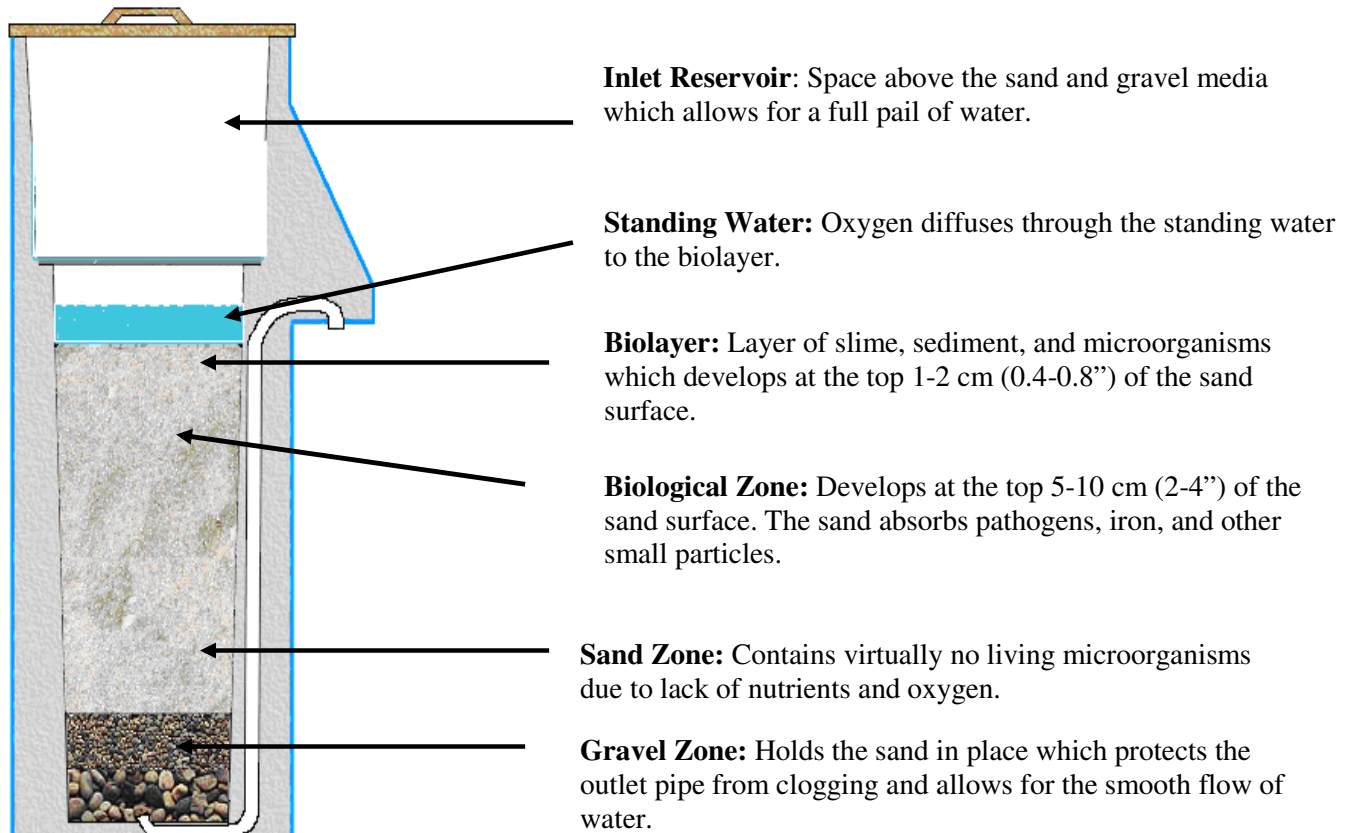
2.2.2 How Does the Filter Work?

A bucket of contaminated water is poured into the top of the biosand filter. The water simply flows through the filter and is collected in another storage container at the base of the spout. A biological layer (often called the biolayer) of slime, sediment and microorganisms develops at the sand surface. Pathogens and suspended material are removed through various physical and biological processes that occur in the biolayer and sand.

When water is flowing through the filter, oxygen is supplied to the biolayer by the dissolved oxygen in the water. During pause times, when the water is not flowing, the oxygen is obtained

by diffusion from the air. If the standing water layer is kept shallow, enough oxygen is able to pass through to the microorganisms to keep them alive and effective.

The biosand filter has six distinct zones: 1) inlet reservoir, 2) standing water, 3) biolayer, 4) biological zone, 5) sand zone, and 6) gravel zone.



2.2.3 Key Biosand Filter Operating Parameters

- The biolayer is the primary bacteria-removing component of the biosand filter and can take up to 30 days for the biolayer to fully develop in a new filter.
- There are four processes that remove pathogens as the water passes through the filter:
 1. Mechanical trapping
 2. Predation
 3. Adsorption
 4. Natural death
- The biosand filter is most effective and efficient when operated intermittently and consistently. A pause period of 6-12 hours is a suggested time with a minimum of one hour and a maximum of 48 hours of filtration.

- An ideal water discharge rate is 0.6 L per minute but it should not exceed 0.8 L per minute. The amount of water that flows through the biosand filter is controlled by the size of the sand media contained within the filter. If the rate is too fast, the efficiency of bacterial removal will be reduced.
- Correct installation and operation of the biosand filter has a water level of approximately 5 cm (2") above the sand during the pause period.
- Although the biosand filter can use water from any source such as shallow wells, rivers, lakes or surface water, it should be taken from that source consistently. Moreover, the influent water should be relatively free of suspended particles or the turbidity should be less than 50 NTU.
- To ensure that all bacteria are killed and to provide the highest possible quality of water for the users, it is recommended that a disinfection process such as chlorine addition or SODIS (solar disinfection) be used on the filtered water.
- Advantages of the biosand filter include being user-friendly, durable, affordable and functional. The biosand also has a high user acceptability and provides sufficient water quantity (60-80 L/Day) for a household.
- The biosand filter cannot remove some dissolved substances (e.g. salt, hardness), some organic chemicals (e.g., pesticides and fertilizers), or color, and cannot guarantee that the water is pathogen free. It is recommended to disinfect the filtered water.
- The biosand filter can remove arsenic by adding 5 kg of small non-galvanized iron nails, covered by a layer of brick chips into a diffuser box. The iron nails will quickly rust after contact with water and air. Iron rust (ferric hydroxide) is an excellent adsorbent for arsenic. When arsenic-containing water is poured into the filter, surface reactions with iron occurs, and arsenic is rapidly adsorbed onto the surface of ferric hydroxide particles. The arsenic loaded iron particles are then flushed down and trapped on top of fine sand.

Activity The Broken Filter

You are a Community Health Promoter making your routine visits with households using the biosand filter. One family in particular always has problems with their filter. Upon inspection, you notice that the flow rate is much slower than the recommended flow rate of 0.6 litres per minute. The family tells you that they may not use the filter for getting their drinking water for two or three days to store food in the filter instead. The family then tells you that they ran out of chlorine and that they can no longer afford to disinfect their water. You are also concerned that the family only has one storage container to collect the filtered water and to collect the water from the pond.

As the Community Health Promoter what advice would you give this family? How could they improve their water quality?

2.3 Self-Assessment

1. Why is the biosand filter appropriate for the poor?
2. How can the biosand filter be adapted to remove arsenic?

3. What are five key operating parameters of the biosand filter?

4. List several advantages of the biosand filter.

2.4 Additional Resources

For additional information about the biosand filter see: www.cawst.org

Section 3 Introduction to Project Planning

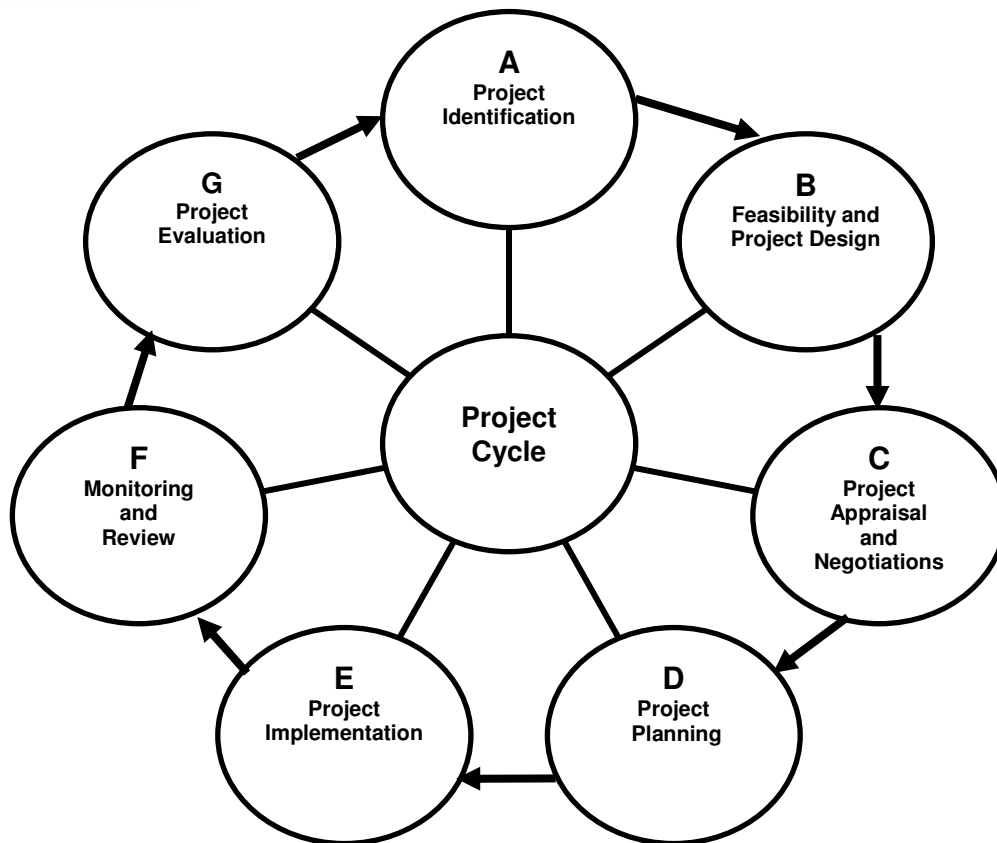
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3.1 Introduction

Planning plays a key role in determining the success of a project. As outlined in this section, project planning is only one part of the overall project cycle. Your proposal for funding in turn will be a reflection of your overall project plan. In order to frame your project plan effectively, a logical framework tool will be used. This section will conclude by addressing the issue of sustainability, as a critical element for a project to be successful.

3.2 The Project Cycle

A project is more likely to be successful if each phase of the project cycle is well-defined. Planning plays a critical role in ensuring that a project is effective, efficient, and sustainable. The project cycle is made up of three phases and several major activities as seen in the following diagram.



The project cycle in turn can be organized into three phases:

1. Beginning Phase: A, B, C, D
2. Implementation Phase: E
3. Consolidation Phase: F, G

Exercise – Discussion Questions

How did your organization identify your project? What factors did you consider when determining whether or not you should start your project?

The Project Cycle

The Beginning Phase	Project Identification	This is the first step. Depending on the project's objectives, scope, and resources, research may have to be carried out. For smaller projects, information from websites and reports, visiting the community firsthand and understanding the needs and priorities of the end users may be enough to identify a project
	Feasibility and Project Design	<p>A feasibility study looks at the social acceptance and financial viability of the household water treatment project and typically involves doing a field study. Information about human resources, security, government policies, water sources, water storage, handling practices at home, incidence of water borne disease, and current knowledge of safe water would ideally be collected. Cost effectiveness and the impact on the end users are also important factors to consider.</p> <p>During this stage looking at the availability of construction materials or finding the proper media for a filter is important. For example, the availability of appropriate sand is essential for biosand filter projects, just as the availability of plastic bottles is essential for solar disinfection (SODIS), and the right type of clay is necessary for ceramic filter projects.</p>
	Project Appraisal and Negotiations	<p>A project proposal can be assessed by the funding agency. For large funding projects, the proposal assessment committee in communication with the government and other stakeholders would look at the project's technical, financial, economic, environmental, management aspects, and the potential for social impacts. The donor agencies can review the proposal and project risks to assess the viability of the project.</p> <p>After appraising the project proposal, the organization implementing the project may have to develop a memorandum of understanding (MoU) with the donor organization. Sometimes it is required to keep a signed agreement with the local government authority to obtain approval.</p>
	Project Planning	<p>A project's success is always based on how well it is planned, how well it meets the needs of the community, and how well it considers the limits of the local environment. Planning involves:</p> <ul style="list-style-type: none"> • Setting priorities and solving problems • Controlling situations by preparing activities ahead of time • Communicating a community's wants and needs • Applying traditional knowledge • Promoting creativity
Implementation Phase	Project Implementation	During project implementation, all activities are implemented according to the annual plan. Implementing activities according to the timeline is important to make a project successful. Quality control of products, delivering participatory training and providing community support services to solve any technical problems are the major activities in the implementation phase.
Consolidation Phase	Monitoring and Review	Monitoring should be done periodically to assess the project's approach, adoption of technology, users' perception, timelines, and progress to provide feedback for the project manager or planner.
	Evaluation	<p>An evaluation is a careful examination of an ongoing or completed project. Evaluations usually include examination of the project design (goals and plans), implementation (inputs and outputs), and results (effects and impacts). Project evaluation focuses on what has been achieved and the lessons learned from their process or approach. The main purpose of evaluation is to guide project implementers or decision makers. Evaluations are undertaken selectively and only as needed.</p>

3.3 How Can You Write an Effective Proposal?

Writing an effective project proposal will take time. In general different funding agencies have different proposal formats and guidelines. You will need to contact the agency by phone, letter or email to ask the following questions:

- What sort of funding criteria do you have?
- Do you fund this type of project?
- Do you have any funds available now?
- Are there any applications forms? What is the preferred proposal format?
- What is the deadline?
- Can you send me any relevant information?

To write an effective proposal, you must begin to think about the logical framework of the project.

3.3.1 Logical Framework

The Logical Framework Approach (LFA) was created in 1969 for the U.S. Agency for International Development (USAID) and has since been widely adopted and adapted by the international development community. The LFA presented here is the current approach promoted by the Canadian International Development Agency (CIDA).

With the push for Results-Based Management (RBM) in CIDA, the logical framework has been modified to be more “results-oriented” and less input-oriented (CIDA, 2007).

A results-oriented LFA can be used most effectively in the beginning phase by asking the following key questions?

- Who will the project reach out to and benefit?
- What are the different needs and priorities of women and men from the target group?
- How will progress be measured?

Stakeholder participation is an essential part of the logical framework approach in terms of project planning because it helps build the necessary level of understanding and whenever possible, consensus. The logical framework approach is best used to assist stakeholders:

- Set strategic objectives
- Define a chain of expected results
- Identify underlying assumptions and risks
- Select appropriate gender sensitivities performance indicators to measure progress towards the expected results.

To understand the logical framework process, we must first understand several key terms: input, activity, output, outcome and impact.

Let us imagine the project by using the analogy of throwing a stone in a pond...

- Think of the stone as a **material input** and the person holding the rock as the **human resource input**.
- The act of dropping the rock is an **activity**.
- When the rock reaches the water, it creates a splash which is considered to be **output**.
- The ripples spreading out from the splash are **outcomes**: intermediate, short-term and long-term.
- When the ripple reaches the edge and leaves some sand or debris, which can be considered the **impact**. The edge of the pond represents the geographic and population boundaries of your project.

Key Terms

Inputs: the financial, human, and material resources required for the operation and implementation of the project.

Activity: the actions taken as a result of an input to achieve the overall objective of the project. Many activities have to be performed to achieve a project goal.

Outputs: the short-term achievement of the activities.

Outcomes: the medium-term results of the activities.

Impact: the long-term result of the activities.

It is also important to differentiate between a project and a program. For a project, the magnitude of the activities is relatively small in scale for example. For a program, the magnitude of the activities is relatively large in scale, for example, under the program there can be more than one project.

The following table outlines the relationship between inputs, activities, outputs, outcomes and impacts.

Inputs	Activities		Results		
			Outputs	Outcomes	Impact
Human Resource Equipment Funds	-Biosand filter production -Provide health and hygiene awareness training -Prepare community awareness information materials	➔	-100 filters manufactured -2 health and hygiene training carried out. -Field kit prepared for raising health and hygiene awareness in community	-# of filters used for drinking purposes -# of Community Health Promoters who are working -# of field kits used for social marketing -# of beneficiaries satisfied with services	-# of families improved in health conditions -# of incomes increased

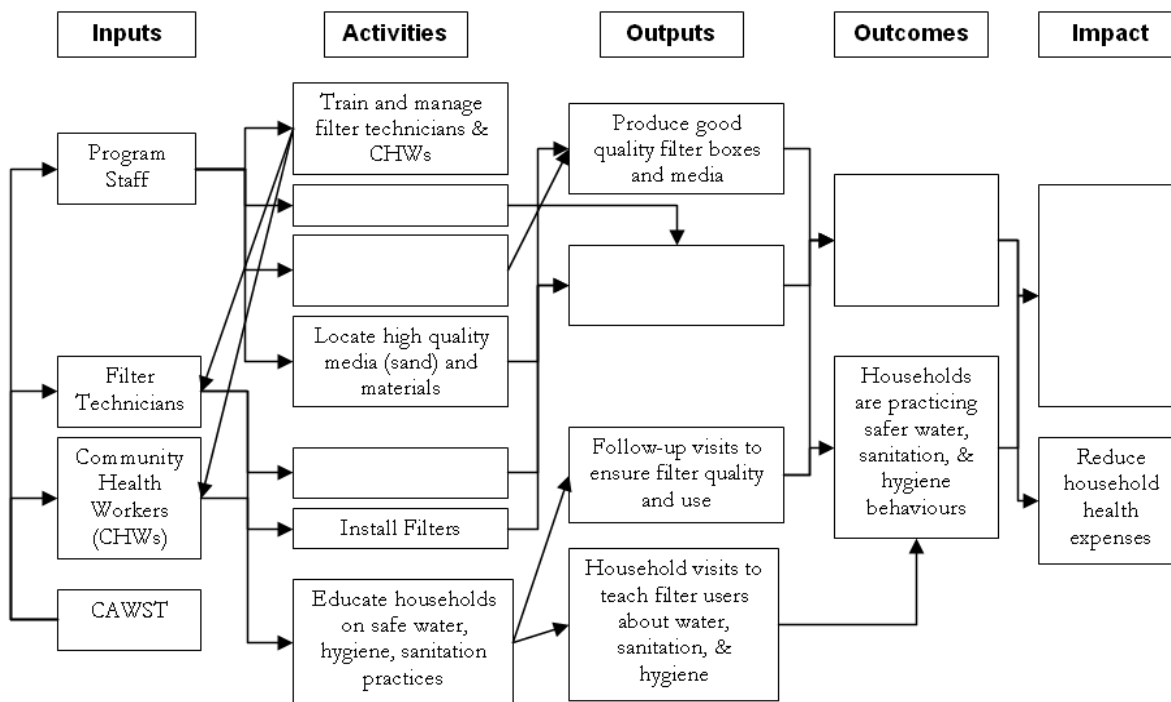
A description of a results-oriented logical framework is provided in the following table:

Logical Framework Approach

Inputs and Objectives	Expected Results	Performance Measurement	Assumptions
Program Objective The program objective: What is the intended contribution of the project?	Impact What is the long-term result at the societal level? Are they the logical result of achieving your outcomes?	Performance Indicators What are the performance indicators that will provide evidence that the project has made a contribution to the achievement of the stated impact?	Assumptions What are the necessary conditions that must exist for the cause-effect relationships between outcomes and impact to behave as expected?
Project Objective The project objective: How will the project address the needs of the beneficiaries? Is this achievable within the scope of the project activities?	Outcomes What are the medium-term results that will benefit the target group? Are they achievable within the timeframe? Are they the logical result of achieving your outputs	Performance Indicators What are the performance indicators that will provide evidence that the project has achieved the outcomes?	
Inputs What are the inputs and/or activities required to achieve the project purpose?	Output What are the short-term results that are the immediate consequences of project inputs and activities?	Performance Indicators What are the performance indicators that will provide evidence that the project has achieved the outputs?	

Here is an example of a logical framework model for a biosand filter project. This figure is intended to be an overview of the overall program plan and expected results.

Exercise: Place the following sentences into the correct boxes below a) Reduce diarrheal disease morbidity and mortality in population, b) Arrange transport, c) Households receive biosand filters, d) Establish a biosand filter factory, e) Households are drinking water from their BSF, f) Construct filters.



3. 4 Criteria for Success

There are many different definitions for sustainability. It is a widely used term that can refer to broad concepts about the way actions are carried out and their effects on our environment, society, economy and the future, including:

- Not jeopardizing future generations
- Not causing undesirable side effects
- Enhancing other spheres of life beyond the activity at-hand

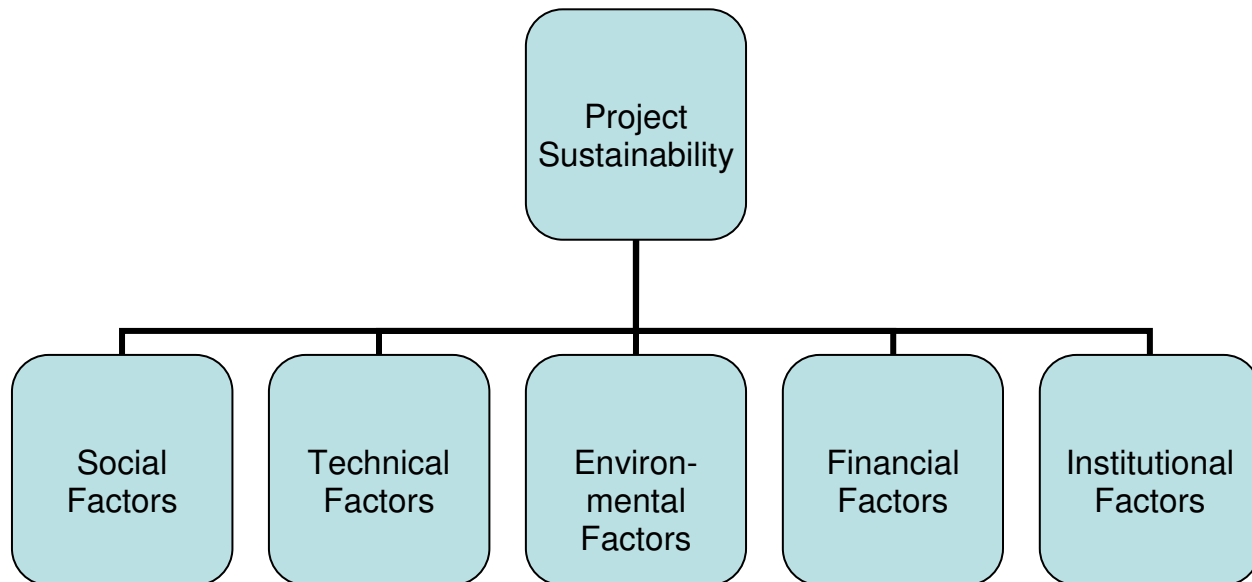
Generally, there are two aspects to sustainability: implementation and impact. Implementation refers to the sustainability of conducting project activities. Impact refers to the sustainability of changes that a project has achieved beyond the end of the project activities. In order to focus on more specific objectives related to implementation, this discussion is confined to sustainability of a household water treatment (HWT) intervention, and is defined as the continued use, maintenance, and effective operation of HWT to achieve a lasting health impact.

What is considered to be a successful household water treatment project?

1. The HWT technology should be effective and reduce the incidences of water borne disease.
2. Successful implementation should lead to widespread adoption of HWT technology at a larger community scale.
3. It should be sustainable: a pilot implementation should lead to longer term adoption rates that reach increasing numbers of beneficiaries with decreasing requirements for outside funding and technical support.
4. It will generate local economic benefits through the formation of small-scale industries in addition to the health benefit.

(World Health Organization, 2007)

Introduction, adoption, operation and finally internalization of modern appropriate technologies are essential to bring a positive change in the community. For a HWT project to be successful, a mix of technical, social, environmental, financial and institutional aspects is essential. Consideration of all factors in the HWT project can lead the project towards a sustainable future.



3.4.1 Social Factors

A socially sustainable HWT project can lead to safe water, improved health impact, and a sense of ownership of the technology by the end user.

Factors that influence social sustainability include:

- Social – Relates to a need felt within a community and its' social acceptability.
- Cultural – Relates to the customs and belief systems of any society.
- Health – Impact of improved water supply on public health.
- Gender – Role of men and women members within the household and community.
- Politics – Household, local, regional, national and international levels.
- Community participation – Meaningful involvement of community members.

End user satisfaction with a HWT technology and willingness to sustain a project are indicated by:

1. Satisfaction with the quantity of water available.
2. Satisfaction with the color, taste, temperature, smell, and clarity of the water.
3. Reduced use of untreated sources of water.
4. Increased daily consumption of water.
5. A sense of ownership and responsibility for the technology.
6. Using treated water for other purposes such as food preparation and dish washing.
7. Willingness to pay for future repairs/replacement.
8. Willingness to pay for further improvements.
9. Reported health improvements and economic benefits.

Exercise – Discussion Questions

Can you think of any other factors that may lead to user satisfaction when it comes to HWT technology?

Exercise – Discussion Questions

Why is meaningful community participation critical to the sustainability of a project?

3.4.2 Technical Factors

"It is estimated that in Africa 30% of water supply systems do not function properly; the estimate for Asia is around 20%. In some countries, the estimates of drinking water supply systems needing repair or replacement are as high as 50%".

(WHO and UNICEF, 2005)

The appropriateness of a technology can be based on its affordability, accessibility, effectiveness, and user-friendliness.

Factors that influence technical sustainability include:

- Quality and quantity of water produced over the life of the product
- Design – appropriateness, simplicity, robustness, reliability
- Quality of construction
- Use of locally available materials and/or parts
- Maintenance requirements
- Need for and availability of materials for repair/replacement
- Training/knowledge of the user
- Provision of training, adapted for every role/group in the program
- User access to technical support

Exercise – Discussion Questions

Choose a HWT technology. Is it technically sustainable? Why or why not?

3.4.3 Environmental Factors

Environmental sustainability ensures that water resources are not only able to meet current needs but will continue to meet the needs of the community in the future. Basic sanitation, wastewater disposal and solid waste management are also necessary for a sustained health impact, and to ensure that the provision and use of domestic water does not have an adverse impact on the overall environment.

Factors that influence environmental sustainability include:

- Protection of source water quality
- Conservation of water resources to ensure sufficient quantity for both human use and for the ecosystem (for current and future generations)
- Safe disposal of excreta
- Proper solid waste management
- Safe disposal of wastewater
- Health and hygiene education which encourages all of the above

Exercise – Discussion Questions

What are the consequences of poorly addressing the environmental factors?

3.4.4 Financial Factors

For a project to be financially sustainable, cost recovery from users must be adequate for the operation and ongoing continuation of the project without the constant need for outside funding. On the other hand, there is a risk that if users are expected to pay the full cost of the services, the project will not reach the poorest of the poor. For a household water treatment project, financial sustainability is a question of the ability of the household to pay any recurrent or replacement costs of the HWT technology.

Factors that influence financial sustainability include:

- No subsidies for construction, but only for technical support, education, promotion, and development of local enterprise
- Ensuring that users are able to afford recurrent and replacement costs
- Development of each organizations' own financial support network with funding from a wide variety of sources
- Cross subsidies – wealthier users pay extra for the technology and, in effect, subsidize the cost of providing the same technology to the poor
- Micro-financing enables the start up of a small scale production of the technology, and allows users to pay in instalments as opposed to paying the entire cost at one time
- Minimize the product cost by promoting user's labour contribution and participation

Exercise – Discussion Questions

A Biosand Filter Project needed to recover the ongoing operating costs of the project as the income from outside funding was dwindling. The project implementer decided that the end user would be expected to pay the full cost of the services over an extended period of time. What risk if any does the project implementer take when taking this approach? Can the Biosand Filter Project continue to reach the poorest of the poor?

3.4.5 Institutional Factors

Institutional factors are considered another category of sustainability. It generally refers to the need for an organization or group to manage the operation and maintenance of a community system and the collection of user fees to pay for these activities. That organization may be in the form of a village water committee, a health and development working group, or a public utility.

HWT technology places more of these activities within the control of the end user so there is less need for a community organization to coordinate them. However, a water committee or similar organization is essential for the proper management of water sources. One of the responsibilities of the water committee is to protect the water sources from contamination. The water committee can build fences around the sources to protect the water from animals and for example, dig a drain around the source to divert excess water.

In the context of a HWT project, this type of institution depends on collaborative organizations. There is a need for the institutions working in water and sanitation in a country to coordinate their activities. This will result in the continuity in the production of HWT technologies with the appropriate training and technical support, as well as government support and involvement.

Factors that influence institutional sustainability include:

- Protecting source water quality
- Raising the awareness on the importance of water quality and the impact on human health
- Creating a conducive environment for implementing a HWT project
- Supporting activities launched by the HWT project
- Developing a water, health and hygiene related database of the village
- Promoting HWT in the community
- Coordinating with the local government agencies to include disadvantaged groups and pro-poor organizations
- Enhancing the skills and capability of community organizations and stakeholders to manage and utilize water resources for various socio-economic activities.

Exercise – Discussion Questions

What are the advantages of working at the household level? What role does a community group play when implementing household water treatment technologies at the household level?

Tool – Sustainability Matrix

- Use Tool 1: Sustainability Matrix in Appendix 1 to explore and compare the sustainability of different activities and strategies.

“The story of the Fox and the Crane “

*The Fox invited the Crane to dinner.
He served the food on a large flat dish.
The Crane with her long, narrow beak could not eat.*

*The Crane invited the Fox to dinner.
She served the food in a deep vase,
and so the Fox, with his short, wide face, could not eat.*

*Both friends had equal opportunity
for nourishment, but each time one
could not take advantage of this opportunity.*

*The development challenge in every case is to identify barriers
to opportunities that exist and custom design
the adjusted interventions that will lead to
equal outcome*

(OXFAM 1994)

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Section 4 Getting Ready

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4.1 Introduction

This section raises several questions to help you plan a successful HWT project. You will work through activities to answer the following questions:

- Why are you doing this?
- What are you going to do?
- Who's doing what?
- When will it get done?
- How much will it cost?
- How will you measure success?
- How do you know you're on the right track?

4.2 Why Plan?

“Failing to plan is planning to fail.” - Allen Lakein

Planning involves:

- Setting priorities and solving problems
- Controlling situations by preparing activities beforehand
- Communicating a community's wants and needs
- Using traditional knowledge
- Promoting creativity

The success of a project is always based on how well it is planned, how well it meets the needs of the community, and how well it considers the limits of the local environment. Other reasons to plan are as follow:

- To use resources wisely and to get funding
- To enhance the project ownership of the beneficiaries
- To make things happen and to build businesses

No matter how hard we try, planning is not perfect, and sometimes plans fail. Typical reasons why plans fail include:

- Plans include too much in too little time.
- Financial estimates were poor.
- Plans were based on insufficient data.
- Planning was performed by a planning group.
- Not enough time was given to estimate properly.
- No one knows the staffing requirements.
- People are working towards different specifications.

(Kerzner, 2005)

Tips for Getting Started

1. Establish guiding principles (values) for the project.
2. Organize and promote a first meeting with stakeholders.
3. Find an enabling local organization to facilitate the project.
4. Seek administrative approval and support.
5. Strengthen existing community development networks.
6. Raise awareness about water, sanitation and hygiene issues.

4.2 What is Your Mission Statement?

A mission statement is a brief explanation of what an organization does. It answers the questions, "Who are we?", "Why do we exist?", "What do we do?" Even before beginning your project, it is important to determine whether the goals of your project are in line with your organization's mission.

The content of your mission statement should:

- Define what values your organization seeks to promote.
- Explain what the needs that your organization fills are.
- Explain how your organization meets these needs.
- Explain who the organization serves
- Describe the geographical location of operations (local, national, worldwide).
- Explain how your organization is unique.

An effective mission statement should:

- Be simple and short, 3-4 sentences.
- Be clear, concise and easy to understand.
- Use verbs that lead to action (e.g., "provide" and "create"). They tell people what you do.
- Provide inspiration.

Activity – Mission Statements

Compare the following mission statements. Do they meet the criteria for an effective mission statement?

Organization	Mission Statement
Clean Water For Haiti	To demonstrate our love for the Lord and our neighbours by providing support and expertise for sustainable clean water projects in Haiti. This Mission is dedicated to responding to the needs of the Haitian people in the area of availability to clean water, using simple technology and proven effective methods for development of clean water projects.
The Trailblazer Foundation	The Trailblazer Foundation is committed to principles of sustainability through water programs and community projects, networking with appropriate agencies to expand resources. We train people in developing countries to identify causes of impoverishment and create solutions by establishing self-managing projects as a means to a sustainable community, thus improving the health, welfare, and economy of people within the world society.

<p>Pure Water for the World</p>	<p>Pure Water for the World works in remote regions of developing countries which lack sustainable clean, safe drinking water. We work with local governments and community partners to select, analyze the appropriate technology for the community, and to implement cost effective projects.</p> <p>Our projects include a comprehensive education program to provide the community with the basic knowledge of water use, storage and personal hygiene and how all of these factors contribute to the health and well being of the users. To reinforce the health benefits of having clean, safe drinking water, we also provide parasitic treatment and the follow up and monitoring to make sure that the technologies are being used and that they are being used properly.</p>
<p>Potters for Peace</p>	<p>Our goals are to offer support, solidarity and friendship to developing world potters; assist with appropriate technologies sustained using local skills and materials; help preserve cultural traditions; and assist in marketing locally, regionally and internationally.</p>
<p>Comments</p>	

Activity – Develop an effective mission statement that best describes the Second Drop as an organization.

Activity – Develop an effective mission statement that best describes your organization.

4.3 Why Are You Doing This?

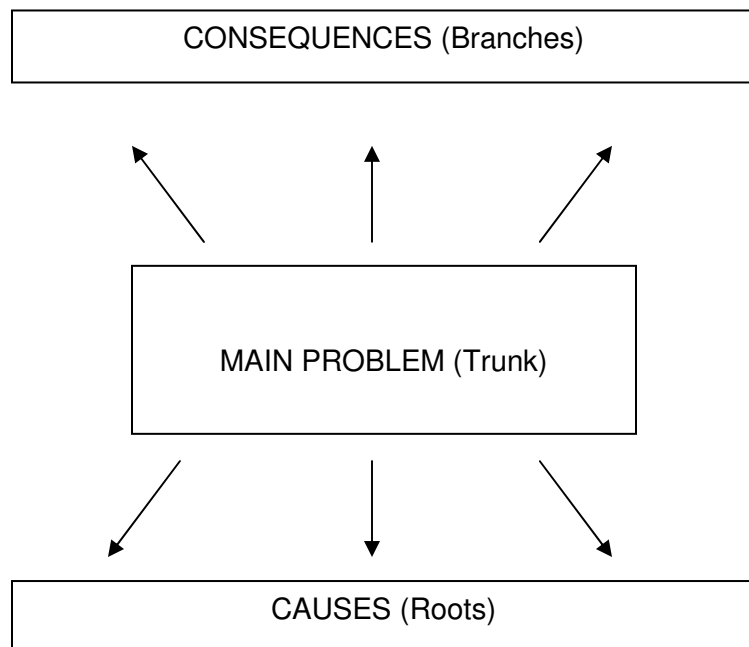
A problem tree analysis (also called ‘situational analysis’ or just ‘problem analysis’) can help to find solutions by looking at the causes and effects around an issue. By asking yourself ‘Why do you think this happens?’, you can gain a better understanding of the big picture. This has several advantages:

- The problem can be broken down into smaller manageable parts. This helps to clarify priorities and helps focus objectives.
- There is more understanding of the problem. This is often the first step in finding win-win solutions.
- It can help establish whether further information, evidence or resources are needed to make a strong case.
- Present issues - rather than future or past issues - are dealt with and identified.
- The process helps build a shared sense of understanding, purpose and action.

When discussing problems in the community keep in mind the following questions:

- Does this represent the reality? Are the economic, political and socio-cultural dimensions to the problem considered?
- Which causes and consequences are getting better, which are getting worse and which are staying the same?
- What are the most serious consequences? Which are of most concern? What criteria are important to us in thinking about a way forward?
- Which causes are easiest / most difficult to address?

Problem Tree Template



Tool – Problem Tree

Use tool 2: Problem Tree to identify and discuss the main problem in your community and to identify the main causes and effects of the problem.

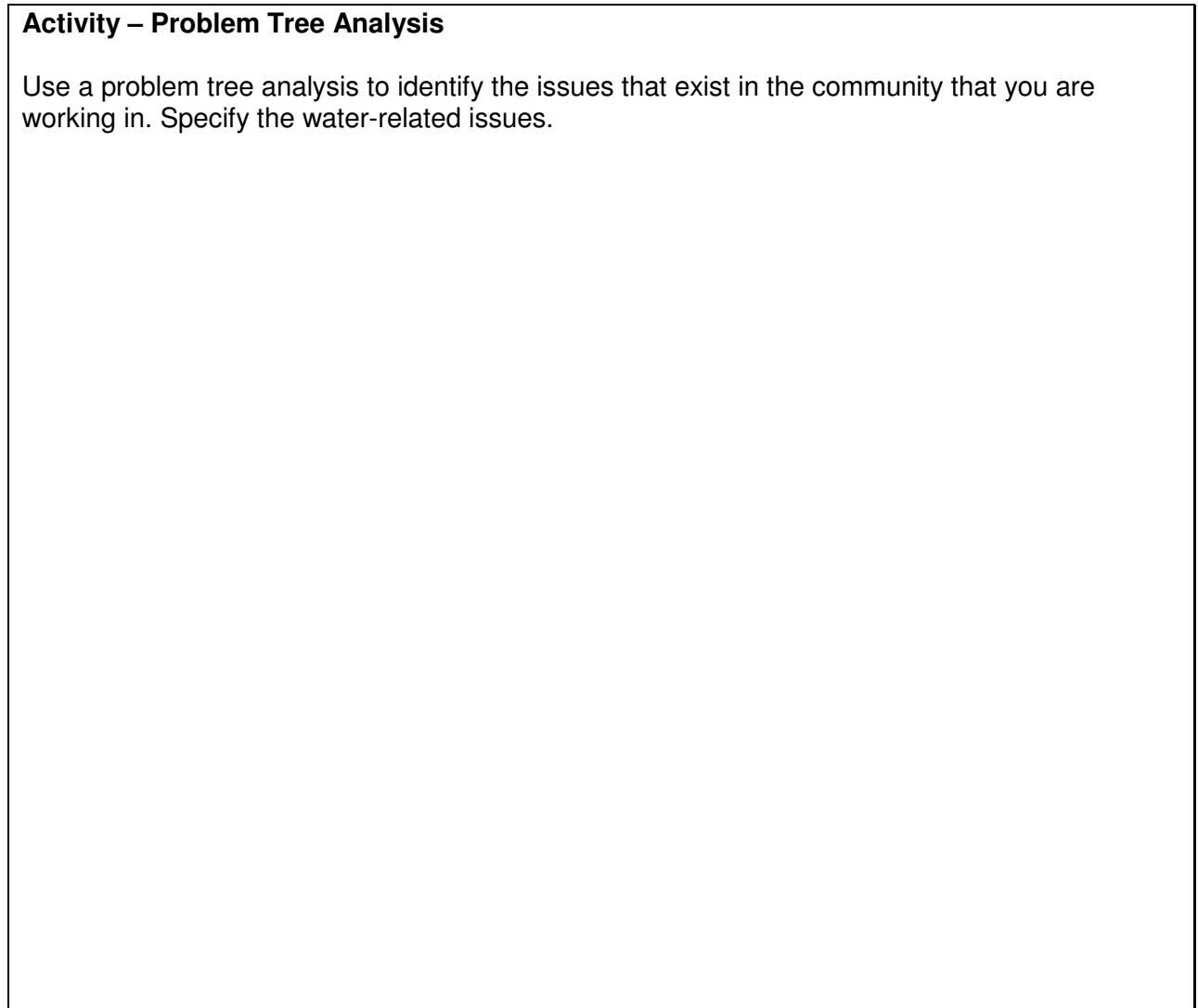
Activity – Problem Tree Analysis

Discuss and agree upon the main problem in the Second Drop case study. Do not worry if it seems like a broad topic because the problem tree will help break it down. The problem or issue can be centered and referred to as the 'trunk' of the tree. Next, identify the causes of the main problem, which become the roots. Then identify the consequences, which become the branches.



Activity – Problem Tree Analysis

Use a problem tree analysis to identify the issues that exist in the community that you are working in. Specify the water-related issues.





4.4 How Do You Turn Problems Into Solutions?

The problem tree is closely linked to the solution tree, another key planning tool that is well used by development agencies. The problem tree can be converted into a solution tree by rephrasing each of the problems into positive desirable outcomes - as if the problem had already been treated. In this way, root causes are turned into root solutions, and key objectives for change are established. For example, 'lack of sufficient water' becomes 'improved water supply'.

Tool – Solution Tree

Use Tool 3: Solution Tree to identify solutions to problems that have been identified using problem trees. This tool involves using a drawing of the trunk, roots, and branches of a tree to identify solutions relating to water issues, such as what will bring about that solution and what effects that solution will have.

Tool – Problem Wall and Solution Tree

Use Tool 4: Problem Wall and Solution Tree as an adaptation to the problem tree and solution tree activities. The problem wall and solution tree is another tool that can be used to look at problems and solutions related to a particular topic.

Activity – How does the Second Drop plan to address the water problems in their community? Convert the problem tree into an objective tree to define the solutions

Activity – How does your organization plan to address the water problems in their community? Convert the problem tree into an objective tree to define the solutions. Ensure that your solutions are aligned with your project objectives. Organize your solutions into long-term results (impacts), medium-term results (outcomes), and short-term results (outputs).



4.5 How Do You Measure Impact?

Impact can be judged according to the coverage of an activity or strategy multiplied by the intensity of that activity or strategy. (Impact = coverage x intensity.)

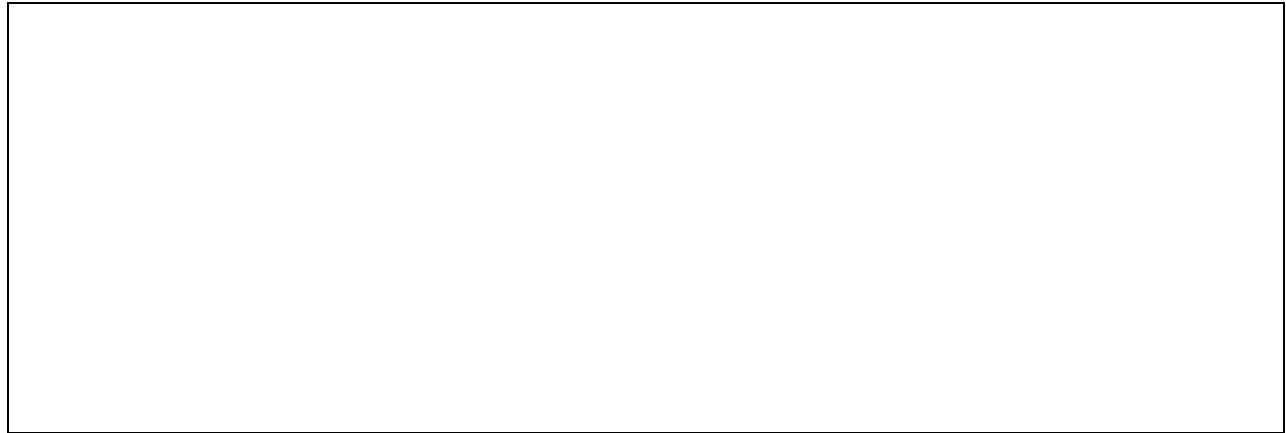
The likely impact of a strategy or activity looks at:

- The coverage of an activity – activities that reach many people are likely to have more impact than those that reach only a few people.
- The intensity of an activity – activities that work with the same group of people over a long period of time, using participatory techniques, are likely to have more impact than one-off activities which do not fully engage with people.
- The balance between the numbers of people reached and the intensity of the project.

Tool – Impact Matrix

Use Tool 5: Impact Matrix in order to show what the impact or strategy is likely to have. Recall that it is essential to look at the intensity of the activity as well as the number of people it will reach. An activity that works with people once or twice may have less impact than an activity that involves the same people over a period of time.

Activity – Use the Impact Matrix to determine what your impact or strategy is likely to have.



4.6 What Are Your Objectives?

The aim of your project can be defined as the overall purpose of the project. The objectives of your project are statements about the specific activities of a project and what a project will achieve through these activities. The objectives of your project should also be aligned with your organization's overall mission. Recall that setting your objectives is a key part to the logical framework process as it will define your outputs and outcomes.

A simple acronym used to set objectives is called SMART:

- Specific: Do your objectives specify what you want to achieve?
- Measurable: Can you measure how the objectives are being met?
- Achievable: Can you reach the goals of your objectives?
- Realistic: Do you have the resources to realistically achieve your objectives?
- Timely: Can you reach your objectives within the time permitted?

Activity – Creating SMART Objectives

Read the following set of objectives. What changes could be made to make them SMART objectives?

- Reduce the incidence of diarrhoea among children.
- Reduce the cases of cholera by 100% in three years.
- Install biosand filters in 60% of the households within three months.
- Train three Community Health Promoters in six months.
- Promote water, hygiene and sanitation education.

Tool – Writing Aims and Objectives

Use Tool 6: Writing Aims and Objectives with the group to write aims and objectives for a project. The tool will help to identify and summarize the purpose of a project or activity and what the project hopes to achieve. Writing aims and objectives will also help to provide a framework for planning.

Activity – Create a list of 5 SMART objectives for the Second Drop project.

Activity – Create a list of SMART objectives that will serve as the outputs and outcomes for your project. Are your project objectives in line with your organization's mission?

4.7 How Feasible Is Your Project?

For something to be feasible it must be realistic, practical and do-able. After coming up with your solutions and strategies to address a problem, it is important to judge whether or not they are feasible.

For a strategy or activity to be feasible, it must be both internally and externally feasible. Internal feasibility refers to factors relating to your organization or community. Internal feasibility looks at the human, physical, and financial resources available to carry out a project activity or strategy.

External feasibility looks at how acceptable the activity will be to the group or groups of people you wish to work with. External feasibility may also involve outside influences such as the weather.

To make an informed judgement a feasibility study can be performed during the feasibility and project design step of the project cycle. It is an analysis of possible alternative solutions to a problem and a recommendation on the best alternative.

Tool – Feasibility Matrix

Use Tool 7: Feasibility Matrix to assess how realistic or practical it is to carry out a strategy or plan.

Activity – Use a feasibility matrix to assess how realistic or practical it is to carry out a strategy or plan for your project.

4.8 What Are Your Assumptions and Risks?

4.8.1 What Assumptions Are You Making?

The impact, outcomes, and outputs of your project are often based on assumptions. For household water treatment projects, some assumptions may involve:

- Having an adequate demand for training.
- Accounting for the time delay between training and implementation so there isn't a significant affect on the outputs and outcomes.
- Partners will develop the organizational capacity to be sustainable for the future.

Activity – List at least three assumptions that the expected results of your project are based on.

4.8.2 What Risks Are You Taking?

As the project implementer, it is also important to minimize risks and to consider what risks an organization, community, individual or project faces, how likely they are to happen and what the impact of them happening will be. Ask yourself the questions, 'what can hurt me?' and 'how bad can they hurt me?' A risk assessment helps to:

- Identify hazards associated with a particular activity or situation
- Identify how likely stakeholders are to encounter that hazard
- Identify the impact a hazard might have on an activity or situation if it occurs
- Judge whether or not the risk associated with carrying out an activity, or being in a particular situation is acceptable
- Decide whether or not to carry out a particular activity or be in a particular situation
- Identify how to lessen the likelihood of encountering a hazard, or lessen its impact if it occurs

(International HIV / AIDS Alliance, 2001)

After conducting your risk assessment ask yourself "what can I do about it?". In other words, define your mitigation measures. The following chart outlines several common project risks and the mitigating action for each.

Identified Risk	Mitigation Measure to be taken
Poor quality filters made	Proper training and close supervision, especially at the beginning.
Low quality filter media used	If possible introduce use of crushed rock instead of river sand.
Inadequate hygiene education, leading to lack of appreciation of clean water by users	Proper training of Filter Technicians and provision of necessary manuals and aids, as well as close supervision, especially at the beginning.
Improper use of filters by households	Proper training before users receive filters and close supervision.
Recontamination of filtered water in the homes	Intensive hygiene education

Tool – Risk Assessment

Use Tool 8: Risk Assessment to consider what risks an organization, community, individual or project faces, how likely they are to happen, and what the impact of them happening will be.

Tool – SWOT Analysis

Use Tool 9: SWOT Analysis to discuss the strengths, weaknesses, opportunities and constraints of a particular situation.

Activity – Perform a Risk Assessment or SWOT Analysis for your project.

4.9 Additional Resources

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5.1 Introduction

The activities in this section are intended to focus your project and answer the following questions:

- Who are the key people in your project?
- What are your Milestones, Activities, and Inputs?
- When will it get done?
- How are you going to do it?
- How much will it cost?
- How can I fundraise?

5.2 Who Are The Key People In Your Project?

Stakeholders are people who are interested in the outcomes of a project. They are typically categorized as primary or secondary stakeholders.

Primary stakeholders are the groups, communities or organizations that are expected to benefit from the project. In most projects, primary stakeholders will be categorized according to social status. For example, primary stakeholders can be divided by gender, social or income classes, and occupational or service user groups. In many projects, the categories of primary stakeholders may overlap (e.g. Women and low-income groups and ethnic minorities).

Secondary stakeholders are intermediaries in the process of delivering aid to primary stakeholders. They can be divided into funding, implementing, monitoring, and advocacy

organizations or simply governmental, NGO and private sector organizations. In many projects it will also be necessary to consider key individuals as specific stakeholders (e.g. Heads of departments or other agencies, which have personal interests at stake as well as formal institutional objectives). Also note that there may be some informal groups of people who will act as intermediaries. For example, politicians, local leaders, respected people with social or religious influence.

In the context of household water treatment projects the following groups are usually the stakeholders:

- Project Implementers
- Product manufacturers
- End users
- Community Health Promoters (secondary stakeholders)
- Collaborative organizations (secondary stakeholders such as UN, WHO, universities)
- Local trainers (secondary stakeholders)

Gatekeepers, on the other hand, are people who control access to communities or groups who will be closely involved in the project. In the case of a school project, the gatekeepers would include the principal, the teachers, and the parents.

A stakeholder analysis helps project implementers to assess their project to determine its viability. More specifically, doing a stakeholder analysis can:

- Draw out the interests of stakeholders in relation to the problems which the project is seeking to address or the purpose of the project.
- Identify conflicts of interests between stakeholders, which will influence the intended project before funds are committed
- Help to identify relations between stakeholders which can be built upon and may enable coalitions of project sponsorship, ownership and cooperation.
- Help to assess the appropriate type of participation by different stakeholders, at successive stages of the project cycle.

The following questions have to be kept in mind to develop a coordination mechanism among the stakeholders:

- Do the end users have any previous involvement in water and sanitation projects?
- Does the project have the support from the governmental or non-governmental organizations, local investors, and end users it requires for effective implementation?
- Will there be a forum for regular meetings of all or each group of stakeholders?
- Is the project consistent with government policies and national targets or priorities?
- What are the incentives for the poor to gain access to household water treatment technologies?
- How can you develop a coordination mechanism among the stakeholders?

Tool – Stakeholder Participation Matrix

Use Tool 10: Stakeholder Participation Matrix to identify who should participate in a project or activity, at what stage and to what degree.

Activity: Identify the primary stakeholders in the Second Drop case study.

Activity: Stakeholder Participation Matrix

Use a Stakeholder Participation Matrix to identify who should participate in your project or activity, at what stage and to what degree.

5.3 What Are Your Milestones, Activities and Inputs?

The concept of milestones in the planning process was originally derived from engineering highways. A milestone or kilometre sign was placed along a road at regular intervals. This gave the traveler a better idea of the path being followed and the remaining distance to the desired destination.

Similarly, a milestone within the planning process indicates what achievements are needed to be reached in order to meet the final goal. A milestone provides an indication of short and medium-term objectives (usually activities) which allow for the measurement of achievements throughout a project rather than just at the end. They also indicate times when decisions should be made or when actions should be finished.

Activities are the actions (and means) that have to be taken / provided to produce the results. They summarize what will be undertaken by the project. In order to understand what activities can be achieved it is important to keep in mind the challenges to the community and your proposed solutions. Once a list of potential activities have been established it is important to prioritize different activities according to their relative importance and urgency.

Recall that inputs are the financial, human, and material resources required for the operation and implementation of the project.

Tool – Thought Shower

Use Tool 11: Thought Shower to identify where there is, or is not agreement about the key activities required to reach your goals.

Tool – Activity Prioritization Grid

Use Tool 12: Activity Prioritization Grid to prioritize different activities according to their relative importance and urgency.

Tool – VEN Sorting

Use Tool 13: VEN Sorting to help decide whether different activities, resources, or services are Vital (V), Essential (E), or Not essential (N), to the success of achieving a goal. VEN Sorting can be used as an alternative to the Activity Prioritization Grid.

Activity

Identify the main milestones to be achieved in your project. List these milestones in the first column of the table that follows. For each milestone, list a number of activities that will be performed to achieve each one. Use the above tools to help identify and prioritize your activities. For each activity, list the inputs required to meet that activity.

Your Project

Milestones	Activities	Inputs
Milestone 1 Community Identification	<ul style="list-style-type: none"> • Research baseline health conditions and water quality • Contact partners and community leaders • Assess security situation • Research baseline water quality 	<ul style="list-style-type: none"> • Human Resources • Time • Money
Milestone 2		
Milestone 3		
Milestone 4		
Milestone 5		
Milestone 6		
Milestone 7		

5.4 When Will It Get Done?

Timelines help to graphically indicate the major activities of a project and when they will be completed. Typically, a timeline will have a defined beginning and end, specific objectives to be achieved and the activities required to reach each milestone and complete the project. When planning a project, it is important to 'begin with the end in mind'.

When starting a new project it is important to 'expect the unexpected'. Realistic timelines should be given at the start of the project. For example, ample time (at least one month) at the beginning of the project should be allocated to obtaining visas, passports, flights, and medical appointments. Once in the field, additional time should be allocated towards obtaining the proper equipment and resources. For a biosand filter project, for example, getting a proper mold built could take as long as four weeks.

Tool – Project Planning Timeline

Use Tool 14: Project Planning Timeline to create a timeline or calendar to show what a project will do and when.

Tool – Advanced Project Planning Timeline

Use Tool 15: Advanced Project Planning Timeline to create a timeline or calendar to show what a project will do and when with a greater focus on milestones and activities.

Tool – GANTT Chart

Use Tool 16: GANTT Chart to determine when specific activities will be reached.

Activity – Use the Project Planning Timeline to create a timeline for the Second Drop case study.

Activity - Choose a tool from above to create your own timeline.

5.5 How Are You Going To Do It?

Once the activities have been established and a timeline has been developed, it becomes a much easier task to assign roles and responsibilities to determine how each activity will be met. Remember that if a stakeholder is not present when their roles and responsibilities are being discussed, they must be fully consulted before your plans are finalized!

Tool – Action Planning

Use Tool 17: Action Planning to determine who will do what, by when, and with what resources.

Tool – RACI Chart

Use Tool 18: RACI Chart to determine the differing roles among several people. This tool determines who is responsible, who needs to take action, who needs to be consulted and who need to be informed.

Activity – Use one of the above tools to determine the roles and responsibilities of each stakeholder. Write your answer on a separate sheet of paper.

5.6 How Much Will It Cost?

Having a general idea of how much a HWT project will cost is essential for planning. The items or services have been organized as one time or ongoing costs. One time items or services may include:

- Education materials
- Tools
- Construction materials
- Transportation
- Water testing equipment

Ongoing items or services may include:

- Renting or purchasing a vehicle
- Hiring a driver
- Vehicle maintenance
- Travel including airfare, visa, passports, travel and medical insurance, medications will range from \$1000 - \$5000. Price will also vary pending on personal itineraries and preferences
- Phone, internet
- Meals and accommodations
- Workspace
- Local labour

It is important to remember that prices will vary greatly from country to country, and even from region to region within a country.

Below is an example of the list of items or services needed to complete a 20 biosand filter project. The 'Price Range US\$' column has been determined based on projects in approximately 30 countries. The 'Price in Bolivia US\$' column is based on the field experiences of the COBAGUAL organization in Ascensión de Guarayos, and may not reflect prices in other parts of Bolivia.

Ongoing costs will vary greatly depending on how long the project will take. For this reason it is unwise to make a project budget without having a clear and realistic timeline for the project .

Activity – Using information from the case study, create a budget dividing the items and services into one time and ongoing costs. See Budget Template in Appendix 6.

Activity – Create a budget for your project. Divide the items and services into one time and ongoing costs. See Budget Template in Appendix 6.

Biosand Filter Project: Sample Budget

One Time Items or Services	Price Range (US\$)	Price in Bolivia (US\$)	Notes
Steel for mold	\$150-\$800	\$200	If possible, borrow a mold from an established biosand filter organization or find an experienced welder who has made molds in the past
Welder's fee to build mold	\$150-\$400	\$150	Wages for 2-3 weeks + supplies and profit for the welding shop
Tools	\$50-\$200	\$120	Including hammers, wrenches, saws, drill, etc.
Tubing, lids, diffuser plate material	\$80-\$300	\$80	May require a lot of time searching markets etc.
Gravel, sand, cement	\$100-\$600	\$100	
Transportation for gravel sand and cement	\$50-\$250	\$35	Will vary depending on distance to source, road conditions, etc.
Transportation for completed filters	\$50-\$250	\$35	Will vary depending on the distance to the community you are working in.
Educational Material	\$5-\$100	\$10	Photocopies and translation (if necessary)
Water Testing	\$0 - \$3000	\$0	For a small 20 filter project, investing in water testing equipment may not be a priority.
Total	\$625 - \$5900	\$730	

Biosand Filter Project: Sample Budget (cont'd)

Ongoing Items or Services	Price Range (US\$)	Price in Bolivia (US\$)	Notes
Phone, internet	\$10 - \$50 / month	\$0	Cell phones are readily accessible and calling cards are typically affordable. Internet access in larger cities is typical as well.
Meals and Accommodations	\$5-\$100 / day	\$5-\$10 / day	Price will vary pending on personal preference and local availability
Work Staff	\$0-\$300 / month	\$50 / month	The minimum workspace would include: a lockable box or shed for tools, a tarp or roof to keep sand and cement out of the rain. Concrete box or wooden dividers could be used to separate the media.
Local Labor	\$5-\$20/person /day	\$8/person/day	

5.7 How Can I Fundraise?

Depending on the size of your project, you may wish to organize different activities or events to raise funds. This may involve for example movie nights, dances, concerts, raffles, bake sales, and contests.

Fundraising is often compared to the 'low hanging fruit'; essentially the fruit that is easiest to pick. When looking at your fundraising initiatives it is important to determine the link, interest, and ability with the potential funding agency.

Key Terms

Link: Do you have a relationship or other connection?

Interest: Does their mission / mandate / guidelines / restrictions match with your organization? Who else do they give to?

Ability: Does the funding agency have a giving program? What is the size of the average grant?

There are several ways to go about funding however some techniques are often times more rewarding than others. As seen in the table below, face to face contact is often the best way to obtain funds.

Effectiveness of Funding Techniques

Method	Success Rate
Donor acquisition – Mail to Prospects	1% - 2%
Direct Mail to Donors	5% - 15%
Telephone Solicitations – Prospects and Donors	25% - 30%
Face to Face – Prospects and Donors	70% - 80%

Typically, the identification of a potential donor involves:

- Existing Relationships
- Word of Mouth
- Internet Search
- Public donor lists
- News articles

Once a potential donor is identified it is important to understand their perspectives. To do so, ask the following questions:

- What is their motivation to support your project?
- Corporations - Does it match their business goals?
- Individual / Foundation – Does it match their philanthropic goals or funding interests?
- Is there a way to communicate the success of your project?

Other successful fundraising tips include the following considerations:

- Frequent contact
- Compatible needs
- Communication strategy
- Ability to deliver
- Long-term sustainability
- Measurable objectives
- Strong outcomes

Tool – Low Hanging Fruit

Use Tool 19: Low Hanging Fruit to determine which fundraising options are most likely the best fit for your organization.

5.8 Additional Resources

Hartman, F. (2000). Don't Park Your Brain Outside. Project Management Institute, PA.

5.9 References

International HIV/AIDS Alliance (2001). A Facilitators' Guide to Participatory Workshops with NGOs/CBOs Responding to HIV/AIDS. Available at: www.aidsalliance.org

Section 6 Measuring Success

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6.1 Introduction

Monitoring activities are intended to focus your project and answer the following questions:

- How will we measure the success?
- What happens when something goes wrong?

This section will introduce monitoring as a way to measure the success of the project, outline appropriate indicators and provide you with tools for when you encounter problems. The specific purpose of monitoring is to collect and analyze information for regular and periodic assessment of a project's relevance, performance, efficiency, and progress in terms of the timeline for completing the stated objectives. A HWT project often monitors project management, product quality, distribution systems, effective operation of the technology, quality of education materials, and general procedures. The following are characteristics of a good monitoring system:

- Fully integrated into the project by including monitoring in the project cycle
- Designed with a participatory process that emphasizes stakeholders' and end users' involvement and ownership
- Simple and completed as a periodic activity without being burdensome to staff
- Collects specific information in relation to project inputs, outputs and process

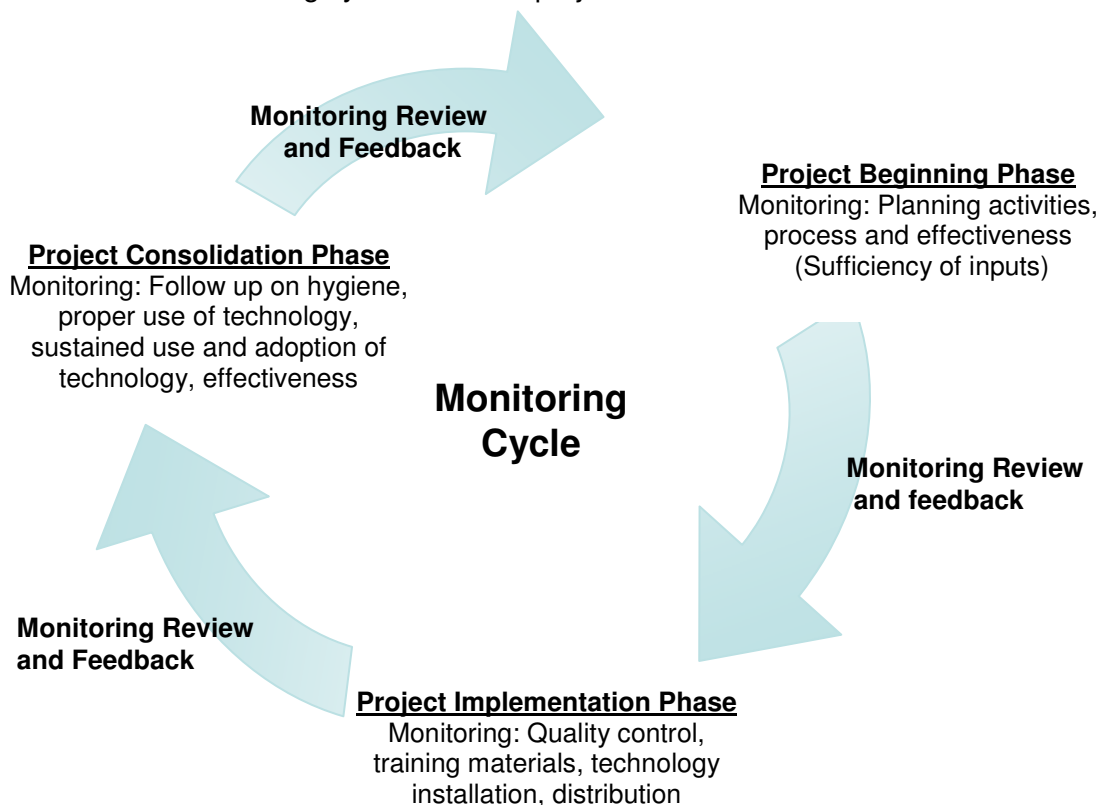
6.2 How Will We Measure Success?

A HWT project should be monitored at regular intervals based on staff availability, budget, and the nature of the project activities. Monitoring methods will vary depending on the nature of the project activities; there is no specific formula for monitoring. However, the general objectives of monitoring involve assessing the quality of project implementation, looking for process indicators, and tracking the progress of the project in achieving its annual targets.

In a HWT project, monitoring the proper use of technologies by end users is a periodic process which can be initiated by the implementing organization, but ideally it is transferred over to the local community so that the monitoring activities can continue beyond the length of the project.

In general, HWT projects follow a similar monitoring process with other community development projects. The HWT monitoring focuses on the process, operation and effectiveness of the technology. Monitoring during the implementation phase would address production, quality control, water source protection, training on awareness raising, and quality of the marketing materials. In the consolidation phase, monitoring looks at the proper use of the HWT product, handling practices of treated water, sufficiency of training materials, quality of social awareness materials, education and behavioural changes in health and hygiene.

The results of monitoring activities provide feedback for further improvement during the project period. The amount of time required to correct an action can be determined by a monitoring review meeting and project management. Monitoring needs to be conducted in such a way that it provides sufficient and meaningful information to support the recommendations. The following figure shows the monitoring cycle of a HWT project:



6.2.1 The Monitoring Process

The monitoring process is a logical chain which involves gathering data, finding evidence, analyzing the data, and using it for improving the project.

The Monitoring Process

WHOM: Information users such as project managers, donors, end users, stakeholders

WHY: Specific purposes

WHAT: Specific information

WHEN: Time required

WHERE: Sources of data

HOW: Gathering data

WHAT NEXT: Ensuring action

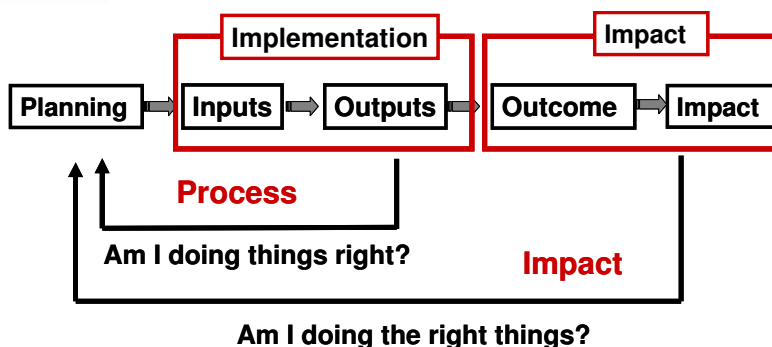
Monitoring information gathered by the staff can be fed back to the project manager to improve the community interventions. Monitoring is a periodic process; therefore it is not necessary to include each and every detail of the project. It is ideal to select a sample community by consulting the field workers and project staff. Monitoring provides opportunities to improve the implementation process, so it is best to focus on the weak areas of project operation.

6.2.2 What Do We Measure?

To measure the success of the project activities, we have to develop indicators that are SMART (specific, measurable, achievable, relevant, timely), similar to setting your project objectives. Indicators are objectively verifiable measurements that reflect the activity or effect being and allow for comparisons. Indicators should also be:

- Relevant to the project and to national standards
- Feasible to collect and easy to interpret
- Easy to track change over time.

There are two broad categories of indicators that can be used to monitor your project - process and impact indicators. Process indicators help us to answer the question, “Am I doing things right?” Impact indicators help us to answer the question, “Am I doing the right things?”



Source: Mitchell (2007)

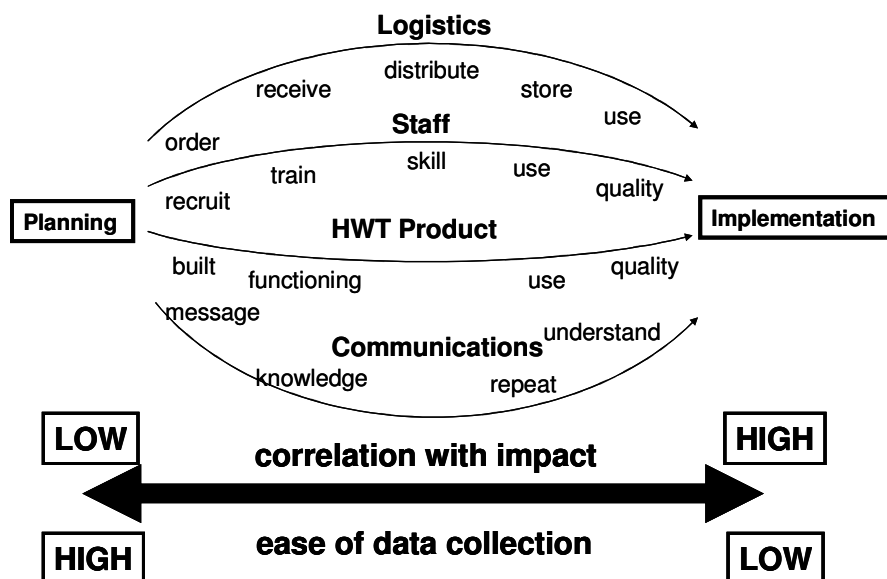
For the purpose of monitoring your project, process indicators will be the most useful to measure your progress. They specifically measure the inputs and outputs of the project objectives and activities. Impact indicators are commonly used when conducting an independent evaluation or during academic research, to show the longer-term health impacts or benefits to the community. To determine which indicators will be most useful to the project team, the indicators need to be looked at in the context of what activities have been planned.

For each indicator that you select, ask yourself the following questions:

- Is it accurate? Is it always going to measure what you need to know or could it be telling you something else?
- Is it cost-effective to collect the information? For example, would a health impact study be practical?
- Does it give useful information for making management decisions?
- Will the information be easily understood by stakeholders, including funders?

When selecting appropriate indicators, it is important to understand there is a trade-off between the ease with which some monitoring data is collected and its overall correlation with the project impact or the success of the project. For example, it is easy to measure the number of HWT products built and distributed, but to monitor the quality and actual household use of the HWT product requires more time and money. The quality and use, however, are more informative for the project team to monitor whether the project is meeting the overarching goal to improve the health of the household.

The figure shows some typical aspects of a HWT project that would need to be monitored and possible categories of process indicators that would be measured. It is important to balance what information is possible to collect versus what information is most valuable.



Source: Mitchell (2007)

The following table outlines the relationship between inputs, activities, outputs, outcomes and impacts for an example biosand filter project. The indicators to measure the success of the project are listed under outputs, outcomes, and impact.

Measuring Success

Inputs	Activities		Results		
			Outputs	Outcomes	Impact
Human Resources Equipment Funds	-Biosand filter production -Provide health and hygiene awareness training -Prepare community awareness information materials	➔	-100 filters manufactured -2 Health and hygiene trainings carried out. -Field kit prepared for raising health and hygiene awareness in community	-# of filters used for drinking purposes -# of Community Health Promoters who are working -# of field kits used for social marketing -# Beneficiaries satisfied with services	-# of families experiencing a reduction in diarrheal disease -# of households with lower health expenses

Another example list of indicators and their possible sources is included below. This organization implemented a household chlorination project in Africa and outlined the key objectives and measurable indicators in addition to where and how they would collect the information.

Objectives of the project:

- 70% of target population will recognize the brand name of safe water system products (vessel and disinfectant) after 6 months
- 30% of households will report use of approved water storage vessel and disinfectant after 6 months
- 25% of households will have knowledge of correct dose of disinfectant after 6 months
- 25% of households will have observed safe water storage practices after 6 months
- 10% of households will have measurable residual free chlorine levels >0.2 mg/L after 6 months
- 10% of households will have no delectable E-coli colonies in store water

How To Measure Results

Activities to monitor	Data source	Method of data collection
Education and promotion		
1. Design and produce 20,000 information brochures	Invoices from printing company	Review invoices
2. Train 10 Community Health Workers to deliver education messages in each of 3 communities	Training records	Observation of training sessions Review of records
3. Hold informational meeting in 10 communities per month	Meeting minutes	Review of records
4. Design and broadcast one advertisement on the radio 3 times per day	Review of advertisements drafted/ produced Review broadcast schedule Broadcasts	Meeting with designer of advertisements and written broadcast schedule Listen for scheduled broadcasts
5. Conduct educational event in 4 schools per month	Training plans and schedule	Review plans and records of events conducted
6. Produce video and show it to 3 communities per week	Drafts of video Report of communities visited with video	Review draft and final video Video projection truck reports of communities visited
7. Observe health facility staff providing education to mothers once per week	Survey of health facilities in target area	Bi-weekly visits to outlets and health facilities to observe staff
Community mobilization		
8. Establish neighborhood committees in 3 communities in first 3 months	Meeting minutes	Review minutes Observe meetings
9. Have 3 committees work through participatory process in 3 months		
10. Have 3 communities organize themselves for the project in first 3 months		
Motivational interviewing		
11. Train 10 trainers in first 3 months	Training reports	Review reports Observe training
12. Each trainer trains 5 additional trainers in 3 months		
13. Each of 50 trainers trains 10 volunteers in 3 months		
14. Each volunteer conducts motivational interviewing intervention in 10 community households in 3 months period	Regular meetings with volunteers	Reports from volunteers Accompany volunteers on some visits

Centers for Disease Control and Prevention (nd)

Activity – Select four activities outlined in the ‘Milestones and Activities’ section for your project. For each activity create an indicator that can be used to measure each one.

Defining Your Indicators

Activity	Indicator

Activity: Using the indicators you've outlined in the previous activity, select four indicators and answer the following questions: Where will that information come from (Source of Data)? How will that information be collected (Method for collecting data)?

How to Measure Your Results

Indicator	Source of Data	Method for collecting data
e.g. 25 community meetings have been held to discuss water, sanitation & hygiene	Monthly meetings with community health promoters	Review monthly reports Observe 10% of community meetings

6.2.3 Tools for Conducting Monitoring

Once indicators have been selected, monitoring plans are made for the collection and analysis of data during and after project implementation. Although some monitoring will be done through the review of internal documents and processes, your project team may want to use a variety of tools for monitoring the success of the project within the community.

The different methods used to collect data can be matched with the type of data required for monitoring. Several methods can be used in data collection to make the monitoring process participatory. The following are methods which are commonly used:

- **Quick Appraisal**

In this method, yes/no (close ended) questions are used. The interviewer either sends the questionnaire to the respondent, or visits with them to have it filled out. This technique generates quantitative data that can often be collected and analyzed quickly.

- **Structured Observations**

Structured observation is a systematic technique for observing and recording particular practices. It lets you quantify specific water, hygiene and sanitation practices directly. Structured observation is carried out by a team of trained observers, who ask permission and then visit households, often very early in the morning as people get up. They then sit as quietly as possible in a space where they can see what is happening. Each time they see a practice of interest they note down what happens on a form. The observer can also take physical measurements, such as the flow rate in the biosand filter.

Tool 20: Structured Observations provides information about how to use this method.

- **Questionnaires and Surveys**

Questionnaires and surveys are used to gather data from a large number of people in a structured way. A questionnaire is a simple form with questions used to gather information from people. A survey is a more structured term that might be one or two simple questions or could be a long questionnaire.

Tool 21 : Questionnaires and Surveys provides more information about how to use this method.

- **Key Informant Interview Interviews**

Conducting interviews is a way to explore what people think about an issue without the formality of a questionnaire or survey. Instead they employ a discussion guide, such as a checklist. The interviewer guides the conversation by probing and drawing out issues of interest. Interviews can be especially informative when conducted with key informants, such as community leaders, health workers, teachers, government officials, women, etc. Key informants are selected on the basis of local inquiry by the project staff. Key informants may be community leaders, local health staff or other individuals identified by the project staff.

Tool 22: Interviews provides more information about how to use this method

- **Focus Groups**

Focus groups are an effective way of gathering information on people's ideas, beliefs, practices and behaviour. They gather together people with similar backgrounds for a detailed discussion about a subject. Focus groups work best with people from the same socioeconomic group. Several homogeneous groups of 8 to 12 participants discuss issues and experiences among themselves. A moderator introduces the topic, stimulates and focuses the discussion, and prevents domination of discussion by a few. The information collected from the focus group can be verified with other sources.

Tool 23: Focus Groups provides more information about how to use this method.

- **Participatory Activities**

Participatory activities can be used with the communities themselves to monitor the success of the project from the view of the beneficiaries. These activities are designed to include the community groups in monitoring the success of the project.

Tool 24: Most Significant Change can be used to understand the impact that an activity or project is having on people, what a person thinks about the change, and the reasons for the change. It can be used to monitor on-going activities or at the end of a project to evaluate its impact.

Tool 25: Before and Now Diagram can assess the impact of a community initiative. It is useful for exploring change over time in a particular situation and the reasons for change. It can also show how significant events have affected people differently.

Tool 26: Monitoring Matrix is a chart that shows what activities are working well and what needs improving according to those who are participating in it. It is useful to monitor the progress of activities with members of the community or project and understand what different people think about activities that were done.

6.2.4 Developing Monitoring Forms

Usually monitoring activities are under the control of project management, and different formats can be designed to record field information. Monitoring forms should be designed based on the phase of project implementation. In the beginning phase, monitoring forms should focus on organizational procedures. Forms designed for the implementation and consolidation phases should focus on sustained use and adaptation of technology, source protection, health, hygiene, sanitation, and quality of trainings and their effectiveness.

Monitoring data often assists in satisfying the administrative requirement for funds and resources that are required for the completion of the project. Depending on the size of the HWT project, the monitoring plan should focus on 1) project process; and 2) project effectiveness.

In general, monitoring forms can be prepared by asking the following questions:

Developing Your Monitoring Forms

Monitoring Items	Monitoring Questions
Outcomes	<ul style="list-style-type: none"> • Who has benefited from the project? • Who has access to the project activities? • Who has access to the training delivered by the project? • Who has access to the education materials produced by the project? • How many end users are satisfied with the project's approach, policies, and activities? • How many beneficiaries sustain the knowledge of training? • How many households are benefiting from the project activities? • What is the beneficiaries' perception on the project's interventions?
Outputs	<ul style="list-style-type: none"> • Is the target group receiving items in the quantities and quality as planned? • Are the HWT products of good quality? • Do beneficiaries receive training on the technology according to the project plan? • Are the partner organizations coordinated according to the project plan? • Do the beneficiaries receive services according to the project plan?
Activities	<ul style="list-style-type: none"> • Are project activities being implemented on schedule and in quantities according to the project plan? • Are other activities such as training and raising awareness being undertaken as planned? • Who are the partners and how are they participating in the project?
Inputs	<ul style="list-style-type: none"> • Does the project staff provide quality services to the community? • Is there a participatory process during planning and implementation? • Are there technically competent staff to implement the project? • Are the financial resources sufficient to implement the project?

In general, small projects (working on less than 100 households) can include all activities in the monitoring form such as planning, management, finance, and technology. A larger project, however, needs to develop separate forms for each topic.

Different forms can be designed according to the size, nature, and geographical location of the project. The forms make it easier to collect and record information. After analyzing the collected information, a brief monitoring report should be prepared for the team leader. Some example monitoring forms are included in Appendix 7.

6.2.5 Developing Monitoring Checklists

Checklists can be developed to use as monitoring tools for community health promoters or filter technicians to evaluate their performance and progress. Checklists help you to judge the extent to which the new skill has been learnt.

First of all, decide on what the skill is going to be. For example, you may want Community Health Promoters to practice talking with a household about how a biosand filter is installed, operated and maintained; or you might want them to discuss basic hygiene and sanitation practices with a family.

Then have the group analyze the skill to be learnt and make a checklist with which they can judge their own performance. An example checklist could look like the following...

Did the Community Health Promoter...	
1. Greet the person politely?	<input type="checkbox"/> Yes <input type="checkbox"/> A bit <input type="checkbox"/> No
2. Introduce them self?	<input type="checkbox"/> Yes <input type="checkbox"/> A bit <input type="checkbox"/> No
3. Explain the purpose of the visit?	<input type="checkbox"/> Yes <input type="checkbox"/> A bit <input type="checkbox"/> No
4. Use appropriate language?	<input type="checkbox"/> Yes <input type="checkbox"/> A bit <input type="checkbox"/> No
5. Give useful information?	<input type="checkbox"/> Yes <input type="checkbox"/> A bit <input type="checkbox"/> No
6. Find out how committed the individual and household is to change?	<input type="checkbox"/> Yes <input type="checkbox"/> A bit <input type="checkbox"/> No
7. Agree on strategies to help change?	<input type="checkbox"/> Yes <input type="checkbox"/> A bit <input type="checkbox"/> No
8. Design a plan for change with the individual, including a timeframe and future visits?	<input type="checkbox"/> Yes <input type="checkbox"/> A bit <input type="checkbox"/> No
9. Say thank you for the individual's time?	<input type="checkbox"/> Yes <input type="checkbox"/> No
10. Provide their contact information in case the household has questions at a later date?	<input type="checkbox"/> Yes <input type="checkbox"/> No
11. Etc.	
Notes:	
<hr/>	

The checklist ensures that people know the standard they have to achieve and ensures the quality of project implementation. If the checklist is used during a training exercise, the standard could be that "by the end of the training, each participant will score a "yes" tick on most of the items on the check list" – perhaps eight out of ten or whatever you decide is appropriate.

(Adapted from Moynihan et al., 2004)

6.3 What Happens When Things Go Wrong?

No project is implemented perfectly from start to finish. There are always opportunities for improving the project. Often, HWT projects are implemented in challenging environments and project staff needs to be prepared to confront these problems as they occur. Regular monitoring will help you determine when your project is not going as planned or is not meeting your definition of success. A monitoring feedback loop is necessary to help determine when things are going wrong.

Regular monitoring enables the project manager to identify actual or potential problems as early as possible to facilitate timely adjustment. The project manager should track the outputs and measure their contributions to results by assessing changes from baseline conditions. The project manager also needs to keep an eye on key results because they can indicate whether a strategy is relevant and efficient.

Identify and select one individual on the project team to be in charge of monitoring the project. This individual is responsible for managing monitoring activities and comparing the data collected to the expected results, as well as organizing a regular monitoring review meeting. Based on the decisions of the monitoring review meeting, clear instructions should be provided to product manufacturers and field workers for improvements. Conclusions and recommendations from the monitoring report should also be provided to primary stakeholders such as end users.

There is no point in monitoring your project if you do not intend to use the results for improvement. A successful project has the following features in their monitoring process:

- Focus on results and follow-up: the team identifies “what is going well” and “what is not working” in terms of progress toward the intended results
- Regular communication with technician and field staff: the project team leader should be dedicated to assessing progress, looking at the big picture and analyzing problem areas
- Regular analysis of reports: the project team leader should quickly review production, follow-up, and financial reports
- Use of participatory monitoring mechanisms to ensure commitment, ownership, follow-up and feedback on performance. This includes forming small groups in the community and training them to monitor ongoing activities
- Assess progress and performance based on clear criteria and indicators stated in the project annual plan document. This also includes appreciating or acknowledging positive achievements and providing feedback on the areas that require improvement.

6.4 Differences Between Monitoring and Evaluation

In the project cycle, the consolidation phase included Monitoring and Review as well as Project Evaluation. Monitoring is a periodic process which assesses the project's approach, timelines, and implementation progress in order to obtain feedback. Evaluation is a one time activity or snapshot of the project. Often organisations working in developing countries consider follow-up and supervision to be monitoring. Monitoring, however, is more than follow-up and supervision. A systematic review of the activities and feedback is incorporated to improve the overall operation of the project. The table below shows the principal differences between monitoring and evaluation.

Comparison of Monitoring and Evaluation

Factor	Monitoring	Evaluation
Project goals	Not required	Conducted to ensure that goals and objectives are achieved
Frequency	Periodic, regular	At important milestones such as the mid-term of program implementation, at the end, or a substantial period after program conclusion
Main action	Keeping track, supervision	In-depth analysis, compare plan with actual achievements
Basic purpose	Improve efficiency, adjust work plan	Improve effectiveness and impact of future programming
Focus	Inputs, outputs, process outcomes, work plans	Effectiveness, relevance, impact, cost effectiveness
Information sources	Field observation, progress reports, rapid assessments	Same as monitoring plus surveys, studies
Undertaken by	Team leaders, community workers and funders	Team leaders, supervisors, funders, external evaluators
Reporting to	Team leaders, community workers, beneficiaries, funders	Team leaders, supervisors, funders, policy makers, beneficiaries

Project evaluation is not covered in dept in this manual; however, it is important to understand the differences between monitoring and evaluation.

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Appendix 1: Project Planning Tools

Appendix 1: Project Planning Tools

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Tool 1: Sustainability Matrix

What is it?

This tool involves making a matrix to explore and compare the sustainability of different activities and strategies.

Why use it?

The sustainability matrix can help to:

- Explore and compare the sustainability of different activities and strategies
- Improve activities and strategies so that they are more likely to continue
- Identify activities and strategies that are unlikely to continue in the future
- Identify things that may influence whether or not an activity or strategy continues
- Identify things that may influence whether or not the impact of an activity or strategy continues

How to use it

1. Discuss the meaning of the word 'sustainability'. There are two aspects to sustainability: implementation and impact. Implementation refers to the sustainability of conducting project activities. Impact refers to the sustainability of changes that a project has achieved beyond the end of project activities.
2. Draw an outline of a sustainability matrix using the example opposite as a guide. The number of rows is the same as the number of activities.
3. Place a card with the name of each strategy or activity down the left-hand column.
4. Discuss a scoring method. For example, numbers 1 to 5, where 1 is low and 5 is high. Participants can also use stones or beans to score.
5. Take one activity/strategy card at a time and score it for both aspects of sustainability: implementation and impact.
6. Add up the total score for the strategy. Put this in the last column.
7. Repeat steps five and six for each strategy.
8. Look at the whole matrix. Talk about whether the scores make sense or whether there should be further discussion.
9. Discuss:
 - Do any strategies need to be removed because they are not sustainable enough?
 - The main threats to carrying out the strategies.
 - How to overcome these threats.
 - How to improve strategies so that they can continue.
 - What help communities need so that the effects of a project continue

*Matrix showing the sustainability of strategies for implementing a biosand filter project.
Reference; Adapted from Project Design Workshop, Ulaanbaatar, Mongolia, August 2000.*

Sustainability Strategy	During implementation are the project activities sustainable?	Are changes likely to continue when the community has total responsibility?	Total Score
Community Health Promotion	4	4	8
Filter Production	5	4	9
Filter Training	3	3	6
Monitoring	2	2	4

(Adapted from International HIV/AIDS Alliance, 2006)

Tool 2: Problem Tree

What is it?

This tool involves participants using a drawing of the trunk, roots and branches of a tree to identify a problem relating to water and the causes and effects of the problem.

Why use it?

Using the problem tree helps to:

- Provide a visual and non-threatening way to look closely at problems relating to water
- Identify the main causes and effects of the problem
- Identify the issues that lie behind the main causes and effects
- Begin to identify what can be done to address the causes and reduce the effects

How to use it

1. Explain the purpose of the tool and ask participants to identify a problem related to water. This may have arisen from a previous tool. For example, 'high rated of water-related diseases'.
2. Make a large drawing of the trunk of a tree and draw or write the problem on the trunk.
3. Encourage the participants to identify all the main causes of the problem. Draw these along large roots of the tree, indicating that they are 'root' problems.
4. Select on the main causes. Ask, 'Why do you think this happens?' This question will help participants identify the 'secondary' causes. Draw or write the 'secondary' causes as small roots coming off the larger root of the tree.
5. Repeat the process for each of the main causes.
6. Encourage the participants to identify the main effects of the problem. Ask them to write each effect as large branches of the tree.
7. Select one of the main effects. Ask the participants, 'Why do you think this happens?' to encourage them to identify the 'secondary' effects. Ask them to write the 'secondary' effects as small branches coming off the larger branch of the tree.
8. Repeat the process for the other main effects.
9. When completed, discuss what the problem tree shows. For example, how do the causes and effects relate to each other? What are the root causes of the problem?
10. Participants can now turn the problem tree into a solution/objective tree to plan activities.

(Adapted from International HIV/AIDS Alliance, 2006)

Tool 3: Solution Tree

What is it?

This tool involves participants using a drawing of the trunk, roots, and branches of a tree to identify solutions, such as what will bring about that solution and what effects that solution will have. It is usually used to identify solutions to problems that have been identified using problem trees.

Why use it?

Using the solution tree helps to:

- Provide a visual and non-threatening way to identify solutions relating to water
- Identify what will bring that solution about
- Identify what effects that solution will have on a problem

How to use it

1. If you have done a problem tree for an issue, participants can easily turn it into a solution/objective tree by turning the negative statements of the problem tree into positive statements. For example, the problem of 'poor quality water' at the trunk becomes 'improved quality water'. This becomes our objective.
2. To understand how that objective can be achieved, participants can look at the root causes and turn negative statements into positive ones. For example, if one of the root causes was 'lack of knowledge among end users', it can be turned into a positive statement, or objective, like 'enhanced knowledge among end users'.
3. We can continue down the roots until the 'root' solutions/objectives to creating 'poor quality water' have been identified
4. We can now look at the possible effects that 'poor water quality' will have by (again) turning negative statements into positive ones.
5. If you have not yet done a problem tree, ask participant to identify a goal they have for improved water quality in their community, such as 'household water treatment use among end users'. Ask participants to make a large drawing of a trunk of a tree and draw or write the aim on the trunk.
6. Encourage participants to identify all the things which will bring about that aim. Draw these along large roots of the tree, indicating that these are the main 'root' solutions/objectives which will make them achieve this overall goal.
7. Select one of the main 'root' solutions/objectives. Ask, 'But how does this happen?' This question will help participants identify the secondary 'root' solutions/objectives required to bring about the overall goal. Draw or write the 'secondary' solutions/objectives as small roots coming off the larger root of the tree.
8. Repeat the process for each of the other main 'root' inputs.
9. Now encourage the participants to identify all the effects that fulfilling the objective will bring about. Ask them to write each effect as a large branch of the tree.
10. When completed, discuss what the solution/objective tree shows. For example, what activities can be done to make the solution/objective tree happen?

(Adapted from International HIV/AIDS Alliance, 2006)

Tool 4: Problem Wall and Solution Tree

What is it?

These tools are drawing tools that look at problems and solutions related to a particular topic.

Why use it?

Using a problem wall and solution tree helps to:

- Identify and discuss problems related to a particular topic
- Group together similar problems that may have the same solution
- Identify and discuss possible solutions for the problem

How to use it

1. Problem walls and solution trees work well with large groups of people in public places.
2. Cover a wall with paper and title one half of it 'problem wall'. On the other half draw a large tree and title it 'solution tree'.
3. Agree on a topic. For example, 'What are the water problems in your community?' Put this title of the topic at the top of the wall.
4. Cut up lots of 'brick-shaped' pieces of paper and 'leaf-shaped' pieces of paper. Put these in separate piles, with the bricks by the problem wall and the leaves by the solution tree. Put something nearby for people to be able to stick the leaves and bricks to the wall, such as glue or tape.
5. Invite people to think about the topic and write problems on separate 'brick-shaped' pieces of paper and stick these on the problem wall.
6. Ask participants to group similar problems on the wall.
7. Now ask people to consider these problem bricks and think of solutions to them. Invite people to write solutions on the 'leaf-shaped' pieces of a paper and stick these on the solution tree.
8. Group together any solutions that are similar.
9. If this tool is being used in a workshop setting, agree which solutions would be easy to do and those that would be difficult to achieve along.
10. Summarize the main points of the discussion.

Facilitator Notes

- These tools are very easy to set up and can be left for participants to complete anonymously. Clear instructions left by the problem wall and solution tree will help people to do the exercises themselves.
- Use symbols instead of words if people are not confident writers.

(Adapted from International HIV/AIDS Alliance, 2006)

Tool 5: Impact Matrix

What is it?

This tool involves drawing a matrix to show what impact a strategy or activity is likely to have.

Why use it?

Using an impact matrix helps to:

- Identify the likely impact of a strategy or activity. For example, it looks at:
 - The coverage of an activity – activities that reach many people are likely to have more impact than those that reach only a few people
 - The intensity of an activity – activities that work with the same group of people over a long period of time, using participatory techniques, are likely to have more impact than one-off activities which do not fully engage with people.
 - The balance between the numbers of people reached and the intensity of the project.
- Discuss how to improve the likely impact of a particular strategy or activity.
- Identify any activities or strategies that are unlikely to have an impact and therefore should not be done.

How to use it

1. Explain the meaning of the words 'impact' (the likely result of a project), 'coverage' and 'intensity'.
2. Explain that the likely impact can be judged according to coverage of that activity or strategy multiplied by the intensity of that activity or strategy. (Impact = coverage x intensity.)
3. If the group has not already identified potential activities and strategies to that problem, do this now.
4. Draw a matrix with four columns and four rows (see example below). Draw or agree symbols for the column headings.
5. Take each activity or strategy in turn. Decide with participants the number of people the strategy will reach – high, medium, or low coverage.
6. Discuss how intense the activity or strategy is: high, medium, or low intensity.
7. Write the name of the activity or strategy in the corresponding box of the matrix:
 - High coverage and high intensity activities should be placed in the top left-hand box of the matrix
 - Low coverage and low intensity activities should be placed in the bottom right-hand box of the matrix
8. Look at the whole matrix. Talk about whether the matrix makes sense or whether or not it should be changed. Move cards if necessary.
9. Discuss:
 - If strategies that are in the 'low' part of the matrix need to be improved
 - If any strategies need to be removed because they may have little impact

Facilitator notes

It is essential to look at the intensity of the activity as well as the number of people it will reach. An activity that works with people once or twice may have less impact than an activity that involves the same people over a period of time.

Impact matrix comparing Household Water Treatment strategies for intensity and coverage.

Reference: Adapted from Project Design Workshop, Kabwe, Zambia, April 2000.

Numbers reached Intensity →	High	Medium	Low
High	-Community Health Promotion -Education and training		
Medium	-School promotion	-Social marketing	
Low			Water testing

(Adapted from International HIV/AIDS Alliance, 2006)

Tool 6: Writing Aims and Objectives

What is it?

The tool helps to write aims and objectives for a project.

Why use it?

Writing aims and objectives help to:

- Identify and summarize the purpose of a project or activity.
- Identify and summarize what a project hopes to achieve.
- Provide a framework for planning.
- Provide information for monitoring and evaluation.

How to use it

1. Identify a set of problems to address.
2. Discuss the meaning of the word 'aim' (the overall purpose of the project).
3. Look at all the problems. Discuss and agree upon the overall improvement that the project hopes to achieve by addressing these problems. Ask a participant to turn this into a short sentence. Ask other participants if they agree with this. Once agreement is reached, record this as the project aim.
4. Discuss the meaning of the word 'objective' (a statement about specific activities of a project and what a project will achieve through these activities).
5. Explain how objective writing helps to answer the following questions:
 - What will change as a result of the activity?
 - Who will be most involved in the activity? Who will benefit most from these changes?
 - How much will the activity change a problem?
 - When will the activity be completed?
 - Where will the activity take place?
6. Explain that objectives should be smart: specific, measurable, achievable, relevant and time-bound:
 - **Specific** – an objective should say exactly what will be achieved, with whom, how, when and where.
 - **Measurable** – so you are able to tell exactly when the objective is achieved.
 - **Achievable** – it must be realistic given the circumstances you are working in and time you have available.
 - **Relevant** – it must relate to the problem being addressed.
 - **Time bound** – it must be achieved by a certain date and not go on and on.
7. Take one problem at a time. Using the 'What?' 'Who?' 'How?' 'When?' 'Where?' questions, decide on an objective that would address the problem.
8. Ask a participant to put the objective into a short sentence. Ask other participants if they agree with this.
9. Repeat this process for each problem until a list of objectives is created.
10. Read out the objective one by one. Make sure that each objective will contribute towards achieving the aim.

Examples of Objectives

- A project addressing health problems associated with poor water quality among end users may have as one objective: 'Within two years in Ulaanbaater, Mongolia, 75% of end users will use filtration consistently'.
- A community introducing a community health promotion project with volunteers who have no training may have as one objective: 'Within one year all community health workers in the community will have received basic training related to the physical and emotional well-being of people who are sick.'

(Adapted from International HIV/AIDS Alliance, 2006)

Tool 7: Feasibility Matrix

What is it?

This tool involves drawing a matrix to assess how realistic or practical it is to carry out a strategy or plan. It usually follows on from using a tool that has produced solutions or strategies to a problem.

Why use it?

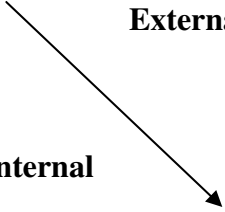
- Using the feasibility matrix helps to:
- Compare how feasible (realistic and practical) different activities or strategies are
- Discuss ways to make it easier to carry out each strategy
- Identify any activities or strategies that are not practical enough to carry out
- Select which activities or strategies to use according to how feasible they are

How to use it

1. Discuss the meaning of the feasibility (realistic, practical, do-able).
2. Select a problem and possible activities or strategies that the group have identified already.
3. Draw a matrix with four rows and four columns. Draw or write the column and row headings, as in the example opposite.
4. Explain that for an activity or strategy to be feasible, it must be both internally and externally feasible.
 - **Internal feasibility** – refers to how do-able or realistic the activity is in terms of factors relating to your organization or community. Does it have the human, physical, and financial resources to carry out the strategy or activity?
 - **External feasibility** – refers to how do-able or realistic the activity is in terms of how acceptable the activity will be to the group or groups of people you wish to work with.
5. Take one activity or strategy at a time. Decide what its internal feasibility is: high, medium, or low. Now decide what its external feasibility is: high, medium, or low. Write the activity in the corresponding box in the matrix. For example:
 - Activities which are highly feasible both internally and externally will go in the top left-hand box
 - Activities which are not very feasible both internally and externally will go in the bottom right-hand box
6. When all the activities are in place, look at the whole matrix. Talk about whether the matrix makes sense or whether it should be changed. Look at the whole matrix and discuss:
 - Are there any activities that are in the low part of the matrix that need to be changed or improved
 - Do any strategies need to be removed because they are not feasible?
 - Do we have enough financial, physical, and human resources to carry out the highly feasible activities at the same time?
7. If it is not practical to carry out all the activities agree which activities to remove.

(Adapted from International HIV/AIDS Alliance, 2006)

Feasibility Matrix

<div> <div>External</div> <div>Internal</div>  </div>	High	Medium	Low
High			
Medium			
Low			

Tool 8: Risk Assessment

What is it?

This tool uses a simple matrix to consider what risks an organization, community, individual or project faces, how likely they are to happen and what the impact of them will be.

Why use it?

Carrying out a risk assessment helps to:

- Identify hazards associated with a particular activity or solution
- Identify how likely stakeholders are to encounter that hazard
- Identify the impact a hazard might have on an activity or situation if it occurs
- Judge whether or not the risk associated with carrying out an activity, or being in a particular situation, is acceptable
- Decide whether or not to carry out a particular activity or be in a particular situation
- Identify how to lessen the likelihood of encountering a hazard, or lessen its impact if it does occur

How to use it

1. Draw a risk assessment matrix (see below)
2. Ask participants to think of all the potential hazards associated with a particular action or situation. For example, a hazard associated with a project might be that 'The funding for the activity stops' or 'People won't want to participate in the activity'.
3. For each hazard ask:
 - What is the likelihood of this happening – high, medium, or low?
 - What would be the impact on the activity if it did happen – high, medium, or low?

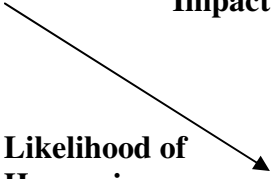
Write or draw the name of the hazard in the appropriate box. For example, a hazard that is highly likely to happen and will have a large negative impact will be written in the top left-hand box. A hazard which is unlikely to happen, and will only have a small negative impact if it does, will be written in the bottom right-hand box.

4. When this has been done for all hazards, ask participants to consider the risk assessment as a whole.

- What carries the most risk? What carries the least?
- Are the risks associated with a particular situation acceptable or not?
- How can they reduce the likelihood of encountering the hazard?
- How can they lessen the impact of the hazard if it does occur?
- What are their conclusions about a particular activity or situation?

Facilitator Notes:

- This tool is especially useful for assessing the risks associated with a project and those associated with certain behaviors.

Impact  Likelihood of Happening			
	High	Medium	Low
High			
Medium			
Low			

(Adapted from International HIV/AIDS Alliance, 2006)

Tool 9: SWOT (Strengths, Weaknesses, Opportunities, and Threats) Analysis

What is it?

This tool uses a matrix to encourage discussion about what the strengths, weaknesses, opportunities and threats of a particular situation are.

Why use it?

Using a SWOT analysis helps to:

- Review the strengths and weaknesses of an organization or an activity
- Identify the strengths, weaknesses, opportunities and threats to any situation
- Decide whether a group has the ability to carry out a project
- Look at the impact that the introduction of a new strategy may have on an organization's staff, volunteers, supporters, and activities.

How to use it

1. Discuss the meaning of the words:
 - 'strengths' – the good points about an organization, its activities or a situation
 - 'weaknesses' – the weak points of an organization, its activities or a situation
 - 'opportunities' – the positive openings that exist for the organization, activity, or situation
 - 'threats' – the things that are or will get in the way of the organization, an activity or situation achieving its goals
2. Draw a matrix with two rows and two columns (see example below). Write or agree symbols for headings of each box in the matrix.
3. Take each box in the matrix in turn;
 - Discuss the strengths of the organization to carry out an agreed project, strategy or activity. Draw or write all the strengths in the box of the matrix.
 - Discuss the weaknesses of the organization to carry out an agreed project, strategy or activity. Draw or write all the weaknesses in the box of the matrix.
 - Discuss what opportunities there are to carry out a new project, strategy or activity. Opportunities are usually things outside the group or organization. Draw or write all the opportunities in the appropriate box in the matrix.
 - Discuss what threats exist which will prevent or hinder a new project, strategy or activity. Threats are usually things outside the organization or group. Draw or write all the threats in the box in the matrix.
4. Discuss how participants can make use of the strengths, reduce the weaknesses and threats and make use of the opportunities to achieve their goals.
5. Summarize the main points of the discussion. Agree upon the next steps for action.

Strengths, weaknesses, opportunities, and threats of a household water treatment project.

<p>Strengths</p> <p>Local partnerships Resources available Trained staff</p>	<p>Weaknesses</p> <p>Lack of volunteers Lack of money for community health workers</p>
<p>Opportunities</p> <p>Link with national NGO Link with the church</p>	<p>Threats</p> <p>Unsustainable funding Government policy</p>

(Adapted from International HIV/AIDS Alliance, 2006)

Tool 10: Stakeholder Participation Matrix

What is it?

This tool identifies who should participate in a project or activity, at what stage and to what degree.

Why use it?

Using the participation matrix helps to;

- Identify all the different people, groups, or organizations who should participate in a project
- Agree at which stages of a project different people, groups or organizations need to be involved
- Agree how different people, groups or organizations need to be involved in a project
- Strengthen the impact and sustainability of a project by involving all the appropriate stakeholders to the degree they wish to be involved.

How to use it

1. 'Stakeholders' are people who have an interest in the outcome of the project. Discuss who the primary stakeholders of the project are – the groups, communities or organizations that are expected to benefit most from the project. Draw or write each primary stakeholder on a separate card. Make five copies of each card.
2. 'Gatekeepers' are people who control access to communities or groups who will be closely involved in the project. For example, gatekeepers in a household water treatment project may involve village chiefs. Discuss who the gatekeepers are for the project. Draw or write each gatekeeper on a separate card. Make five copies of each card.
3. Discuss who the secondary stakeholders are – for example, donors and other organizations working in the same area of work, local government departments or health services. Draw or write each secondary stakeholder on a separate card. Make five copies of each card.
4. Draw a table with seven columns and five rows (see below). Discuss the meaning of the words to be used for the column and row headings (see below).
 - 'Informed' means stakeholders are just told that an activity is going to take place
 - 'Consulted' means stakeholders are asked about their opinions on an activity
 - 'Joint decision making' means stakeholders make decisions about an activity together
 - 'Self-mobilization/sole responsibility' means that stakeholders take responsibility for doing an activity themselves without other stakeholder support. For example, in the stakeholder's participation matrix below, the NGO is solely responsible for monitoring the project.
5. Take one column at a time. For example, 'assessing together'. Take each of the different stakeholders or gatekeepers in turn. Discuss how each stakeholder or gatekeeper should be involved in the assessment. Agree what type of involvement they will have. For example, should the stakeholder self-mobilize, be involved in joint decision-making about the assessment, be consulted or will they simply be informed. Place each card on the matrix as appropriate.
6. Repeat this for each stage of the project with each of the different stakeholders and gatekeepers.

7. When the matrix is complete, look at the whole matrix. Talk about whether the matrix makes sense or whether it should be changed. Move cards if necessary.
8. Summarize and record the main points of the discussion
9. Now present the matrix to all these stakeholders and discuss with them whether they agree with the matrix. Adjust their type and degree of participation as they wish to participate.

Facilitator Notes

Participants' understanding of the terms 'gatekeepers' and 'stakeholders' may vary, so it is important to discuss this at the beginning of the activity.

Participation matrix showing who should be involved, how and when in a household water treatment project.

Stage of Project	Starting	Assessing	Planning	Implementing and Acting	Monitoring	Evaluating
Degree of Participation						
Responsibility						
Involved In Joint Decision-Making	NGO, Health Clinic	Community, NGO	NGO, Community, Local gov't	Community, NGO, Health Clinic		Community, NGO, Local gov't
Consulted	Community, Local gov't	Health Clinic	Community	Local gov't		Health Clinic
Informed		Local gov't				

(Adapted from International HIV/AIDS Alliance, 2006)

Tool 11: Thought Shower

What is it?

This tool involves participants sharing their opinions, feelings, and ideas about water problems in their community. Thought showers are also called brainstorm or ideas showers.

Why use it?

Using a thought shower helps to:

- Provide a non-threatening way for people to express their opinions and feelings about water problems in their community
- Allow participants to explore new ideas
- Identify whether there is, or is not, agreement about issues relating to water.

How to use it

1. Divide the participants into four groups and give each group a different colored pen.
2. Think of four challenging situations relating to water in the community. Examples might include 'high cases of diarrhea.'
3. Write each of the situations on the top of a large piece of paper. Put the pieces of paper up on walls or trees in different places in your work area.
4. Ask each group to stand by a piece of paper. Ask them to write down as many ideas as possible about how to improve the challenging situation. Before they start, stress to participants that at this stage any and all ideas should be written down without anyone judging them.
5. After five minutes, shout 'Change!' and ask each group to move to another piece of paper. Ask them to add to the ideas written by the previous groups.
6. After five minutes, shout 'Change!' again. Repeat the process until all of the groups have been added to all of the pieces of paper.
7. Bring the participants back together. Read through what they have written on the pieces of paper and ask them to explain anything that is unclear.
8. When the activity is complete, encourage the participants to discuss what they have learned. For example, how difficult was it to think of ideas? Did the groups have similar or different ideas? Which of the ideas could be put into practice quickly? What resources would be needed?

Facilitator Notes

- Thought showers aim to help people express themselves freely and openly. So it is important to create a 'safe space' where people will not be judged for what they say.
- If some participants have difficulties with writing, ask all participants to use symbols instead of words.

(Adapted from International HIV/AIDS Alliance, 2006)

Tool 12: Activity Prioritization Grid

What is it?

This tool uses a matrix to prioritize different tasks according to their relative importance.

Why use it?

Using an activity prioritization grid helps us to:

- Prioritize activities to be done
- Decide which tasks are important and urgent
- Decide which tasks are important but not urgent
- Decide which tasks are urgent but not important
- Decide which tasks are neither urgent nor important

How to use it

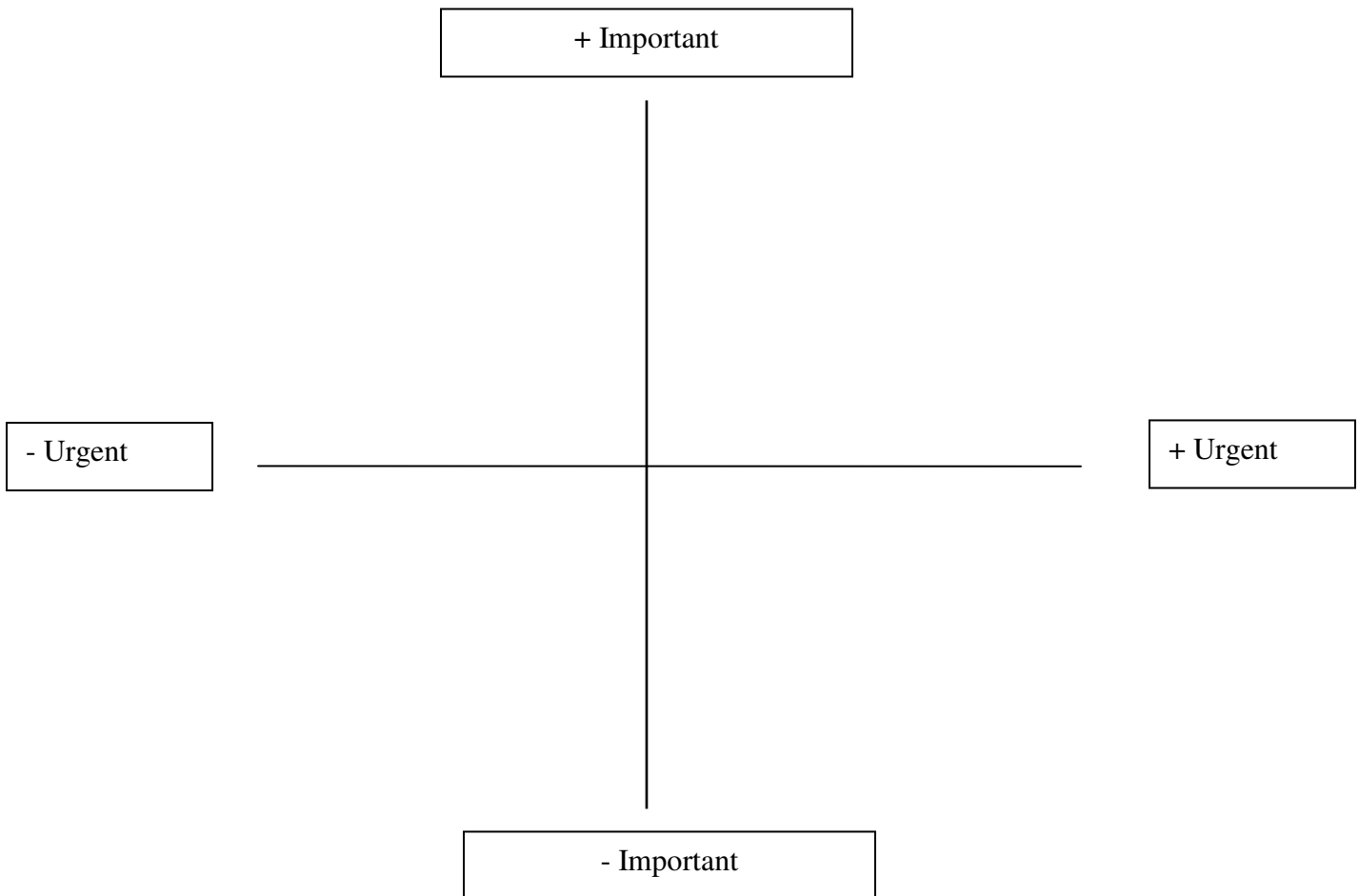
1. List all the tasks that a group needs to carry out and number them.
2. Draw the activity prioritization grid (see illustration below). Write or agree upon a symbol for the headings with participants.
3. For each task decide how important and urgent it is.
4. Place the number of each task on the grid as follows:
 - Tasks that are important and urgent should be placed towards the top right of the grid. Deal with these tasks first.
 - Tasks that are not so important, but urgent, should be placed towards the bottom right of the grid. Deal with these tasks second.
 - Tasks that are important, but not urgent, should be placed towards the top left of the grid. Deal with these tasks third.
 - Tasks that are neither urgent nor important should be placed towards the bottom left of the grid. Deal with these last.

For example, in the illustration, the task of getting funding is both important and very urgent. It is therefore placed in the top right-hand of the grid. The task of choosing facilitators is not very important but it is urgent, so it will go in the bottom right-hand corner of the grid. Planning the workshop is quite important and quite urgent and is therefore

(Adapted from International HIV/AIDS Alliance, 2006)

Activity Prioritization Grid

(Adapted from International HIV/AIDS Alliance, 2006)



Tool 13: VEN Sorting

What is it?

VEN sorting is a card-sorting tool. It helps decide whether different activities, resources or services are Vital (V), Essential (E), or Not Essential (N) to the success of achieving a goal.

Why use it?

Using VEN sorting helps to:

- Show whether activities, resources or services are vital, essential or non-essential.
- Make decisions on what to do and what not to do when resources are limited.
- Draw up a budget.

How to use it?

1. VEN sorting works best with small groups of people.
2. Write or draw symbols on three separate heading cards to show:
 - **Vital** – something that is so important that the goal cannot be achieved without it.
 - **Essential** – something that is important but not vital
 - **Not Essential** – something that is good to have or to do, but that you can manage without.
3. Consider a goal you want to achieve and ‘thought shower’ all the different activities, resources or services that might be needed to achieve it on separate pieces of card or paper.
4. Put the three cards on the wall or on the ground.
5. Sort these cards under the three different headings, consider whether each is vital, essential, or not essential.
6. When the sorting is complete, look at the cards under each heading. Agree whether they make sense or whether there should be further discussion.
7. Decide which things to do and which not to do.

Facilitator Notes

- Encourage participants to decide what is vital, essential, and not essential based on the objectives of the project or needs of the service users rather than according to their own priorities.

(Adapted from International HIV/AIDS Alliance, 2006)

Tool 14: Project Planning Timeline

What is it?

This tool uses a timeline or calendar to show what a project will do, and when.

Why use it?

Using a project planning timeline helps to decide:

- What will be done – for example, what activities will we use to start together, assess together, plan together, act together, monitor and evaluate together?
- Who will do each activity?
- When will each activity be done?
- If a plan is realistic
- If additional resources will be needed.

How to use it

1. Consider the project you wish to implement – for example, a biosand filter project. Identify all the activities required to implement biosand filters.
2. Write or draw each activity on a separate card
3. Draw a long line (timeline) to represent the length of the project – for example one year.
4. Agree a way to divide up the year. For example, participants may see the year divided up into seasons, quarters, months or by important ceremonies and festivals.
5. Discuss the order in which the activities will take place. Place the activity cards on the calendar in the order they will take place. There may be overlap between activities. Some activities may be repeated. This is okay.
6. Look at each activity card. Discuss who is responsible for each activity. Draw or write who is responsible underneath the appropriate activity. Some activities may be done by more than one person or organization. This is okay.
7. Look at the timeline. Identify any activities that may have been forgotten. Look at whether activities related to the following have, if necessary, been included.
 - Activities to address identified problems
 - Activities to build community capacity
 - Activities to build partnerships with other organizations
 - Monitoring and evaluation activities
8. Write or draw any additional activities identified on separate cards. Place these on the timeline
9. Look at the timeline. Discuss whether it is realistic. If it is not realistic, what changes need to be made? Are additional resources needed to carry out the work plan? What are these resources? How do we get them?

Facilitator Notes

- It is important to be very specific when discussing activities. Help participants to break down large activities into small activities
- Remember that if a stakeholder is not present when their roles and responsibilities are being discussed, they must be fully consulted before plans are finalized.

(Adapted from International HIV/AIDS Alliance, 2006)

Tool 15: Advanced Project Planning Timeline

What is it?

This tool uses a timeline to show what a project will do and when according to pre-established milestones and activities. This method of displaying the entire assessment plan on a simple timeline is valuable for visualizing the entire process and to understand the steps necessary to complete the project. By breaking down the project into milestones, participants can focus on the specific activities required to complete each portion of the project.

Why use it?

Using a project planning timeline helps to decide:

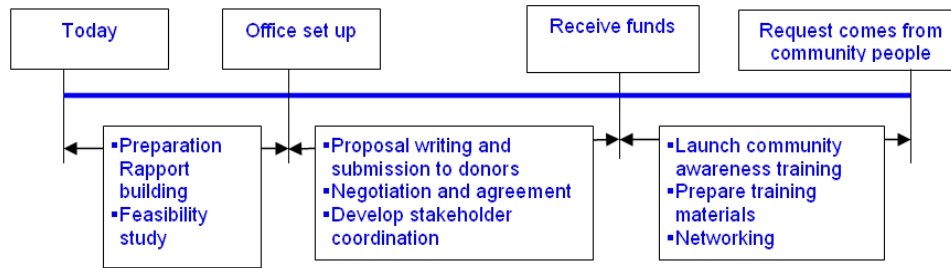
- What activities are required to reach each milestone
- If a plan is realistic
- If additional resources will be needed

How to use it

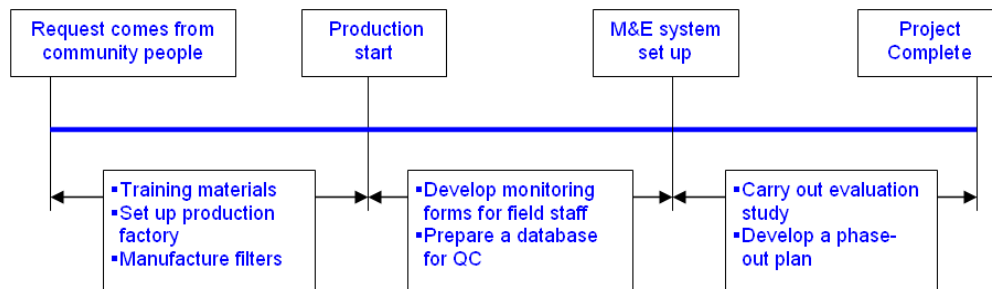
1. Start by drawing a long line on the blackboard or wall. The extreme right end of the line is the project completion. The extreme left end is the project start date (often times the project start is 'today'; the time of the planning session). This line is referred to as a 'project timeline'.
2. Following the example below, draw boxes above the line to illustrate milestone and draw boxes below the line to illustrate activities.
3. Begin with the end of mind and work backwards to develop a project plan. Determine what the end project will look like and agree upon which activities are required to meet this goal.
4. Repeat step 3 for each milestone.

(Adapted from International HIV/AIDS Alliance, 2006)

Example of Household Water Treatment Project Timeline



Continue Timeline



Tool 16: GANTT Chart

What is it?

This tool outlines who will do what and by when. The timeline can be organized into weeks or months as agreed upon by the participants.

Why use it?

A GANTT chart helps to:

- Track progress
- Set deadlines
- Visualize the time required to complete each milestone
- Visualize the time required to complete the project

How to use it

1. Create a table as outlined in the example below.
2. In the first column list the key milestones.
3. For each milestone, list the key activities required to reach each milestone.
4. Agree upon the time frame; are we speaking in terms of weeks or months or seasons etc.
5. For each activity determine when it should be started and when it should be completed. An example is provided below.

GANTT Chart

Milestone	Activities	Timeline - Months			
		Month 1	Month 2	Month 3	Month 4
Milestone 1: Community Identification	Baseline health conditions researched	X			
	Baseline water quality researched	X			
	Contacted Partners and Community Leaders	X			
	Security situation assessed	X			
Milestone 2					
Milestone 3					
Milestone 4					
Milestone 5					
Milestone 6					
Milestone 7					
Milestone 8					

Tool 17: Action Planning

What is it?

This tool uses a simple matrix to plan who will do what, by when and with what resources. It is especially useful for planning with communities and groups of individuals.

Why use it?

Action planning helps to plan:

- Which activities to do
- When the activities will be done by
- What resources will be required to implement the activities.

It is an especially useful tool to use after objectives have been set.

How to use it

1. Draw an action planning matrix (see below).
2. Ask participants to identify solutions and objectives to address a problem.
3. Ask participants to think about potential activities which will make those solutions come about, and put these in the left-hand column.
4. For each activity, ask participants who should carry it out. Should it be done by them alone? With others? Or by other people or organizations? Write the names of each person or organization in the appropriate column.
5. Now ask participants when each activity should be done. Should it be done straight away (now)? Soon (within weeks / a few months)? Or later (a few months later)? When they have decided broadly when it will be done by, ask them to write a specific date in the appropriate column.
6. Now ask participants to consider what resources will be required to implement each activity successfully. These could be physical (for example, tools, transport), financial or environmental resources. Write these resources in the last column.
7. Agree with participants which individual people will take the lead responsibility for each activity to make sure it is done. Write the names of these people next to each activity.
8. Ask participants to look at the action plan as a whole. Does it make sense? Is anything missing? Is it realistic?

Facilitator Notes

It is important to be very specific when discussing activities. Help participants to break down large activities into smaller ones

Remember, if a stakeholder is not present when their roles and responsibilities are being discussed, they must be fully consulted before plans are finalized!

(Adapted from International HIV/AIDS Alliance, 2006)

Action Planning

(Adapted from International HIV/AIDS Alliance, 2006)

Activity	By Who?			By When			Resources required
	On Our Own	With Others	By Others	Now	Soon	Later	
Activity 1							
Activity 2							
Activity 3							
Activity 4							

Tool 18: RACI Chart

What is it?

The Responsibility (R), Action (A), Consult (C) and Inform (I) chart helps to communicate the various roles and responsibilities among several people involved in completing an activity.

Why use it?

The RACI tool helps to:

- Define who is ultimately responsible for that activity to be completed
- Define who will need to take some form of action pertaining to an activity
- Define who will need to be consulted
- Define who will need to be informed.

How to use it

1. Define the following terms: 'responsibility', 'action', 'consult' and 'inform'.

R = Responsibility

The 'R' role is held by just one person. This is the individual who is ultimately responsible for that activity being completed on time and on budget. Even if several other people will be working on that activity, only one person is assigned the 'R'.

A = Action

All the people who will need to take some action to complete that activity is assigned an "A" in the RACI chart. Anyone and everyone who will take some action should be included as an 'A' for that activity.

C = Consult

This refers to those people who must be consulted and give a reply. For example, if approval of funds is required, then the person who will give the approval would be assigned a 'C' on the RACI chart.

I = Inform

With many activities there are a number of people that need to be informed about various aspects however no reply is required. This may be for example, the recipients of progress reports or draft results. These people would be assigned an 'I' in the RACI chart. Note that the same person can be included in more than one way (i.e. 'A' and 'I')

2. Create a table as shown below.
3. In the first column, list the milestones and activities.
4. Assign roles for each activity. It is important that each person understands and agrees to the responsibilities assigned to them and be prepared to report progress back to the team as the assessment progresses.

The following is an example of a RACI chart:

Activities	R	A	C	I
1. Office Set-up				
• Preparation and hiring the project team				
• Information collection				
• Coordination and stakeholder involvement				
• Rapport building				
2. Receive Funds				
• Field visits and information collection				
• Proposal writing and submission to donors				
• Negotiation and agreement				
• Develop stakeholder coordination				
3. Request comes from community People				
• Networking				
• Promoting partnership				
• Community awareness				
• Preparing training materials				
4. Production Starts				
• Setting up a manufacturing and training workshop, procuring tools and materials				
• Develop tool inventory				
• Manufacture filters				
• Filter installation in household				
5. Set-up Monitoring and Evaluation System				
• Develop M&E forms				
• Prepare a database				
• Carry out M&E study				
• Develop a phase out				
• Phase out				

Tool 19: Low Hanging Fruit

What is it?

Low hanging fruit is a tool that involves drawing a tree and its fruit. The tree represents the project or program. The fruits of the tree represent different activities or services within the project. If the fruits are 'low hanging', they will be easier to carry out. If they are 'high hanging', they will be harder to carry out.

Why use it?

- For project and program planning.
- To discuss why certain activities or services would be easier than others to introduce or carry out.
- To discuss both barriers and opportunities to carrying out or introducing new activities or services.

How to use it

1. Explain to participants the aim of the exercise: to identify which fundraising activities will be easier to start and which will be harder; and to discuss some of the barriers and opportunities to starting these activities and services.
2. Ask people to draw a tree which has both high and low branches.
3. Ask people to draw on separate cards new activities or services that they think should be introduced to implement a household water treatment project.
4. Explain the idea of low hanging fruit: 'low hanging' fruit is the easiest fruit to pick from the tree and links with the idea that some fundraising activities would be easier to introduce and carry out. Fruit that is hanging higher on the tree would be harder to pick.
5. Ask participants to place the fundraising activities on the tree according to whether they think they are 'low' or 'high' hanging fruit.
6. Ask participants to discuss things that will get in their way of carrying these out and opportunities that exist to begin these activities or services. If after discussion they wish to move the fruit lower or higher up the tree, let them do so.
7. Ask one of the participants to present a summary of the tree and encourage others to ask questions and make comments or suggestions.

Facilitator Notes

- Ensure that people are given the opportunities to discuss both barriers and opportunities before placing their cards on the tree.
- This tool can follow any other tools that have been used to discuss the introduction of new projects and services as well.

(Adapted from International HIV/AIDS Alliance, 2006)

Tool 20: Structured Observation

What is it?

Structured observation is a systematic technique for observing and recording particular practices.

Why use it?

To obtain useful and timely information by observing what people do, to help make decisions on improving project performance, or for generating insights and findings for more focused studies. This method complements collected data and can be used to understand the context in which information is collected and can help explain results.

How to use it

1. Set the guidelines for what needs to be observed and the information required.
2. Choose an appropriate observer or group of observers.
 - Observers can be community members and project staff who live and work full-time in the project area. These observer should be trained in observational skills
 - Observers can also be people from outside the community. Note that outsiders may need more time to know what is significant. On the other hand, they sometimes notice significant issues that local people no longer see or take for granted.
3. Collect and record the data.
4. Organize a time to discuss the recorded observations.

Facilitator Notes

- This method is also known as “participant observation” and is a common research method for social issues and processes.
- People often forget this simple method. Everyone observes automatically. But you can make observations more effective by viewing it as a valid method and structuring its use. Much can be learned by watching what people actually do. Useful information and new insights can often be gained from observation that would otherwise not be obtained.
- Observation can be used to cross check responses received by other methods.
- There is always the potential to introduce bias into the results. Asking several people to undertake observations in the same way can help to confirm the results and improve the quality of the data.

(Adapted from IFAD, nd)

Tool 21: Questionnaires and Surveys

What is it?

Questionnaires and surveys are used to gather data from a large number of people in a structured way. The terms questionnaire and survey are often used interchangeably but can be distinguished as follows:

- A questionnaire is a form with questions used to gather information from people.
- A survey is a more general term that might be one or two simple questions to be answered or could even be a long questionnaire.

Why use it?

Questionnaires and surveys allow for focused data collection that can be used for statistical analysis. They can provide precise answers to carefully defined questions.

How to use it

1. Agree on the purpose and information needs.
2. Decide whether a questionnaire or survey format should be used. The formats can range from being very simple to quite complex.
3. Create your questionnaire or survey. They can use a very specific and structured set of closed questions (yes/no or multiple choice) or they can also include open-ended questions. Closed questions are good for gathering data that needs to be statistically analyzed. Open-ended questions are good for determining people's feelings or attitudes. For example,
 - Closed question (yes/no answer): Do you have enough water to satisfy your family's needs?
 - Open-ended questions: Where do you get your water from? Do you have enough water for your family today? This week? How many months of the year do you have a water shortage? What do you do during this time?
4. Determine who should be questioned and how many people should be included in the sample.
5. Decide on the most appropriate manner of questioning. For example, a mailed out written form, telephone survey, individual interviews.
6. Collect and analyze the information.

Facilitator Notes

- Often projects make the sample too big and ask too many questions. This makes analysis a tedious job and loses its usefulness. Long questionnaires and surveys are also time consuming for the respondent to complete.
- Answers which must fit a certain set of options or format will also fail to pick up on deviating answers and opinions. Be aware that you might be missing out on important details and variations to the questions.

(Adapted from IFAD, nd)

Tool 22: Interviews

What is it?

Conducting interviews is a way to explore what people think about an issue without the formality of a questionnaire or survey. The interviews are open-ended and use a discussion guide, such as a checklist.

Why use it?

To gain information from an individual or small group, using a series of broad questions to guide the conversation, but allowing for new questions to come up as a result of the discussion. Interviews can be especially informative when conducted with key informants, such as community leaders, health workers, teachers, government officials, etc. They are helpful for assessing unintended impacts, opinions about the quality of project services, etc.

How to use it

1. Set the guidelines for what information is required and create an interview checklist of open-ended questions. The questions should be such that interviewees can express opinions through discussion. A logical sequence to the questions will help the discussion flow.
2. Select who should be interviewed, how many are required, and whether interviews should be with individuals or in a group.
3. Choose appropriate people to conduct the interviews. Interviews are best facilitated in pairs – one person to perform the interview and the other to take notes.
4. Make an appointment at a suitable time for them.
5. Prepare beforehand what you want to find out, but try not to read out questions during the interview.
6. Take notes of their answers.
7. At the end of the interview, ask the person being interviewed whether they have questions to ask you. Be prepared to answer these as best you can, and when you don't know the answer, offer to find out and return with a response.
8. Summarize what you have discussed and agreed at the end of the interview and thank them for their time and participation.
9. Produce a short summary of what each person said, including the main points.
10. Look over the responses and once you have looked at about 25% of the interviews, note the points most frequently mentioned. Then read the remaining responses and record how many interviewees have responded to each of these main points. Alternatively, divide the responses into those “for” and “against” a certain issue or divide them to show various degrees of enthusiasm about an issue.
11. Take out any important quotes to emphasize certain points.
12. Prioritize, summarize and analyze the information.
13. Organize a time to discuss the results.

Facilitator Notes

- Open-ended information is more difficult and time-consuming to synthesize well enough to obtain clear results. It can be difficult to keep interviews focused, making different interviews difficult to compare properly

(Adapted from IFAD, nd and Ferron, 2000)

Tool 23: Focus Groups

What is it?

Focus groups are an effective way of gathering information on people's ideas, beliefs, practices and behaviour. They gather together people with similar backgrounds for a detailed discussion about a subject.

Why use it?

To collect general information, clarify details or gather opinions. It can also be used to build consensus. Focus groups are good for assessing opinions of change, assessing the quality of project services, and identifying areas for improvement.

How to use it

1. Select the participants (four to eight people is ideal). Depending on your purpose, you can work with a homogeneous or heterogeneous group. Alternatively, use a number of focus groups, each one fairly the same, but the groups being different from each other. This allows interesting comparisons.
2. Introduce yourself to the group and explain very clearly the object of the exercise and that you hope everyone will learn from each other. Explain that there are no right or wrong answers to the questions. Stress that people should try not to interrupt others when they are talking, and that everyone's point of view will be valued.
3. Present the group with a broad question. For example, What impact do you think a particular intervention has in changing the community's behaviour?
4. Discuss this question for a time period agreed upon beforehand. There should be minimal intervention by the facilitator other than to make sure that everybody has a say. Perhaps you might need to repeat the question using different words from time to time or to probe if something is not clear.
5. Take detailed notes of the discussion. Focus groups are best facilitated in pairs – one person to facilitate the discussion and the other to take notes. The discussion can also be recorded to ease the review process, but only if the participants have consented and are comfortable with it.
6. Bring the session to a close when you feel the subject has been exhausted (maximum of 1.5 hours). If problems have been identified try also to get people to consider any possible solutions and how they intend to implement them.
7. Thank the participants for their time and participation.
8. During analysis, take out any important quotes to emphasize certain points.
9. Prioritize, summarize and analyze the information.
10. Organize a time to discuss the results.

Facilitator Notes

- If facilitated well, this method can bring out detailed information. However, facilitation of focus groups requires considerable skill – both in moderating the group and in adequately recording the responses. They are less useful in the hands of a person who does not know how to actively listen or effectively ask open and probing questions.
- This method can generate insights more quickly and generally more cheaply than through a series of structured interviews or surveys.

(Adapted from IFAD, nd and Ferron, 2000)

Tool 24: Most Significant Change

What is it?

The most significant change tool is a story that describes an important change that has happened due to project activity, and what a person thinks about this change.

Why use it?

The most significant change tool is useful to:

- understand the impact the activity or project is having on people
- understand what, if anything, has changed as a result of project activities
- understand the reasons for this change
- explore what people think about this change, for example, do they think it is a good change or a bad change?
- identify what changes are seen as significant by communities and what are not
- identify how to improve project activities.

How to use it

1. Agree how often to use the most significant change tool and with whom. For example:
 - at the end of the project with primary stakeholders to evaluate the impact of the activity
 - every three or four months with the all project stakeholders to monitor progress.
2. Ask a stakeholder (or small peer group) to identify what they feel has been the most significant change related to the project during the time period.
3. Ask the stakeholder to describe the significant change. Asking them to draw pictures of the most significant change can be used to help the discussion. Ask why the person thinks this change is significant.
4. To find out about specific changes, you can also ask stakeholders what they think is the most significant change for:
 - themselves as individuals
 - the peer group they belong to
 - the community as a whole
 - the services in the community.
5. You can use how people define significant change to set community-based goals for the project. For example, if people say that a significant change for them was 'the community works closer together now', then 'the community works closer together' can become a new goal of the project.
6. Share most significant change stories with different people involved with the project.

Facilitator Notes

- Describe time periods according to local calendars.
- Encourage participants to tell stories about negative changes or frustrating experiences in order to build up a balanced view.
- If people have trouble identifying changes related to project activities, explore the reasons for this. Perhaps there have not been any significant changes.

(Adapted from International HIV/AIDS Alliance, 2006)

Tool 25: Before and Now Diagram

What is it?

A before and now diagram is a diagram that shows change. This might be change in a situation since a significant event, such as the start of a community initiative.

Why use it?

A before and now diagram is useful for:

- exploring change over time in a particular situation, and the reasons for change. For example, changes explored might include changes in behaviour, knowledge and attitudes in a community
- exploring the consequences of a particular event – for example, an important change in law
- assessing the effectiveness (impact) of a community initiative
- exploring how significant events have affected people differently.

How to use it

1. Explain the purpose of the diagram to participants.
2. Agree what time period is described by 'before'. This might be the time before an important event or development – for example, before an important change in law, before the start of a community initiative, or before safe water in the community.
3. Draw or write about the situation as it was before the event or development. Examples of what participants might want to think about are changes in individuals' attitudes and behaviours, the community, services, policies and laws, the economy or environment.
4. Now ask participants to draw or write about the situation as it is now.
5. Ask participants to compare and present the two drawings or descriptions. Discuss what has changed, what has not changed, and the reasons for this.

Facilitator Notes

- When discussing change at community level, it is important to make sure that different views are well represented, as people will have experienced change differently.
- The before and now diagram is a useful tool for monitoring or assessing change – for example, what has changed as a result of community action?
- Encourage a balanced assessment by discussing what has not changed, as well as what has changed.

(Adapted from International HIV/AIDS Alliance, 2006)

Tool 26: Monitoring Matrix

What is it?

A monitoring matrix is a chart that shows what activities are working well and what needs improving according to those who are participating in it.

Why use it?

A monitoring matrix is useful to:

- Monitor the progress of activities with members of the community or project
- Understand what different people think about activities that were done
- Explore the positive and negative results of activities
- Explore who has been involved in activities, who has benefited from them and why
- Explore what could be improved about the activities
- Start to identify what other activities might be needed

How to use it

1. Small or large groups can make a monitoring matrix. Divide larger groups into peer groups to explore different views.
2. Agree what activities are to be discussed. Show the activities down the left-hand side of the chart (pocket chart, paper, or on the ground).
3. Agree on important questions to be discussed about the activities. For example:
 - Has the planned activity taken place?
 - Have they happened according to the timeline?
 - Have all the people who wanted to be involved in the activity been involved?
 - Has attendance increased?
 - Has the activity had the effect people wanted?
4. Show these questions at the top of the chart.
5. Discuss each question for each activity listed on the left-hand side.
6. Participants can use counters to score the degree to which an outcome has been achieved for each activity. For example, scoring out of 10, with 10 being “completely achieved” and 0 being “not achieved at all”.
7. Discuss what is shown on the chart and the following questions:
 - Are there activities which were planned but not have taken place?
 - What is the most positive change?
 - What is the most negative change?
 - How can we improve activities?

Facilitator Notes

- If this tool is used to develop a community-level analysis, it is important to make sure that different views are well represented.
- Discussing negative views as well as positive views will help show how to improve the activities. Discuss ideas for new activities.
- If participants know less about the activities than expected, explore the reasons for this.

(Adapted from International HIV/AIDS Alliance, 2006)

Appendix 2
Request for Project Funding: Sample Proposal

Request for Project Funding: Sample Proposal

The following is an example of a proposal that was written for a 20 biosand filter pilot project in Namibia. All names are fictitious.

Project Description:

The Namibia Grass Roots Development Team will train and assist a group of local entrepreneurs in the production, installation, and effective delivery of Biosand Water Filters (BSF) to 20 households in two communities (Nkurenkuru and Nyangana) in the rural area surrounding Rundu. The project will involve four broad components as articulated in GRDT's BSF Implementation Strategy:

- 1) marketing the filter
- 2) production and installation
- 3) user education and monitoring filter operation and maintenance
- 4) reporting on overall implementation

The associated tasks will be carried out by the trainees in partnership with the targeted communities, under the support and supervision of the GRDT Support Unit and Rundu GRDT. This project will engage key health sector members of the selected communities and train them on how to educate users, perform follow up assessment, and promote broader awareness. Among those producing the filters, capacity will be built through technical and essential self-employment skills training and the further development of productive capabilities. As a pilot project, implementation will involve a simple but thorough and transparent approach that will record specific outcomes within each component of implementation. It will be concluded with a thorough report, focusing on the potential and critical features for broader implementation.

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1. CONTEXT

1.1 Situational Analysis

A significant proportion of the Kavango Region's rural population continues to suffer from severe poverty and an inadequate water system continues to be a critical barrier to their development. Although significant measures have been taken to supply the Kavango Region's villages with water, the potential for contamination still exists. The river water itself is susceptible to contamination by the animals and humans living along its edge and during the rainy seasons, flooding may cause contaminants to infiltrate other source water. In addition, the quality of sanitation also continues to be an issue in the region, allowing disease carrying micro-organisms to be dispersed by a variety of vectors (humans, insects, animals, etc.).

1.2 Project Rationale

The BSF eliminates approximately 95% of the bacteria found in contaminated water and 99-100% of other contaminants – levels that are below the minimum for infection. If the targeted families continue to operate and maintain their filters, it will reduce the likeliness of illness, therefore increasing their ability contribute in other development sectors such as education and employment.

The BSF is the ideal intervention for this context. It is a household device, putting its very simple operation and maintenance in the hands of the user and avoiding the complications of coordinating a broader water system. Additionally, it is easily constructed and installed, which ensures a reliable production source. By utilizing the existing community structures, the households will have the necessary support to adopt the technology and improve their standard of living.

2. IMPLEMENTING ORGANIZATIONS

2.1 The Namibia Grass Roots Development Team with Rundu GRDT

GRDT supports community-based, community-managed and community-administered centers that offer competency-based skills training to unemployed young Namibian men and women, and other disadvantaged persons. As the national umbrella body for the Grass Roots Development Centers (GRDCs), it is a registered trust whose main purpose is to:

- Provide guidance to the GRDCs in terms of their activities and management
- Raise money, allocate funds to GRDCs, and monitor GRDC expenditures

- Develop, implement and enforce training and skill testing standards
- Receive and assess requests from communities for the establishment of new skill training initiatives, and support existing skill training activities.

GRDF is also involved in a variety of other training initiatives in the formal and informal sectors, including offering short courses focused on specific types of products and enhancing existing skill levels. The Foundation has also partnered with other training providers that have requested support in their own efforts to assist Namibians to engage in some form of income earning activity.

2.2 Partners

The strength of the BSF Pilot Project is that it will engage the communities and allow them to play a significant role in implementation, without demanding any overwhelming contributions from them. Community leadership in Nkurenkuru and Nyangana has expressed their support for the project and agreed to send health sector representatives for training in monitoring the maintenance and operation of the filters.

The Centre for Affordable Water and Sanitation Technologies (CAWST) from Canada, who first introduced BSF technology to Namibia in September 2006, has agreed to offer its support in the implementation stage. A representative will be in the area in March 2007 to perform additional training and evaluate existing production and installation.

A similar pilot project has just commenced at the Zambezi Skills Development Centre in Katima Mulilo. COSDEF has assisted in getting this venture started and is following its implementation closely. Cooperation will continue and be an integral part of getting the BSF into the households that need it.

The existing partnership between Rundu GRDT and the Rundu Skills Development Centre will allow for collaboration in material and equipment procurement.

3. BENEFICIARIES

The BSF Pilot Project has two categories of beneficiaries:

- a) 4 Unemployed Youths: The unemployed youth selected for the training and production unit of this project will gain the expertise to begin their own self-sustaining BSF production enterprise. 200,000 Namibians continue to live with an inadequate water supply, which represents a large market for self employment.
- b) 20 Families of the Kavango Region: Those who begin to use the filters in their homes will benefit from the clean water that it will supply them with, therefore reducing the potential of falling ill and improving their ability to be productive community members, attend school, and earn an income.

4. SUSTAINABILITY:

4.1 The BioSand Water Filter

The BSF has been designed for sustainability. It is a durable device that is easy to use and maintain. Once the filter has been introduced into a household and proper user operation and maintenance is ensured, the filter has the potential to last for several years (one of the first filters produced, installed in Nicaragua in 1998, is still operational).

4.2 Linkage Model

As an organization, GRDT focuses on promoting sustainable livelihoods among trainees. To further this objective, it has used the Linkage Model to integrate workplace essential and entrepreneurial skills training alongside all other technical training. Trainees develop their practical skills with a project focus that runs them through exercises in product design and specification, production planning, costing and pricing, quality control, and marketing. The idea is to empower individuals to secure their own livelihoods, rather than simply fill gaps in an uncontrollable job market.

4.3 Guiding Principles

The GRDT BSF Implementation Strategy stipulates four guiding principles that will ensure sustainability:

- **social responsibility:** all training involves an educational component on various local issues and the broader goal of improving the standard of living;
- **partnership:** a coordinated effort that engages all stakeholders' existing framework for action will help drive the project after the pilot phase;
- **community driven:** communities accept and embrace the filters within their own living context and structures;
- **proven training methods:** both CAWST curriculum and GRDC training methods prepare participants for their own independent futures;

4.4 Broader Implementation

The initiation of a BSF production unit in the pilot phase will carry over to broader BSF implementation. Rundu GRDC will continue to offer the necessary support as this unit evolves into its own self-sustaining enterprise and continues to deliver an improved water system to Namibians.

5. PROJECT OVERVIEW:

5.1 Purpose

To decrease the potential of illness in Kavango Region communities by introducing the BSF into households. Also to generate activity in the SME sector by training and assisting disadvantaged youth in the entrepreneurial delivery of this improved water system.

5.2 Expected Outcomes

- Knowledge and general acceptance of the BSF in the targeted Kavango communities, as well as broader awareness throughout the region.
- The establishment of a functional and efficient BSF production unit, operating under the support umbrella of Rundu GRDC.
- A complete report on the implementation process that details each component, articulates key roles, and lays out the steps for broader implementation.

5.3 Activities

5.3.1 Awareness Campaign

General informational materials will be circulated in the targeted communities. Each community's leadership will be responsible for deciding which 10 households will be chosen to pilot the filters.

5.3.2 Training Community Stewards

Key health sector members of these communities (as selected by the community leadership) will attend a CAWST designed "Community Steward Workshop" on how to educate users, perform follow up assessment, and troubleshoot any problems that may arise.

5.3.3 Training of BSF Production Unit

Rundu GRDC will use its existing facilities and the CAWST curriculum to train a selected set of disadvantaged youth in:

- basic water and sanitation theory;
- the construction, operation, and maintenance of the BSF;
- essential skills for self-employment; and
- BSF implementation strategies (using community structures and existing organizations in the process).

The 20 filters will be constructed and installed as part of their training.

5.3.4 Follow-up on Filter Operation and Maintenance

Community stewards will routinely check in on the operational filters, filling out a "Filter Performance Monitoring Sheet" and communicating a situational analysis back to the production unit, Rundu GRDC, and the GRDF Support Unit.

5.3.5 Implementation Report

The GRDF Support Unit will complete a report on the implementation process based on consultation with all stakeholders and a thorough evaluation of the pilot project.

5.4 Project Schedule

ACTIVITIES	FEBRUARY	MARCH	APRIL	MAY
Awareness Campaign		<p>Circulation of informational materials begins immediately.</p> <p>Households will be selected. 10 in each community</p>		
Training Community Stewards (CS)		The candidates will be brought to Rundu COSDEC for a 3 day workshop.	CS will prepare and educate selected households in the proper use of filter.	
Training of BSF Production Unit	Training of the production unit will begin and filters will be constructed (6 weeks)		Filters will be installed in the selected households no later than mid-April	The production unit will visit both communities to assess operation and maintenance.
Follow-up on Filter Operation and Maintenance			Once filters have been installed, bi-weekly performance sheets will be filled out by CS.	
Implementation Report				At end of pilot period, consultation will be conducted and report produced.

5.5 Roles and Responsibilities

- Ownership of this project lies in the hands of Rundu GRDC, in conjunction with the GRDF Support Unit. Rundu GRDC Coordinator will be responsible for the day to day activities and management of the training program. The Support Unit will routinely monitor progress, as it does with all GRDC training programs.
- Community leadership will be responsible for selecting candidates for the positions of Community Steward, and offering its general support for the BSF.

6. BUDGET

6.1 Implementing Partners Contributions

Many of the indirect costs for this project will already be absorbed by Rundu GRDC and GRDF. This includes:

- production and training facilities
- the BSF mould
- all the necessary training and production equipment
- administrative and awareness materials (paper, printer ink, laminating, etc.)
- the GRDF Support Unit will perform and conduct final consultation and draft report

6.2 Requested Financial Assistance

The requested financial assistance can be broken down as follows:

Type of Cost	Items/Details	Amount	Cost per unit	*Total Cost
Filter Materials	Cement	550kg	\$1.50/kg	\$825.00
	Sand	1200kg	\$0.15/kg	\$180.00
	Gravel	1200kg	\$0.35/kg	\$420.00
	Cooking Oil	1.5 l	\$8/750ml	\$16.00
	Plastic Tubing/Pipe	30 m	\$3/m	\$90.00
	Diffuser Plate (plastic board)	2 boxes	\$45/box	\$90.00
Sieve Materials	Lumber (100mmx25mm)	12 m	\$14.50/m	\$174.00
	12mm Metal Screen	2 m2	\$45/m2	\$90.00
	6mm Metal Screen	1 m2	\$45/m2	\$45.00
	Mosquito Netting	1 m2	\$6.2/m2	\$6.20
Other Materials	nails	2 kg	\$7.50/kg	\$15.00
	steel wool	1 box	\$10.00/box	\$10.00
	large pails/buckets	3	\$160 each	\$480.00
	small pails/buckets	4	\$45 each	\$180.00
	sand paper	6 sheets	\$1.20 sheet	\$7.20
TOTAL				*N\$2628.40

* The cost is in Namibian dollars.

Appendix 3
Request for Project Funding: Sample Proposal

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Note: All names are fictitious.

Introduction

Most of the rural population in Huambo province depend on traditional wells, unprotected springs, or bodies of running and/or stagnant water for their daily water supply. These water points are liable to contamination by either humans and/or animals and thus, water from these sources are of dubious quality. Because of this, the incidence of water-borne diseases, morbidity, and mortality rates in the province are high.

The only reliable sources of safe drinking water in these rural areas are the improved water points that have been constructed/rehabilitated by Angola Development and other organizations.

It should be noted, however, that water from these improved water points is only good if consumed directly at the source. Because people use buckets and other open containers to transport the water to their residences, the water is susceptible to aerial contamination. In addition, the people normally place leaves of plants on top of the water to reduce spillage during transport, thus increasing the possible sources of contaminants. Furthermore, once the water reaches the house, it is normally kept in an open container and it is a common observation that small children play with the water and pet animals drink from the container. Thus by the time the water is consumed by the household, it is highly probable that it has been subjected to contamination.

Whether the supply comes from the traditional water sources or from the improved water points, water brought to the house needs some kind of treatment to make it safe for drinking. There are many methods of water treatment available – boiling the water could easily solve the problem but the proposed project area has been heavily deforested, and with the consequent scarcity of firewood, this option is not deemed as a practical solution. Using chlorine to treat the water is another option but the availability and high cost of chlorine on one hand, and very low incomes and prevalent poverty on the other, does not make this a sustainable solution. Solar water distillation (SODIS) is an appropriate technology that has been successfully used in DW project areas, but the amount of potable water that can be produced using this technology is limited. Biosand water filters will offset all the disadvantages of the above water treatment methods and thus offers a viable solution to this problem.

The Biosand Water Filter Project

Project Description

The project will involve the training of trainers, biosand filter technicians as well as community stewards. Initially, the technicians will be employed by the project to manufacture the filters. These biosand filters will be turned over to poor families in the rural areas. At the same time, project mobilisers will conduct an information campaign to sensitize the population on the importance of home-based water treatment and on the advantages of using the biosand filters for this purpose. The mobilisers will also monitor the use of the biosand filters and their impact on the health of the receivers. Data from the monitoring activity will be used in the information campaign and it is expected that a demand for the biosand filters will eventually develop.

In the meantime, selected members of the community who can be potential biosand filter makers will be trained in starting their own businesses. After one year, the moulds and other necessary equipment for the manufacture of the biosand filters will be “sold” to the biosand filter makers so that they can start their own independent business. The cost of these equipment will be paid back in instalments and the amounts collected will be used to train more filter makers. The project will also assist the biosand filter makers to obtain loans from the DW Microfinance programme, if needed.

Manufacturing the biosand filters and distributing the units free in the first year will be the pilot phase of the project to determine: a) the feasibility of manufacturing the biosand filter units at the village level, b) if there is a market for the product, and c) if producing and selling the filters can be a viable business proposition. This period will also provide an ideal opportunity for hands-on training of future micro-entrepreneurs.

Project Goal

The goal of the proposed project is to help improve the living conditions of the rural population in Huambo province.

Project Objectives

Specifically, the proposed project will:

- a) Improve the drinking water quality of 260 families in the Municipalities of Huambo, Katchuingo, Tchikala-Tcholohanga and Bailundo
- b) Improve the drinking water quality of 20 schools
- c) Improve the drinking water quality of 20 health posts
- d) Train 10 entrepreneurs in the manufacture of the biosand filters and in running a small business
- e) Conduct information campaigns to generate awareness and knowledge about the biosand filters and its advantages. It is expected that these campaigns will help create positive attitudes that will later translate to a demand for the filters.

Area of intervention

The area of implementation will cover families, schools and health posts in the municipalities of Huambo, Katchuingo, Tchikala-Tcholohanga and Bailundo in the Province of Huambo.

Beneficiaries

The total number of beneficiaries is estimated at 21,500 persons. Of these, about 19,600 will benefit from the improved water quality from the biosand filters located in social centres (i.e.,

schools and health posts). The rest of the beneficiaries will be individual family members who will have access to water from the filters in their own homes.

Project duration

The project will be implemented over a period of 12 months.

Monitoring

Monitoring mechanisms will be built into the project structure and are essential for learning and modifying the project approaches. Weekly and monthly reports from both the technical and social mobilisation units will be analysed and acted upon by the project management team.

A mid-term internal evaluation is also planned and this will enable the project to reassess its work plan as well as help improve any deficiencies encountered during the first half of the implementation period.

Sustainability

There are two aspects of sustainability that one needs to address regarding the proposed biosand filter project. The first is sustainability at the household level and the other is sustainability at the commercial level, i.e., sustainability of the business for the micro entrepreneurs.

Household level- It is normally expected that people will take better care of things that belong to them compared to collectively-owned ones because there is a stronger sense of ownership. The project mobilisers will try to capitalize on this to encourage private owners to take better care of the filters so that these will have a longer productive life. In addition, the mobilization campaign will emphasize the positive impact that the filter water will have on their health and their productive capacity. Recipient families will also be trained by the mobilisers on proper maintenance procedures to minimize costly breakdowns and to extend the life of the filters. At the same time project mobilisers will continue with post-project monitoring and this will hopefully encourage families and individuals to continue with the proper use and maintenance of their filters.

For the poor families in the project area the biosand filter is going to be one of the most expensive pieces of investment in the household, and will be a source of pride, compared to those who do not yet own one. Because it will be a prized possession, the filter will tend to be looked after properly, thus prolonging its useful life.

Commercial level- In the final analysis, market demand will determine the viability of the biosand filter business. Through the information campaigns, the project mobilisers will try to create demand for the biosand filters. The value of consuming quality drinking water obtained from the filters will continue to be one of the core messages of all DW water and sanitation projects. These, plus testimonies from the biosand filter users, are expected to help sustain the growth in the market demand for the product.

Project Budget

The training component, though an important part of the project, has been removed from the budget below; this activity can easily be added on if additional funds are obtained. The

amount of CAD64,869 is the minimum amount needed to get the project implemented. Funds to cover the budget shortfall will be obtained by DW from other sources.

Item	Budget	
	CAD	USD
Personnel		
Program Management	4,680	3,600
Project coordinator	6,760	5,200
Technical supervisor	2,958	2,275
Mobilisers	15,210	11,700
Labourers	5,070	3,900
Sub total	34,678	26,675
Materials		
Cement	1,657	1,274
Gravel	626	481
Sand	837	644
PVC pipes	390	300
PVC flat sheets	1,170	900
PVC elbows	585	450
Hacksaws	26	20
Hacksaw blades	12	9
Flat iron sheets	650	500
Welding rods	163	125
Stationery & office supplies	780	600
Sub total	6,894	5,303
Transport		
Gravel transport	416	320
Sand transport	697	536
Filter transport	2,438	1,875
Air transport (Luanda/Huambo)	1,040	800
Sub total	4,590	3,531
Services		
Cement mixer	195	150
Office rental	1,404	1,080
Perdiem	3,900	3,000
Printing	780	600
Telephone	780	600
email services	390	300
Sub total	7,449	5,730
Operational costs		
Logistics & procurement	1,072	825
Support services	2,144	1,650
Financial auditing	1,608	1,237
Translation Fees	2,681	2,062
Bank charges	536	412
Sub total	8,042	6,186
In country overhead costs	3,217	2,474
TOTAL	64,869	49,899

Exchange rate: CAD1.3 = USD1; figures rounded off to the nearest dollar

Overview of the Overseas Partner: Angola Development

- **Purpose of the organization:**

Angola Development is a non-profit organization working to improve living conditions of the poor. The AD strategy is to strengthen the capacity of communities and organizations to act on development problems and take advantage of what opportunities arise.

- **Length of time in existence:**

AD was founded in 1973 and has worked with communities, grassroots organizations, non-governmental organizations, local, government and international institutions in more than 30 countries. AD has been operating continuously in Angola since 1981 and was for many years the only NGO in the country.

- **Role in identification, planning and implementation of the project:**

All AD water and sanitation projects are planned and implemented in coordination with the Huambo provincial water authority and therefore address the identified priorities. This proposed project will be used to gauge the appropriateness and acceptability of the technology, as well as the potential demand for it.

This proposed project fits into the overall plan of the AD Water and Sanitation Programme and will be implemented by the AD Water and Sanitation staff based in Huambo. As such, the proposed project will be able to utilize the existing human, material and financial resources already in place in Huambo, thereby generating significant savings and operational efficiencies.

- **Experience with the affected beneficiaries:**

Since 1981, AD has been implementing humanitarian and emergency relief projects and providing basic infrastructures in urban, peri-urban and rural areas. Because much of the basic infrastructure have been destroyed during the protracted civil war, much of the AD work was focused on providing potable sources of water for all types of communities. The need for such facilities is as critical as ever, now that more and more areas outside the main population centers are being declared safe and displaced persons, ex-combatants and refugees continue to return to their places of origin. Providing water and sanitation facilities for these destination communities continues to be one of the main activities of AD.

Due to its involvement in the areas of shelter, water and sanitation, microfinance, governance, peace and reconciliation, AD is able to take advantage of synergies derived from the implementation of complementary projects. These activities feed into the considerable store of knowledge and experience that AD has about local conditions, which in turn keep the management and planning functions in tune with the realities of the target clientele.

- **Staff resources available for the project:**

The proposed project will become part of the AD Water and Sanitation Programme operating in Luanda and Huambo, with a total of 28 staff (15 technical, 7 administrative and 6 full time workshop/production yard staff). The Huambo team is headed by a Project Coordinator supported by an expatriate Senior Technical

Adviser. The proposed project will be able to draw on the expertise of staff in the other ongoing water and sanitation projects.

- **Materials, equipment and other physical resources available:**

In Huambo, the Water and Sanitation Team is housed in the AD Huambo Office and aside from office space and equipment (furniture and computers), team members have access to the AD fleet of vehicles for field work, e-mail and internet services. AD maintains a large workshop/production yard complete with tools and equipment which are used to maintain and repair the AD fleet of vehicles, and to manufacture a range of iron and concrete products (e.g., latrine-pit covers, reinforced-concrete rings for lining wells, etc.) for the water and sanitation projects.

- **Experience in development work other than the proposed project:**

AD has worked with communities, grassroots organizations, non-governmental organizations (NGOs), local and national government authorities and international organizations. AD has been operating continuously in Angola since 1981 and was for many years the only NGO in the country. It has been working with groups in Huambo for 15 years and a branch office was opened there in 1997. The current program of AD focuses on four thematic areas: water and sanitation; microfinance and livelihoods; shelter and human settlements, and governance and capacity building for national partners including a major role in peacebuilding within Angola. Today, the AD programme in Huambo involves over 120 professional and other staff. AD has helped to construct or rehabilitate schools and other essential buildings and construct community water systems in Huambo and the neighboring provinces. Huambo is a focus province for the AD Peacebuilding and Microfinance Programmes where it has supported microentrepreneurs, trained peace-promoters, and supported local initiatives to build reconciliation between communities divided by the long history of war and assist in the reintegration of ex-combatants and their families. AD provides e-mail and Internet services to the local humanitarian community in Huambo.

AD is well connected and an active participant in the various government, religious, non-government organization, and community-based (local) organization networks and is able to draw upon a huge reserve of goodwill in these communities.

Drawing on more than 20 years hands-on experience in leading AD in Angola, the AD Executive Director provides the key leadership and vision for AD Angola. Using an integrated development framework, he provides overall guidance and oversight to coordinate the implementation of 65 development projects in the country.

Appendix 4
Request for Project Funding: Sample Proposal

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1.0 PROJECT OVERVIEW

The rural community of Mandia catchment area in the district of Kazungula in Zambia often experience diarrhoeal diseases mainly due to lack of clean water and at times poor hygiene practices at household level. Also associated with fetching water are crocodile attacks which at times occur in this community.

As a way of mitigating these problems, Zambia Rural Development (ZRD) working with support from the Netherlands Foundation here proposes a project to assist Mandia community. The catchment area has 1,912 people (359 households) in 16 villages. There is also a basic school going up to grade 9 and a Rural Health center.

ZRD plans to work with especially trained Filter Technicians and Village Supervisors to implement a bio-sand filter project in the area. These selected persons will receive training from ZRD staff and will be expected to take active roles during implementation of the proposed project.

ZRD will make available three members of staff, one on full time basis to coordinate this project. In addition, the project will facilitate formation of a local committee within Mandia that will spearhead all project activities.

During implementation period, regular monitoring of the project will be done and ZRD and the local committee will regularly meet to review project activities and workout solutions to emerging problems.

At the end, the project is supposed to install 375 bio-sand filters and conduct hygiene education to reach up to 359 households. The total budget for the entire project to be implemented in six months is K72,000,000.

The problem of crocodiles will be further investigated and acceptable solutions proposed for implementation in future.

2. BACKGROUND INFORMATION / PROJECT PROBLEM STATEMENT

Common illnesses in Mandia catchment area include malaria and diarrhea. Diarrhea cases can be directly linked to the untreated water the people use from Zambezi River. Efforts to tap underground water have proved unsuccessful since the ground water in the area is salty. Even where boreholes have been provided such as at Mandia Basic School, people still prefer to drink water from the river because of its taste. Water from the borehole is mainly used for washing and bathing.

In addition, the people of Mandia often face crocodile attacks as they try to draw water from the crocodile infested Zambezi River. The fear of crocodiles forces people to draw water in shallow and at times stagnant waters as they fear to get deeper in the river to points where water is flowing. This means the water they draw is often heavily polluted and increases the chances of making people sick after drinking it.

The saline condition of underground water makes it difficult to provide these communities with underground water. The obvious source of water for these people is therefore the Zambezi River. People have been using this water since time in memorial and do not need to be oriented on its odour and test. Any solution for Mandia catchment area that aims at improving the quality of water they draw from Zambezi River before using it would be easily accepted by the community.

Currently ZRD in conjunction with NF are looking at possible and affordable ways of having the river water used in Mandia purified. One such method is by using household managed bio-sand filters (BSFs). The two Organisations are also looking at user acceptability of the bio-sand filter. Two BSFs have been installed in two separate communities where the respective Village Headmen are using them. Three more will be installed in the coming 3 days. One other filter has been given to a trained Environmental Health Technician who has been provided with a field testing kit to carry out water quality tests on the water coming from the filters for at least 21 days at which the filters will be expected to have developed full biological layer¹. Results of the two exercises described above will help decide where and how to install the filters.

The other big advantage of using bio-sand filters is that water is purified right in the home and therefore reduces chances of recontamination which usually occurs during transportation of the water from the source to their homes. With proper hygiene education, the recontamination of the water after it has been filtered in the home can be greatly reduced.

3.0 PROJECT DETAIL

3.1 Goals and Objectives

The Major objective of the project is to; **“Provide Mandia Catchment area communities with safe water for domestic use”**

Specifically the project has two sub-objectives which are stated here below:

¹ Layer of bacteriological zone that form on the top part of the BSF and helps remove harmful bacteria from the raw water poured into the filter.

Goal #1: - To reduce incidence of Diarrhea disease, especially amongst young children of Mandia communities.

Objective 1.1: - To conduct hygiene education targeting 359 households and encouraging them drink purified water in order to avoid Diarrhea and other water borne diseases.

Objective 1.2: - To assist 16 communities, a local school and Rural Health center acquire 375 Bio-sand filters.

Goal #2: - To reduce incident of crocodile attacks experienced in Mandia area by making water intake points from the river safe

Objective 2.1: - To assist Mandia communities with safe ways of collecting water from Zambezi River without risking crocodile attacks. Actual way of doing it would have to be identified during implementation of Objective number 1.

4.0 PROJECT OUTPUTS

The following physical outputs will be achieved at the end of the project:

- 16 communities mobilised for BSF project
- 4 Locally based technicians trained in making bio-sand filters
- 375 BSFs made and installed in households
- 359 households, one RHC and one Basic School that are able to effectively use the bio-sand filters
- Other output is expected reduction in occurrence of diarrhea diseases

5.0 PROJECT BENEFICIARIES

There are two different types of beneficiaries for this project.

- The first, and primary, beneficiaries are 1,912 people in 359 households in the 14 villages of Mandia catchment area.
- The second beneficiaries are the rural health center and community-school.

Both beneficiaries are important and essential for this project. Having filters at the Rural health Center and school as well as at their homes would ensure pupils and patients drink purified water both at home and at the health center or school.

6.0 IMPLEMENTATION APPROACH

The primary methods for achieving the goals and objectives of the Project will be:

- ZRD will facilitate formation of village WASHE committees in all the 14 villages of Mandia. After training, these committees will be expected to coordinate BSF Filter project activities within their villages.
- A steering committee to include village headmen and representatives from the school, Health Center and the Local business community will also be established in the project area. The steering committee will assist in approving major decisions and actions to be carried out by project implementers once the project is launched.

- Through the RHC, the Neighbourhood Health Committee will be involved and may help in conducting hygiene education in the project area.
- Establishment of a BSF production center in Mandia. The project will train four people identified by communities in conducting hygiene education and in making Bio-sand filters. This team shall be supported with materials and necessary equipment to enable it produce BSFs for distribution in the villages. The training of all these people will be done in Mandia itself. The project will further ensure the trained persons receive participatory materials for conducting hygiene education.
- The project will also facilitate the selection and training of 16 village coordinators (one per village) who shall have the responsibility of monitoring and supervising operation and maintenance of the filters at every household.
- Materials for the project will be procured mainly in Livingstone transported to Mandia by hired transport. Small quantities of purchases may be taken to Mandia during routine monitoring trips. Where big purchases are concerned (costing more than K1,000,000) three quotations will be obtained as per ZRD policy, and the cheapest supplier will be used.
- In addition, the project will prepare an implementation plan that shall be shared with other interested parties. This plan shall clearly define activities to be done, when they will be done and by whom. All progress reports to be prepared later during implementation will refer to this implementation plan.

7.0 STAFF/ADMINISTRATION

ZRD will make one member of staff (the Area Supervisor), already trained in making BSFs available for this project on full time basis. He shall make close supervision of the way filters are manufactured, installed and operated in the field. This member of staff shall spend about half of his working time in Mandia. He shall also ensure effective hygiene education is carried out along side implementation of the BSF project.

The Project Manager and the Financial Assistant shall spend about one third of their working time on this project. The Project Manager shall have the overall responsibility over this project. He shall coordinate all project activities and ensure the implementation plan is adhered to and that project costs are kept within the agreed budgets. Preparation of progress reports shall be the responsibility of the Project Manager. The Financial Assistant shall have the role of managing financial records for this project and also assist in processing project procurement documents. He/She will be responsible for compiling project financial reports concerning the BSF project.

In addition, the project will engage 4four local technicians in Mandia who will be responsible for making all the filters. Specifically, the officers on the project will have the following responsibilities:

- **“The Projects Manager”**, - will ensure timely implementation of the project, materials for use during training and manufacturing of the filters are procured and sent to Mandia in good time. He will also ensure project expenditures are kept within agreed limits and see to it that adequate supervision is done throughout the implementation period. He will provide the overall technical support to project implementers on the ground. The Manager will be responsible for preparing and distributing progress reports to all interested parties.
- **“The Area Supervisor”**, - Will directly supervise making of filters by Filter Technicians. He will also supervise the way users are educated on the operation and maintenance of BSF. Procurement of materials for the project will be coordinated by the Area Supervisor. He will

ensure high quality bio-sand filters are made and are correctly installed at households. He shall also see to it that people in Mandia receive effective hygiene education using participatory approaches.

- **“The Financial Assistant”**, - shall be responsible for processing all payments on this project. Shall help the team procure the needed materials and equipment and shall also maintain financial records of Project the BSF project funds. He/she shall be responsible for drafting the financial reports for this project.
- **“Filter Technicians”**, - they will be responsible for making and installing the filters at households. They will carryout hygiene education and teach people how to correctly use the filter.

8.0 AVAILABLE RESOURCES

- Trained personnel to efficiently implement the BSF project.
- ZRD has an existing office in Livingstone which will be used to coordinate project activities. The office is equipped with telephone, fax and e-mail facilities.
- Basic Tools and one mould for making BSFs is also available with ZRD though it is not adequate to meet the demands of this project within the planned time frame.
- ZRD has transport to facilitate effective monitoring of implementation in the field.

9.0 NEEDED RESOURCES

In order to effectively run and manage this project within the planned timeframe, the following additional materials will be needed:

- **Funds** – To support planned project activities
- **Personnel** – None, all will come from ZRD and target communities.
- **Office Facilities** – None, all will be provided by ZRD and target communities.
- **Equipment and Tools**
 - 2 Additional BSF moulds
 - 4 Additional Sand and Stone Screens
 - 10 Pairs of PVC hand gloves
 - 2 Sets of 17 combination spanners
 - 4 Mallets (Plastic Hammers)
 - 1 Round Bar, 16 mm
 - 2 Plastic Drums (210 liters)
 - 4 Builders Buckets (10 liters)
 - 4 Shovels
 - 2 Wheel burrows
- **Consumable Materials**
 - Cement, River Sand, Crushed stones, Stationery, Diffuser material.

10.0 PROJECT DURATION

The project is expected to start on 1st June, 2007 and end on 31st December, 2007. (For Detailed implementation plan see *Annex 1*)

11.0 PROJECT Justification

11.1 Overall Benefits

The main benefits and justification for the Project are that:

- Sustainability of the project will be easy to achieve since these filters will be owned by the users in their individual homes and expectations are that they will look after them.
- awareness of and acceptance by Mandia communities of their responsibilities for management, operation and maintenance will be raised
- practices in health and hygiene in rural communities, particularly women and children, will be improved

The overall benefit of the Project would be an improvement in the health conditions in the catchment area. In turn this should lead to a reduction in water-borne diseases, an increased availability of time for productive labour, and a reduction in the use of public funds for medical services.

11.2 Benefits to Women

With women having the main responsibility within households for water, sanitation, health and hygiene matters, they will benefit by having a water purifying device within their home. They will also have less cases of water borne illnesses to attend to.

11.3 Benefits to Poverty Alleviation

Improvements in the availability of clean water, and in the health and hygiene practices of households and communities, will make a positive contribution to the well-being of the rural population. In turn, this will reduce incidences of illness and, therefore, increase the time available for productive work. With most of the rural communities in the area relying on subsistence farming, increased availability of household members to work in the fields is critical in the attempt to alleviate poverty.

Improvements in the health of the rural population will also contribute to the alleviation of poverty through reduced costs to individual households for health care and, in turn, this will also reduce government expenditure on primary health care.

Finally, the improvement in the quality of rural life should also have an impact on reducing the drift of the rural population to the urban centres.

11.4 Sustainability

It is normal behaviour for people to take care of things that belong to them as individuals than those owned by the entire community. Since filters will be available at household level, the sense of ownership will be expected to be high. In addition, each benefiting household will be expected to make cash contribution of about K5,000. This too is expected to increase the level of ownership.

Community mobilization activities will emphasize on the positive impact that the filtered water will have on their health and their productive capacity. Recipient families will also be trained by the trained Technicians on proper maintenance procedures to minimize costly breakdowns and to extend the life of the filters.

For the poor families in the project area the biosand filter is going to be one of the most expensive pieces of investment in the household, and will be a source of pride, compared to those who do not yet own one. Because it will be a prized possession, the filter will tend to be looked after properly, thus prolonging its useful life.

ZRD will create a permanent link to the trained technicians and continue to assist them manufacture BSFs even after the project duration. Filters made thereafter will have to be sold at full manufacturing costs.

It is our expectation that the involved parties such as the Filter Technicians, School and RHC staff as well as the Neighbourhood Health Committee will continue to assist communities in Mandia beyond the life of this project.

12.0 PROJECT BUDGET

The following budget will be necessary to successfully implement this project:

Activity Description	Unit	Target	Unit Cost Zk	Amount Zk
Mobilization of communities for the BSF Programme	Villages	16	23,750	380,000
Training of Local BSF Technicians	Technicians	4	293,750	1,175,000
Procurement of Tools and Equipment	Sets	2	3,030,000	6,060,000
Producing and Installing BSFs at households	BSFs	375	106,800	40,050,000
Carrying out of Hygiene Education in communities, school & RHC and field monitoring	Settlements	18	405,111	7,292,000
Administration Costs to PSRD	NGO	1	15,630,000	15,630,000
Contingency	Lumpsum	1	1,413,000	1,413,000
Total Amount				72,000,000
PSRD Contribution				3,150,000
Community Cash Contribution				3,750,000
Balance to come from SCF				65,100,000

Note: Detailed Budget is in Annex 2

13.0 ASSUMPTIONS AND RISKS

Achievement of the Overall Goal of access to safe water in homes cannot be achieved by the Project alone. The most important assumption for achievement of the Overall Goal is that local people of Mandia will remain committed to the implementation of this project.

Other assumptions associated with successful implementation of the project include:

- ⇒ communities being able to contribute their labour and limited cash to the project
- ⇒ Source Connection Foundation provides the applied for funds.

- ⇒ Mandia people continue to show willingness and assume full responsibility for the operation and maintenance of bio-sand filters.

The risk that these assumptions may not materialise is considered to be acceptable.

- a) The general economic situation in the country is poor and, consequently, some households may fail to raise the required commitment fees towards the project.
- b) Unwillingness from communities to contribute their labour may lead to delays in achieving the planned outputs.
- c) The risk that communities will not accept their responsibilities for management and maintenance is believed to be small as filters will only be given to trained households that have paid the required commitment fees.
- d) In addition to above risks, any major increase in costs, not compensated through an adjustment of the exchange rate between the Zambian Kwacha and the Euro will have an adverse effect on the implementation of Project activities.
- e) Another critical factor for successful implementation of the Project will be the identification of committed persons to be trained as Filter Technicians. These will need to be people of stable character with very good negotiating skills, a sound understanding of the BSF and a strong stand against cultural expectations and pressures from the social hierarchy.

14.0 RECOMMENDED ACTION

In order for this Project to be implemented effectively and to provide sustainability, the following actions are required:

Timely approval of the project by SCF considering that the 375 filters need to be made before end of 2007

Beneficiary communities in Mandia must confirm their willingness to contribute their labour and funds to the project.

A Project Agreement which sets out the obligations and responsibilities of all parties to the Project must be prepared and signed. This Agreement would cover all project activities; the capacity building element and the construction support component.

Further envisaged risks, which are mainly minor and proposed mitigation measures, are in the following table:

Identified Risk	Mitigation Measure to be taken
Poor quality filters made	Proper training and close supervision, especially at the beginning.
Low quality filter media used	Provision of certified media through PSRD. If possible introduce use of quarry dust instead of river sand.
Inadequate hygiene education, leading to lack of	Proper training of Filter Technicians and

appreciation of clean water by users	provision of necessary manuals and aids, as well as close supervision, especially at the beginning.
Improper use of filters by households	Proper training before users receive filters and close supervision.
Recontamination of filtered water in the homes	Intensive hygiene education

15.0 MONITORING AND EVALUATION PLAN

Monitoring in the first two months of the project will be intense. During this phase, ZRD will carry out two monitoring trips per week to ensure the quality of hygiene education and filters made are of high standard. Thereafter, monitoring trips may reduce to two/three weeks per month. These monitoring trips will be used to evaluate the implementation speed and where found necessary review approaches being used.

Filter Technicians and Village Supervisors will also conduct regular monitoring at household level to ensure the installed filters are correctly operated and maintained.

ZRD plans to conduct an end of the project evaluation at the end of the implementation period. This evaluation will be in two parts;

a) **Summative Evaluation** will look at percentage of achieved targets, number of households able to use BSFs correctly, percentage of filters successfully and e and installed. Further information may come from; monthly progress reports, training reports, minutes of meetings, filed trip reports and monthly installation and user reports.

Formative Evaluation will be done to see the impact of using these filters on people's health. Data from Mandia Rural Health center will be used to back up the impact study. All evaluation exercises will be participatory. Filter users from Mandia catchment area shall participate in carrying out the evaluation.

Hygiene education activities will be evaluated through observations and questionnaires with a view of collecting changes that have occurred in the households after introduction of the BSF project. This means baseline data will need to be collected at the start of the project that will later be used to note the desired changes in the communities. An end of the project report shall include the findings of the evaluation exercise.

ANNEX 1: BSF PROJECT WORKPLAN

Activity Description	June	July	August	September	October	November	December
Project Design & Signing of Project Agreement							
Mobilization of Communities in Mandia							
Identification of Persons to Train as Filter Technicians & Village Supervisors							
Training of Filter Technicians							
Training of Village Supervisors							
Mobilizing of Materials for BSF Making							
Procurement of BSF Moulds, Tools & Equipment							
Production of Bio-sand Filter Mould							
Supervision of Filter making processes (Monitoring)							
Installation of BSFs in Households							
Evaluating the BSF Programme							
Installation of BSFs in Households							
Project Report Preparation							

Appendix 5: Case Study - The Second Drop

Case Study: The Second Drop

The following case study is intended to serve as a guide to help you think through the logical framework for your project and the key questions commonly asked in proposal applications.

Instructions:

- Read the following case study.
- Note that all names and places are fictitious.

Second Drop, a not-for-profit humanitarian organization committed to household water treatment projects in developing countries, was started in 2007 by Anita Philter. The organization is dedicated to responding to the needs of the poor by improving their water quality through the use of simple household technologies such as the biosand filter.

After taking the Project Implementation for the Biosand Filter workshop at CAWST, Anita Philter moved to the country of Waterless to start the project. Their projects include a comprehensive education program to provide the community with the basic knowledge of water use, safe water storage, hygiene, and sanitation. The Second Drop uses a participatory learning approach within all aspects of the organization. The Second Drop currently has 2 filter technicians, 1 Community Health Coordinator, and 3 Community Health Promoters and receives ongoing technical support from CAWST. To date, a Second Drop has installed 500 filters and are looking to expand their services to the rural community of Dry-ville.

The pilot project will aim to train and assist a group of local entrepreneurs in the production, installation, and effective delivery of the biosand filters to 20 households. As well, an additional community health Promoter will be trained to support the householders.

A significant proportion of the rural population of Dry-ville suffers from severe poverty. An inadequate water system is a critical barrier to their development. Although significant measures have been taken to supply the villages with water by installing new wells, the potential for contamination still exists. The river is susceptible to contamination by the animals and people living along its edge. During the rainy seasons, flooding causes contaminants to infiltrate other sources of water. In addition, the lack of basic sanitation is an issue that contributes to the poor water quality. Households spend substantial portions of their income every year to cope with illnesses such as diarrhoea and intestinal worms.

The strength of the project is that it will engage the communities and allow them to play a significant role in implementation. Community leadership has expressed their support for the project and cooperation in the selection of filter technicians and household beneficiaries. Two locally unemployed citizens will be selected for the biosand filter training and will gain expertise on how to begin their own self-sustaining biosand filter micro-enterprise. One person will be selected to receive training to become a community health Promoter. The 20 families adopt the filters in their homes will benefit from clean water, reducing their risk of illness and improving their quality of life.

A similar project was recently started by the Waterless Vocational Training Centre (WVTC) in the next town south of Dry-ville. Second Drop has assisted in getting this project started and is following its implementation closely. The existing partnership between Second Drop and the WVTC lets them share materials, equipment and local knowledge.

In designing the project, Second Drop devised a plan with milestones and activities to reach their objectives. In order to identify the community, Second Drop researched baseline health conditions and water quality, the security situation was checked, the WVTC was contacted, community leaders were approached and a planning session was organized. This took approximately 3 weeks of the first month of operation. In terms of funding, Second Drop researched potential donors and submitted several proposals. This was an ongoing process as deadlines varied between donors.

After consulting with several locals, a workspace was established and a local welder was recruited. Luckily this happened fairly quickly, within the first month. During their second month of operation, Second Drop looked for all of their resources (e.g. steel, sand, tools, screens etc.) and acquired transportation. By the beginning of month 3, they were ready to make and test their first mold.

By the end of month 3, Second Drop was ready to begin their training and to begin filter production. In order to raise awareness of their project, Second Drop installed the filters in their homes, performed public demonstrations, organized workshops, educated local community leaders and even had an opening ceremony to commemorate their first installation. They organized several marketing events throughout month 3 and month 4.

By month 4, community health Promoters were routinely following-up with the end users using surveys and monitoring forms. Second Drop is in the process of writing a formal evaluation of the project.

In terms of the cost of the project, some of the most substantial costs included:

- Purchasing the steel to build the mold (\$200)
- Paying the welder (\$150)
- Buying the tools (Any additional tools required were borrowed by the WVTC)
- Buying the materials (\$100 plus an additional \$100 was spent on buying the sand, gravel, and cement)
- Paying for transportation (\$200)
- Paying for the rent of the workspace (\$50 / month)
- Paying for labor costs (\$20 per day per filter technician and \$15 per day for the Community Health Promoters. New trainees earned a daily wage of \$10)

Appendix 6: Templates

Sustainability Matrix Template

<div>Sustainability</div> <div>Strategy</div>	Is the activity likely to continue when the community has total responsibility?	Are changes likely to continue when the community has total responsibility?	Total Score

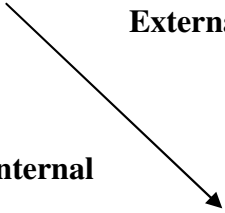
(Adapted from International HIV/AIDS Alliance, 2006)

Impact Matrix Template

Numbers reached Intensity →	High	Medium	Low
High			
Medium			
Low			

(Adapted from International HIV/AIDS Alliance, 2006)

Feasibility Matrix Template

<div> <div>External</div> <div>Internal</div>  </div>	High	Medium	Low
High			
Medium			
Low			

(Adapted from International HIV/AIDS Alliance, 2006)

Risk Assessment Template

<div> <div>Impact</div> <div> <div>Likelihood of Happening</div> <div> <div>High</div> <div>Medium</div> <div>Low</div> </div> </div> </div>	High	Medium	Low
High			
Medium			
Low			

(Adapted from International HIV/AIDS Alliance, 2006)

SWOT Analysis Template

Strengths	Weaknesses
Opportunities	Threats

(Adapted from International HIV/AIDS Alliance, 2006)

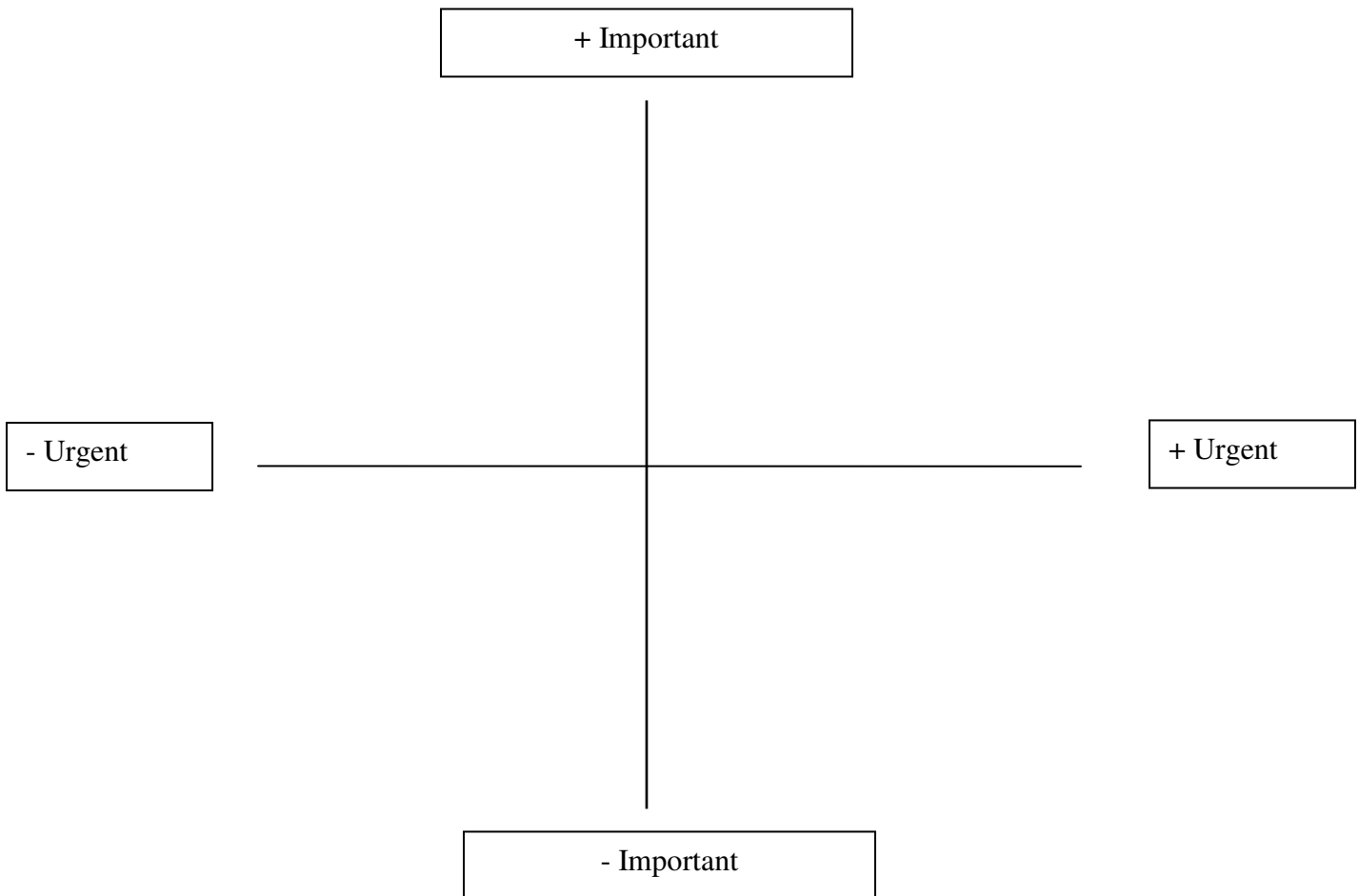
Stakeholder Participation Matrix Template

Stage of Project	Starting	Assessing	Planning	Implementing	Monitoring	Evaluating
Degree of Participation						
Responsibility						
Involved In Joint Decision-Making						
Consulted						
Informed						

(Adapted from International HIV/AIDS Alliance, 2006)

Activity Prioritization Grid Template

(Adapted from International HIV/AIDS Alliance, 2006)



GANTT Chart Template

GANTT Chart					
Milestone	Activities	Timeline - Months			
		Month 1	Month 2	Month 3	Month 4
Milestone 1: Community Identification	Baseline health conditions researched	X			
	Baseline water quality researched	X			
	Contacted Partners and Community Leaders	X			
	Security situation assessed	X			
Milestone 2					
Milestone 3					
Milestone 4					
Milestone 5					
Milestone 6					
Milestone 7					
Milestone 8					

Action Planning

(Adapted from International HIV/AIDS Alliance, 2006)

Activity	By Who?			By When			Resources required
	On Our Own	With Others	By Others	Now	Soon	Later	
Activity 1							
Activity 2							
Activity 3							
Activity 4							

RACI Chart Template

[illegible]

Budget Template

One Time Items or Services	Price Range	Notes

TOTAL:

Budget Template (cont'd)

Ongoing Items or Services	Price Range (US\$)	Notes

TOTAL:

Appendix 7: Monitoring Forms

Filter Construction Monitoring Form

Background Information			
Location		Filter Technician	
Interviewer Name		Interviewed Date	
Additional Information			

BIOSAND FILTER QUALITY CONTROL	Agree	Disagree
1. Construction		
1.1 Quality cement used and stored properly		
1.2 Clean, quality sand and gravel used in concrete		
1.3 Plastic or copper tube with 6 mm (1/4") I.D. used		
1.4 Mold was straight, square, smooth, and well oiled		
1.5 Concrete ratio: 1 cement, 2 sand, 1 gravel (6mm) and 1 gravel (12mm)		
1.6 Concrete is cured by keeping damp for 5-7 days		
1.7 Inside of mold is clean with no cement or oily residue except for where the seal and joints are located		
1.8 Water flows out the spout before sand is added at 2.5 L/minute		
1.9 The filter production rate without cracks or leaks was greater than 95%. (More than 95 filters out of every 100 filters should be leak proof)		
1.10 Outside surface of the filter looks attractive and clean (washed and painted if desired)		
1.11 No leaks or cracks		
1.12 Diffuser plate has 0.3 cm (1/8") diameter holes placed on a grid 2.5 cm (1") apart		
2. Record keeping		
2.1 Production amounts and materials consumed were recorded		
2.2 Construction materials used (quantities and cost) were recorded		

2.3 Records of each production run (record of crack or unusable filters) were kept		
1.4 Sales records - amounts and prices were recorded		
3. Filter Media		
1.1 Effective Size: 0.10 mm to 0.25 mm (preferred range is 0.15 mm to 0.20 mm)		
1.2 Uniformity Coefficient: 1.5 mm to 2.5 mm (preferred is < 2)		
1.3 % Passing #150 mesh: < 4%		
1.4 Clean sand with no visible organic material		

Notes/Comments:

Biosand Filter Project Monitoring Form

Background Information			
Location		Project Start Date	
Interviewer Name		InterviewDate	
Additional Information			

1. Planning Phase				
1.1.0	Basic Preparation	Good	Could be improved	Comments
1.1.1	Project Plan (objectives, activities and measurable indicators)			
1.1.2	Monitoring and evaluation included in the activity plan			
1.1.3	Feasibility Study (documentation)			
1.2.0	Establishment of the BSF Factory	Good	Could be improved	Comments
1.2.1	Working space for manufacture			
1.2.2	Space for curing and storing of manufactured filters			
1.2.3	Management of waste water			
1.2.4	Management of solid wastes			
1.2.5	Cleanliness of working space			
1.2.6	BSF molds and the way of storing			
1.2.7	Equipments and materials inventory			
1.2.8	Sand preparation			
1.2.9	Cement storage			
1.3	Filters Distribution Plan and Strategy	Good	Could be improved	Comments
1.3.1	User's participation in decision making			
1.3.2	User's contribution on the filter			
1.3.3	Involvement of other local NGOs or institutions in the project			
Observation remarks:				

Recommendations:

2. Implementation Phase (Households)				
2.1	Quality control	Good	Could be improved	Comments
2.1.1	Any leaks on the concrete filter body (after transportation)			
2.1.2	Lid placement which covers the entire opening of the filter			
2.1.3	Diffuser plate placement and any damage			
2.1.4	Spacing of holes and sizes in the diffuser plate			
2.2	Proper Installation	Good	Could be improved	Comments
2.3.1	Filter location			
2.3.2	Sand surface (Flat and level)			
2.3.3	Depth of water above sand (5 cms)			
2.3.4	Proper location of diffuser plate			
2.3.5	Flow rate (0.6 L per minute)			
2.3	Safe Water Storage			
2.3.1	Container have a lid			
2.3.2	Containers' appear to be cleaned			
2.3.3	Container have a tap or narrow opening to get the water out			
2.3.4	Different containers for collecting and storing source water			
2.4	Community Training	Good	Could be improved	Comments
2.4.1	Support of the community health worker			
2.4.2	Availability of technology (health and hygiene) related materials			
2.4.3	Usefulness of community training (opinion)			
2.4.4	Know about water treatment technology			
Observation remarks:				

Recommendations:

3. Consolidation Phase				
3.1	Quality control	Good	Could be improved	Comments
3.1.1	Any leaks on the concrete filter body (after transportation)			
3.1.2	Good outlook with good finishing			
3.1.3	Lid placement which covers the entire opening of the filter			
3.1.4	Diffuser plate placement and any damage			
3.1.5	Spacing of holes and sizes in the diffuser plate			
3.2	Proper Installation	Good	Could be improved	Comments
3.3.1	Filter location			
3.3.2	Sand surface (Flat and level)			
3.3.3	Depth of water above sand (5cms)			
3.3.4	Proper location of diffuser plate			
3.3.5	Flow rate (0.6 liter per minute)			
3.3	Safe Water Storage			
3.3.1	Container have a lid			
3.3.2	Containers' appear to be cleaned			
3.3.3	Container have a tap or narrow opening to get the water out			
3.3.4	Different containers for collecting and storing source water			
3.4	User's Perception	Good	Could be improved	Comments
3.4.1	User 's perception on taste, smell and appearance			
3.4.2	Use's perception on health impact			
3.4.3	User's perception on user friendly			
3.4.4	User's satisfaction on quantity			
3.4.5	User's perception about the activities and support of project			
3.5	User's Knowledge on Water, Sanitation and Hygiene	Good	Could be improved	
3.5.1	User's has an idea of contact person to fix up the technical problem in the filter			
3.5.2	General knowledge of family members about the filter operation and maintenance			
3.5.3	Availability of education materials			

	leaflets and posters in the community			
3.5.4	Cleanliness surrounding the household			
Observation remarks:				
Recommendations:				
3.6	Source Water Protection	Good	Could be improved	Comments
3.6.1	Community water source is protected from animals by fencing			
3.6.2	Protected from flooding water			
3.6.3	Prepared a platform to collect water			
3.6.4	Protected from the contamination of surrounding waste or drained water			
3.6.5	Protected from too many weeds and trees			
Observation remarks:				
Recommendations:				
Monitor's initial:		Date:		

SODIS Project Monitoring Form

Background Information			
Location		Filter Technician	
Interviewer Name		Interviewed Date	
Additional Information			

	Agree	Disagree
1.1. The bottles that are being used made of clear, PET plastic		
1.2. The bottles are 10cm (4") in diameter or smaller		
1.3. The bottles all have a lid and does not leak		
1.4. The labels have been removed from the bottles		
1.5 The bottles are not scratched		
1.6 The bottles and lids are clean and free of dust		
Percentage		
2. Proper Use		
2.1 The bottles are completely full of water		
2.2 The SODIS bottles have been placed correctly		
2.3 The bottles have been placed in a location that will get sunlight all day long		
2.4 The turbidity of the water in the SODIS bottles?		
2.5 Users kept more than eight hours the bottles in the sun		
3. Practices		
3.1 You use the SODIS water on a daily basis		
3.2 You have a plan to change the filter when it is not working or broken		
3.3 You have observed a positive health impact in your family after drinking the SODIS water		
3.4 The frequency of diarrhea in your family has decreased after using the SODIS		
3.5 You drink water directly from bottle		
3.6 All family members are drinking SODIS water		
Percentage		

Ceramic Filter Project Monitoring Form

Background Information			
Location		Filter Technician	
Interviewer Name		Interviewed Date	
Additional Information			

CERAMIC FILTER OPERATION	Agree	Disagree
1. Filter condition		
1.1 No visible crack or breaks on the filter		
1.2 No leaks at the spigot or in the plastic container		
1.3 There is a lid on the filter		
1.4 The spigot is clean (free of dirt and algae)		
1.5 The ceramic filter element is clean (free of dirt and algae)		
Percentage		
2. Operation and maintenance		
2.1 You received training on how to use a ceramic filter		
2.2 You are satisfied with the quantity of filtered water		
2.3 You are satisfied with the taste of filtered water		
2.4 You can demonstrate how to clean the filter		
2.5 You filter the source water with a cloth or mesh whenever there is high turbidity		
2.6 Nobody touches the inner part of the ceramic filter		
2.7 You use the filter on a daily basis		
2.8 You have a plan to change the filter when it is not working or broken		
2.9 You have observed a positive health impact in your family after drinking the filtered water		
2.10 The frequency of diarrhea in your family has decreased after using the filter		
2.11 You keep the filter in clean place		
2.12 All family members are drinking water from the filter		
Percentage		

3. Flow		Ideal	High	Low
3.1	Flow rate is between 1-3 L per hour (ideal flow)			
3.2	Flow rate is higher than 3 L per hour (high flow)			
3.3	Flow rate is less than 1 L per hour (low flow)			
Total				
Comments if any:				

Chlorination Project Monitoring Form

Background Information			
Location		Filter Technician	
Interviewer Name		Interviewed Date	
Additional Information			

	Agree	Disagree
1.1 Chlorine is stored in safe place and away from children		
1.2 Chlorine stored in an opaque plastic bottle with a lid		
1.3 Chlorine bottles have a label which includes the expiry date		
1.4 The chlorine is not expired		
Percentage		
2. Proper Use		
2.1 The concentration of free chlorine in the chlorinated water		
2.2 Turbidity of the chlorinated water		
2.3 Chlorinated water stored in a clean and closed container		
Percentage		
3. User's Perception		
3.1 You use the chlorinated water on a daily basis		
3.2 All family members are drinking water from the filter		
3.3 You have observed a positive health impact in your family after drinking the chlorinated water		
3.4 The frequency of diarrhea in your family has decreased after using the chlorinated water		
3.5 You like the taste of chlorinated water		
3.6 You have easy access to by chlorine		
3.7 You know the dose of chlorine mixing into water		
Percentage		

FUNDRAISING IN DEVELOPING COUNTRIES

A CAWST TRAINING MANUAL
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CAWST is a Canadian humanitarian organization focused on the principle that clean water changes lives. Safe water and basic sanitation are fundamentals necessary to empower the world's poorest people and break the cycle of poverty. CAWST believes that the place to start is to teach people the skills they need to have safe water in their homes. CAWST transfers knowledge and skills to organizations and individuals in developing countries through education, training and consulting services. This ever expanding network can motivate individual households to take action to meet their own water and sanitation needs.

One of CAWST's core strategies is to make knowledge about water common knowledge. This is achieved, in part, by developing and freely distributing education materials with the intent of increasing its availability to those who need it most.

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Acronyms

CAWST	Centre for Affordable Water and Sanitation Technology
CSR	corporate social responsibility
NGO	non-governmental organization

1 Introduction to Fundraising Strategic Planning

This manual will provide you with access to knowledge and skills that will aid in fundraising activities. It will help you to develop, plan and implement a successful fundraising plan for a water and sanitation project.

1.1 Objectives

By working through this manual, you will:

- Become familiar with fundraising principles and look at fund generation not as a one time activity but one that works on a continuous basis.
- Have an understanding of useful tools to identify and research donors and other fundraising opportunities, and how to use them.
- Develop a general knowledge about proposal writing that will help improve in presenting projects to potential donors.

1.2 What is Fundraising?

Exercise - Discussion Questions

How would you define fundraising? Think of one word that describes it and why.

Fundraising is the process of soliciting and gathering money or other gifts in-kind, by requesting donations from individuals, the corporate sector, charitable foundations, or governmental agencies. Fundraising is not a one time activity, but one that works on a continuous basis.

You need to understand:

- That fundraising is not easy; there are logistics involved (e.g. access to a computer and the internet) which clearly need to be understood.
- What you are fundraising for and if you are willing to address the issue in the long run. You need more than a great idea. You need to be able to communicate and support your idea.
- Fundraising takes time and requires tools (e.g. research, proposal writing, communication)

1.2.1 Principles of Fundraising

- Have a positive attitude.
- People give when asked (and rarely when they are not). Even when people are asked, they don't always give.
- Tell the truth in asking for the right amount and learn how and when to say no.
- Make it easy for the donor to give again. If you want them to give more than once, you need to thank them and keep them posted on what your organization is doing with their money.
- Plan it and do not attempt this alone. One person does not make a fundraising committee. More people asking means more asks, which means more no's and also more yeses. One person asking is not enough. But most people are afraid of asking for money. Spend some time building a team of people to help you. Board, other staff, major donors, active volunteers, friendly celebrities and community leaders. But SOMEONE (probably you) still needs to coordinate, help them face their fear, and accountability.
- You have to be specific. Make the solicitation effective and meaningful. The underlying message needs to be, "I mean you. Your gift will make a big difference." The more personal the contact, the better response you'll get.
- Most of your gifts (and grants) will come from a small number of people (and donors). Spend most of your time working with these donors. Not because they are more important because securing 80% of your organization's funding will enable you to ensure you can do at least 80% of your work.
- Most of your donors will give small gifts. And you need those gifts, because (a) they add up, and (b) they represent Regular People Who Care and Are Inspired to Invest Their Own Cash in What You Do, and that's powerful, and it builds a movement. So take care of these donors respectfully, while doing it efficiently.
- Different sources of revenue offer different pluses and minuses. No one source is sufficient. So, diversify, diversify, and diversify.

The following table lists the common realities found while fundraising and the associated strategies that can help you address them.

The Reality	The Strategy
Easier to get money for <i>one</i> event than for a sustained long term program.	Develop a comprehensive long term program, but break it into smaller chunk sized bits to seek funding for each part, from the same or sometimes different sources
More and more NGOs are seeking more money from traditional funding sources.	Develop a more diversified range of donors who can provide different points of a program/project implementation. Seek both local as well as overseas donors
Many donors are providing much less money than required, or simply do not have enough.	A diversified fund-raising programme is very important. An interesting thumb-rule - closer the donor, smaller the amount. A person walking on the street in your town may provide only small change that he currently has in his pocket. But a more 'distant' person or organization may provide more funding.

The Reality	The Strategy
There are many conditions and terms imposed on funds provided by most donors that may restrict its use.	Understand the <i>need</i> for these conditions/terms by looking at it from the donors' perspective; ensure that you have communicated your needs very clearly - the who, how, why and when; try to find a middle ground in negotiating with the donor - <i>satisfy their needs without sacrificing your own</i> .
Technical knowledge and information (especially through consultants) is very expensive and takes up much of a funding request.	Try to seek in-kind contributions from experts, especially from a corporation or company. This puts them in a good light, and enables them to be community-friendly. This can be done in the form of advice, work-time, equipment use etc. Note that this is different from a 'donation'. The relationship between the NGO and the expert is longer and stronger.
Misdeeds and fraud by some NGOs taint the sector as a whole, creating mistrust and misunderstanding.	Get out of the 'charity' angle. Develop clear professionalism among the staff members. Always be willing to provide info on the NGO's goals and objectives, as well as programmes. Get third party organizations to write about the programme and projects. Keep good relations with the media, and cultivate spokespersons among the staff members.
Donors based in high-income, OECD countries cannot, and will not, provide funds to smaller NGOs.	Where possible, bring together a coalition of partners - of other NGOS, universities, research institutions, etc. who contribute different expertise and knowledge, and larger target areas and beneficiary communities.
Sometimes it is so difficult to find a donor who is willing to finance a specific programme or project.	Look in other places. Sometimes a local businessman or company may be willing to help - only if and when asked! Seek funding from 'non-traditional' sources that may exist in your own backyard.
It takes so much time, effort and money itself to find and secure funding.	All staff members of an NGO should spend part of their time in fundraising - each catering to different aspects of the process - writing proposals, finding and networking with donors, negotiating, writing reports etc.
Fundraising activities need skills and knowledge to be effective and successful - which most NGOs do not have	Creating NGO Networks, NGO service centers, information kiosks etc. help in pooling and developing the knowledge and skills needed for this purpose.
NGOs, in many cases, are in competition with each other to seek and find funds	Try to find the differences and uniqueness of your own program/projects. What new approach have you used? Usually, each NGO services a different aspect or a different community - with rare overlap. Develop a 'bigger picture' with other NGOs that illustrates comprehensive and diverse package of services and projects.

(Global Development Research Centre, nd)

1.3 Fundraising Strategic Plan

A fundraising strategy is a plan that sets out the:

- The funding need for an organization, project or event, and the method to meet these needs
- The timeframe within which to achieve the targets
- Possible funding sources for each of the methods

1.3.1 Why Develop a Fundraising Strategy?

Planning helps to avoid wasting time and resources. The development of a fundraising strategy should enable the people in an organization to ensure that:

- There is a shared understanding of the aims and priorities for the organization
- The agreed priorities are a 'good fit' with what the organization is set up to do
- The agreed priorities are complementary to other local activities and services and don't duplicate those that are being undertaken by other organizations
- There is a shared strategy that sets out how those priorities are going to be realized

As well, developing a strategy helps to:

- Provide clarity about your or the organization's aims/priorities
- Ensure that the priorities are realistic, achievable and shared
- Ensure better targeting of donors
- Ensure the highest possibility of funding success
- Encourage a shared responsibility for fundraising

1.3.2 What Happens with a Fundraising Strategy?

A completed fundraising strategy can be used as a stand alone document for a one off project, or as an appendix to an existing program plan. A fundraising strategy is not a substitute for a plan. A completed fundraising strategy is the first step of the process, the most effective strategy will be reviewed to take into account changes within and outside the organization and to assess and measure progress. Some ways to integrate a fundraising strategy into an organization might include:

- Regularly review the strategy
- Build strategy updates into meetings
- Identify key milestones for the plan to measure progress
- Circulate the plan to new staff and board members

1.3.3 Developing a Fundraising Strategy in Three Steps

Long-term strategic plan	Medium-term business plan	Short-term operational plan
<ul style="list-style-type: none"> • “Why do you need to fundraise?” • Incorporates the program and fundraising direction for the specified time-frame (3 to 5 years) that will meet the organizational mission. For example, a fundraising direction to build a regular-donor base for the organization. 	<ul style="list-style-type: none"> • “How much do you need to mobilize?” • Articulates the resources needed to meet the strategic plan and related infrastructure needs (18 months to 2 years). For example, to raise regular donors through a mass-marketing campaign that includes direct mail and web-based donor recruitment. 	<ul style="list-style-type: none"> • “How will you meet the fundraising target?” • Provides the activities to be undertaken for meeting the fundraising goals on an annual basis. For example, setting up of a website that has online donation facility; developing a list of names and messaging for the direct mail appeals.

2 Tools and Techniques in Fundraising

2.1 Identify the Prospects

Building a successful and long-lasting donor relationship requires more than just shared interests. You need to identify direct links between your organization and a prospective donor. The more connections you can find, the better your chance of turning a potential donor into a major gift partner.

When identifying links between your organization and a donor, look for the following attributes:

- **Area of Interest.** Funding organizations or foundations that are strictly focused on your area of interest. You can use BIG Online (www.bigdatabase.com) to conduct key word searches for a wide variety of funding interests.
- **Geographic Location.** Donors that provide funding in your geographic location. For the most part, donors clearly state their geographic preferences.
- **Target Population.** Donors who assist your specific target population. There are many donors, for example, who are specifically interested in helping Aboriginal people, women, the physically disabled, or senior citizens.
- **Size and Type of Funding.** Most donors state what range of funding they provide. Try matching your needs with their funding mandate. The size of a donor. Mid-sized donors without full-time staff favour local groups and give smaller grants, but they're more likely to provide operating and capital funds. Large donors with full-time staff are more likely to have set procedures and criteria. With large donors you will also encounter stiffer competition, because they have the most money to award.
- **Criteria for Eligibility.** Make sure your organization meets the necessary eligibility criteria before applying for a grant. Many donors, for example, will only donate to organizations with a charitable or non-profit business number.

2.1.1 Research your Prospects

Research is the key to successful fundraising. A strategic approach to fundraising will increase chances of success. Although it can seem really labor-intensive, boring, and a waste of time, this initial research is really important. It is important to read, surf and subscribe. You can conduct research through:

- Third parties
- Publications (e.g. annual reports)
- Social networking sites
- Others (e.g. friends, colleagues)

The best sources of donors are those who are wealthy and who have a genuine affinity with your cause. Many significant individual and trust donors are listed on annual reports, so create a list of those organizations with a similar cause and check out their annual reports. These are generally available to download from the organization's website or you could write to them asking for a copy.

2.2 Sources of Funds

It is good to be aware of all the resources that are available to you, even if you do not actually need them all when you start your research on prospective donors. These could be:

- Local
- Regional
- National
- International

The following table identifies different sources of funding and describes their advantages and limitations.

Sources of Funding

Source	Advantage	Limitation
Individuals	<ul style="list-style-type: none"> • Largest source of giving • Ongoing source one can build • Once a giver, also an advocate • Volunteers can be a good source of money 	<ul style="list-style-type: none"> • Costly to develop, small return per individual unit • Hard to generate unless broad-based direct service appeal • Risky for the inexperienced • Need significant assistance from the organization's board and volunteers
Large-Family Foundations	<ul style="list-style-type: none"> • Source of large sums of money • Accessible, professional staff • Clear guidelines • Most likely to research your request • Board volunteers can help, not always key 	<ul style="list-style-type: none"> • Lengthy process • More difficult to access through personal influence • Proposals may be more lengthy
Community Foundations	<ul style="list-style-type: none"> • Much like large-family foundations • Staff may be sufficient 	<ul style="list-style-type: none"> • Host of foundations within foundations • Most money is earmarked, special funds
Small-Family Foundations	<ul style="list-style-type: none"> • May fund ongoing operating expenses • Personal influence with board members helps • Guidelines often broad • Not very fussy about grant format 	<ul style="list-style-type: none"> • Hard to access, no professional staff • Often not large sums of money • Without personal influence, may not be possible
Large Corporations / Corporate Foundations	<ul style="list-style-type: none"> • Can be a source of large sums of money • Smaller amounts of money may be ongoing • Often accessible, professional staff • May be tied to volunteer involvement • Business strategy may be clear • Source of cause-related marketing 	<ul style="list-style-type: none"> • Large sums of money aren't ongoing • Hard to get around staff • Must be within their guidelines • Not likely to contribute if not headquartered locally or have a public consumer base • Often want board representation
Small Corporations	<ul style="list-style-type: none"> • Very informal approach • Money may be ongoing • Personal connections will suffice • Neighborhood focus will help 	<ul style="list-style-type: none"> • Small amounts of money • Narrow range of interest • Personal contacts are key
Federated Funds (United Ways, United Arts, Combined Health Appeal)	<ul style="list-style-type: none"> • Steady source of relatively large sums of money • Clear process • Professional staff, can be agency staff driven 	<ul style="list-style-type: none"> • Generally can't be a start-up organization • Must be social service and fit priority focus • Very lengthy entry process • Very time consuming as must be part of yearly fund raising process, with periodic in-depth review
Government	<ul style="list-style-type: none"> • Large sums of money possible • Process is set, clear • Political clout helps • May be source of ongoing money 	<ul style="list-style-type: none"> • Application procedures may be long, tedious • May only pay by unit of service, fluctuates • Unspent monies may be returned • Difficult record keeping
Faith-Based Organizations	<ul style="list-style-type: none"> • Often looking for group projects 	<ul style="list-style-type: none"> • In-kind services most likely • Need to fit their service focus, neighborhood or religious outlook

2.3 Methods of Fundraising

The following table outlines different approaches that can be undertaken for fundraising. These methods are not mutually exclusive and can be done simultaneously.

Method	Description
Grants	Significant donations to a non profit for specific programs. Contributors may be individuals, corporations and foundations.
Mass marketing	Direct solicitation of funds by mass-mailing (including email or other electronic means) or telemarketing to potential individual donors.
Planned giving	Pre-arranged gift, such as a bequest, life insurance policy or gift annuity. Contributors are individuals who share the organisation's vision, and / or who want to take advantage of tax planning.
Regular or annual giving	Fundraising program that generates support to help sustain yearly budgets or general operations. This includes membership programs.
Special events	Activities organised by the non profit organizations or other supporting organisations to raise funds.
Sponsorship	Deals that the non profit organizations and sponsors (e.g. corporations) enter into with clearly defined benefits to each party.
Gift-in-kind	Donations of free or discounted goods and services. Contributors are usually businesses and professionals in the community.
Fee for service	Charges for services you already provide (or can provide) to clients.

2.3.1 Appeals Using Direct Mail

- Use a plain envelope. Studies have shown that plain envelopes generate the best response rates. Don't be tempted to tease your offer on the envelope. Save your power packed copy for the letter.
- Always include a letter and make it personal. It may sound obvious, but more studies have shown that response rates dramatically improve when a direct mail pack contains a letter. Packs without letters are impersonal and lack a focal point.
- Find out who you need to write to and personalise the letter, therefore write to a contact not a company.
- Be specific. Talk about benefits rather than features. Back up your claims by including quotes from other donors.
- At the end of your compelling letter, make it clear what you want the reader to do next. Do you want them to register online, return a form or call you? Tell them what you want them to do, and tell them again!
- Include the return envelope with stamp (if needed)
- Tell them what to do now! Include links to website and donation pages.
- Think of the turn around time on processing to receipt and thank you letter.
- Track the responses.
- Follow up with a phone call wherever possible.

2.4 Methods of Communication

Some often used methods to communicate are:

- Visiting cards and letterheads
- Making phone calls
- Making presentations
- Writing letters
- Distributing brochures, leaflets, inserts and appeals
- Putting up posters, banners and hoardings
- Bringing out a newsletters
- Publishing an annual report
- Organizing a campaign
- Case for support
- Using the mass media: newspapers and magazines, radio, TV
- The Internet: e-mail, e-newsletters and website

A well-conceived communications plan is essential to the success of your fundraising effort, especially if it's a broad-based effort that is directed to the general public. In addition to the nature and personality of the organization or project there are other broad variables related to a communications campaign, such as its purpose, timeline, and dollar goal that will dictate a custom-designed approach to creating awareness. In every case, however, an organization will have its own constituencies whose characteristics and needs must be individually considered.

STRONG and *weak* Language

While soliciting a person or an organization, you have a short period of time to convey the importance and urgency of the issues you are working on and the ability of your organization to win. Give careful consideration to the language you use. Some words psychologically reinforce your message. Other words may inadvertently undercut it. For example, "trying" to win is not the same as "working" to win.

Generally *weak* words

maybe
trying
asking
possibly
O.K.
(we) understand
basically
hoping
probably
perhaps
(we) think
can't/won't/never

Generally **STRONG words**

working
winning
our strongest supporters are
pressuring
crucial
vital
fighting
demanding
can you match that
exactly
critical
urgent
necessary

Activity – Introducing Yourself

Keeping strong and weak language in mind, practice introducing your organization or project to a potential donor. You may wish to write a script to help with your words.

Activity - Develop Your Statement of Work and Achievement

Use Tool 2 in Appendix 1 to develop your organization's or project's Statement of Work and Statement of Achievement.

Exercise – Discussion Question

How do you approach a prospective donor about your organization or project? What factors are important to you when representing your organization or project?

2.5 Fundraising Communication Tools

Exercise – Story of Change

A story of change is about a person, a family, a community or an aspect of the environment that has undergone a positive change because of your organization's work. Use Tool 3 in Appendix 1 to develop a story of change for your organization or project.

Exercise - Develop a Fundraising Brochure

Use Tool 4 in Appendix 1 to develop a fundraising brochure for your organization or project.

Exercise – Making an Effective Presentation

Use Tool 5 in Appendix 1 to develop a presentation about your organization or project.

2.6 Proposal Writing

Talking to prospective donors is a critical element in the proposal process. For the sake of efficiency - and to avoid wasting valuable proposal preparation time - always call and speak to a foundation officer or program director before preparing a formal proposal.

Tips For Calling a Potential Donor

1. Before you make that call, be sure to collect all the information you can about a prospective donor. Call them only after you are certain they are a strong match.
2. Only call a donor if they list a phone number; an advertised number indicates they are happy to hear from potential applicants and this should be utilized. With any call to donors however, do not call unless a clear sense of the project is formed; a bad impression at the beginning could jeopardize your chances.
3. By discussing your ideas first, you can craft a more responsive and complete proposal, while improving your overall chances of success. Most grant officers appreciate a phone call in advance - it saves them the time of reviewing marginal proposals.
4. Know what you want to say before picking up the phone and develop and practice your key points. You can even write them out beforehand, to make certain you don't forget.
5. Introduce yourself and your organization first. Tell them that you've read their guidelines and have a couple of questions for clarification. Explain that you'd like to run your initial ideas by them before preparing a formal proposal, to ensure your needs match with their overall strategy. Then ask if they have the time to discuss your ideas and the nature of your project.
6. A timely phone call is a critical introduction to your organization and may make your name stick in the grant officer's mind when it comes time to review your proposal. Even if your latest initiative doesn't get funded, your proactive approach will be appreciated.
7. When the phone call is finished, don't forget to thank them for their time. Like most of us, they work hard too.

2.6.1 Steps in Successful Proposal Writing

1. Follow the donor's instructions with regard to:

- Format, sections, project plan
- Agency's Review Criteria
- Priority Areas for the agency

2. Respond to a solicitation

- Deadlines (pre-proposal, letter of intent, full proposal)
- Additional review criteria and requirements

3. Prepare a detailed and accurate budget

- Make sure the budget adds up; a surprising number of budgets do not and are therefore turned down as the financial integrity is immediately in question

4. Develop a timeline for writing and proofreading the proposal:

- Allow time for many drafts
- Allow time for feedback
- Allow extra time

2.6.2 Format for Proposals

Each donor usually provides a personalized format for proposal. At the same time there are certain essential elements to a proposal.

- Cover Letter
- Executive Summary
- Needs Statement
- Objectives
- Implementation Methods
- Qualifications
- Donor Recognition
- Evaluation
- Budget
- Project Future
- Appendix

Cover Letter

The cover letter is a compact version of your introduction and executive summary. It sets the stage for these two sections and acts as a formal introduction to your organization.

It should contain the main points of your proposal, be carefully written and no longer than a single page. Whether the proposal is for project funding, support for a capital campaign, operating equipment or seed money, a cover letter should express your needs clearly and concisely.

Some simple rules to follow when crafting a convincing cover letter:

- **Be direct.** Like any type of writing, it is vital that you catch the reader's interest early and give them a reason to continue. You have one page to make your point, so get to it quickly.
- **Be compelling.** You can hold a reader's interest through compelling examples and strong arguments. These engage the reader's interest and highlight the importance of your work.
- **Use an active voice and positive language.** Your organization has an inspiring cause - so keep the language inspiring. Communicate the strength of your conviction and be positive. Grant officers want to know that a problem can be solved and are much less receptive to negative language.
- **Use personal names.** Never address a letter "to whom it may concern". It's usually taken as a sign that you haven't done any research. When conducting your preliminary research and initial phone call, find out precisely who will be reading your proposal and address the letter directly to that person.
- **Take your time.** It is better to miss a deadline than risk making a bad first impression. Be sure to give yourself enough time to do a first class writing job.
- **Use an editor.** Always ask your colleagues for their input and guidance when writing and editing the cover letter. Remember, even professional writers use an editor.

Executive Summary

The executive summary is the most important section of your proposal. A good executive summary should be no longer than two to three pages - depending on the complexity of your project. It should also summarize the main points of your full proposal in a succinct and compelling manner. If your project scope is relatively narrow and your needs easily defined, a two or three paragraph summary is acceptable.

Keep in mind that an executive summary is designed to highlight your organization's needs while promoting interest in the proposal. Use the executive summary as an opportunity to explain the scope of your appeal and give the grant officer a reason to become involved.

In terms of basic structure, your executive summary should contain a brief break down of all the sections in your proposal. Feel free to use the same language as your cover letter. Consistency is important and no one will fault you for repeating a good point more than once.

It is also important to remember that an executive summary may be the only section of your proposal that a potential donor reads. So make it a good one.

Needs Statement

In this section you should define and demonstrate an over-riding need for your service in the community. A short, succinct and well written needs statement demonstrates your knowledge of the issue. It should also demonstrate to the reader how your organization represents the best solution to a problem.

An effective needs statement should:

- Be clear about who will benefit from this project. Identify the beneficiaries in geographic, social and economic terms.
- Link your project to the interests of the donor. Show them how backing your organization fits with their goals and values.
- Reinforce your arguments and illustrate your case. Try including comments from leaders in the field, as well as facts and statistics. Empirical data strengthens your case and demonstrates to prospective donors that you understand the problem.
- Establish how your project and organization are unique or different from others in the community. This shows the reader how your organization can more effectively influence the problem.
- Never exaggerate or overstate the need, or your ability to influence the problem. If your project involves curbing violence, for example, don't claim to have discovered a global cure for all forms of violence.
- Show how other groups and regions could benefit from your initiative. Projects that begin at the community level can often have implications for other regions.

Objectives

This section should include all the expected goals, outcomes and results of your project. State your most compelling target objectives first and always use concise, clear language, as well as examples.

Objectives - or goals - are sometimes confused with the methods used to achieve a certain result. A method talks about the activity you will perform to achieve your goals, while objectives are the expected results of your actions.

To illustrate the point, follow this fictional example of a biosand filter project:

- Method: "We will install 100 biosand filters in people's homes."
- Objective: "We will improve the drinking water quality for households throughout our region."

Be certain your objectives are practical and attainable. Logical and rational goals help to create a confident proposal. Overselling or overstating those goals, however, will detract from your message.

Show the donor how your success in achieving these objectives will make the world a better place. Like investors, they want to see a return on their investment. Stress the measurable results of your project by using target language like 'reduce', 'eliminate', 'increase' or 'decrease'.

Implementation Methods

The methods section contains a detailed description of how your organization will achieve its objectives. This section should leave a grants officer or donations committee with the impression that you understand the steps - and challenges - to achieving your objectives.

Here are some guidelines to follow:

- Describe your methods in a logical, step-by-step way. Timetables are an extremely effective method of illustrating your methods section. Timetables communicate to a donor that you are not only capable of starting a project, but also prepared to complete it.
- List all the things that could go wrong with your project and how your organization anticipates solving these problems. Build in contingencies or alternate methods that can be substituted to ensure success.
- If possible, research similar programs that were successful and determine what methods were used. No one will fault you for borrowing ideas or project elements from other organizations. But if you do, be sure to identify the source.

Qualifications

The qualifications section is a discussion of your organization's special skills or abilities. Highlighting your historical achievements and the credentials of your staff will show that your organization is capable of achieving its objectives.

Provide a brief description of your key personnel, listing their track records and past successes. Then take some time to describe the resources which are currently at your disposal. This description can include a list of equipment, research or other intellectual resources, as well as a synopsis of partner organizations and support networks.

Try to provide references for people the donor can contact to verify the capabilities and commitment of your staff and organization.

Donor Recognition

The desire to make a positive impact in the world remains the prime motivator for charitable donors. But most still like being recognized for all the good they've done.

Recognition methods can take many forms, from donor walls to a public thank you. As an organization it is critical to determine what forms of recognition you are most comfortable with and ensure that all donors - both big and small - are included.

There are donors who will always prefer to remain in the background. This is particularly true of family foundations. It's important, therefore, to find out whether a donor wants to be recognized and in what way.

Evaluation

The evaluation section is the place where you demonstrate a plan to measure progress and achieve objectives.

Don't underestimate the importance of this section in today's economic environment. Evaluating the impact of an initiative is a key requirement for most donors, particularly corporate foundations and government. Many organizations have failed to secure grants because they simply neglected or ignored this section of the proposal process.

It is absolutely critical that you have the ability to measure the success of your project. Well thought out and effective evaluation methods will lend additional credibility to your proposal.

A solid evaluation program will help you monitor the progress of your initiative more closely. It also shows prospective donors that you have the capability - and the willingness - to track and quantify your organization's effectiveness.

In your evaluation section, briefly describe how the results will be measured. This can include:

- Testimonials from community officials detailing the impact of your initiative
- Timetables that list high priority deadlines
- Charts that project the number of people you aim to help or the statistic you mean to decrease or increase

If you are unable to come up with an appropriate evaluation method, think about hiring an external consultant to conduct the evaluation. You can offset the cost by building the expense into your overall budget.

Budget

A budget is a plan that describes how your organization's money is spent (expenses) and earned (income).

The budget should demonstrate your organization's ability to manage money in an effective and careful manner. It should present a realistic estimate of the funding required to achieve the project's objective(s). Remember that a non-profit organization should plan so that expenses and income are equal.

Budgets are normally organized in a table, listing expense items first and income items last. Explanations of unusual items are normally provided as footnotes.

Typical expense and income categories include:

A. Expenses

- Salaries and Benefits
- Contract Payments
- Rent
- Office and Equipment Expenses
- Travel and Lodging

B. Income

- Payments in Kind
- Earned Income

C. Contributed Income

- Indicate the funding you anticipate from the donor in this section.

Project Future

The project future section is a description of how you will sustain your project and your organization over time. By generating a project future strategy you answer the donor's question "What's going to happen to this project once we stop funding it?"

To answer this question effectively, you will need to demonstrate a sound fiscal strategy and a commitment to becoming self-sufficient.

Building a project future into your proposal will show that your organization has a strategy for the long term. It will also demonstrate that you have taken the time to conduct research and prove the economic viability of your organization.

In this respect, the project future can help to reassure a potential donor that they are not your sole source of financial support.

It is not necessary to complete the project future unless your proposal is going to be implemented over the long term. If your proposed project is ongoing, map out a plan for obtaining future financing. This can include:

- A request for funding in the future, based on the measured success of your project
- A detailed strategy for raising funds from other organizations in your community, such as businesses and corporations
- Plans for a fundraising campaign targeting the general public
- A list of any other revenue generating programs or projects

Appendix

The appendix contains all the basic data, statistics and organizational information that's included in the body of your proposal. It should include any and all relevant materials that will boost the significance of your project or lend weight to your arguments.

Identify and clearly distinguish each item in the appendix. Order them in the way in which they appear in the proposal. In the appendix, you may want to include:

- Verification of your charitable registration status
- Resumes of key personnel, as well as the names of board members and officers
- Your most recent financial statements (e.g. an annual report)
- The full statistical data in your proposal
- Lists of past and current funding sources

2.6.3 Packaging Your Proposal

Your proposal is concise, the messages are clear and the last minute editing changes have helped make it more effective. There's only one thing left to consider: is your proposal properly formatted and packaged?

The following are a series of hints and tips to make your proposal easy to read and professional looking:

- Use a basic font such as Times New Roman or Arial – they are the easiest to read. If you are going to mix different fonts within a document, limit yourself to two.
- Use one-and-a-half line spacing instead of single or double.
- Leave adequate margins of at least one inch on the top, bottom and sides.
- Do not use artistic borders or designs on the title page or anywhere else on the proposal.
- Number all pages.
- Don't forget to spell check the entire document.
- Use bullets or other types of formatting when outlining important points.
- Use plain-coloured paper.
- Avoid expensive or flashy packaging. A paper clip or staple works fine.
- Use footnotes wherever necessary and make sure to follow standard footnoting style.

2.6.4 Dealing with Rejection

One of the most difficult experiences in the fundraising world is dealing with "no". Look at a rejection letter as an opportunity to learn from your mistakes and make the improvements necessary to receive a positive response in the future.

Take the opportunity to review the entire application process and ensure that you are satisfied that every step in its development was properly carried out.

Once you have read the letter of refusal for clues to the rejection, get an outside opinion and see if they can help you understand why the proposal was turned down.

You may also wish to contact the donor and ask them if there is anything you could have done differently or whether there was a specific problem with the proposal.

If everything seems to be in order, apply again in the next grant cycle.

It can happen that your funding proposal goes unanswered. This is particularly true of small family foundations that lack the staff to answer letters. If you feel everything with your application is in order and you're convinced that the project would still be a good fit, send them an update every six months.

Tips for Successful Proposal Writing

- Choose a significant problem. Bonus points if not much work has been done on the problem. More bonus points if you are doing the important work.
- Ask important, big questions; leave no doubt that you can accomplish your aims
- Don't assume anything - the person reading the application probably won't know your project or organization, so make sure that you give them all of the relevant information
- Revisit the donor's guidelines to confirm the information required
- Ask why it is important to be a donor to your organization
- Always put a header at the top of each page
- Don't handwrite an application unless requested
- Check twice for spelling mistakes
- Have your proposal reviewed by collaborators or colleagues before submitting.
- Read "successful" proposals of your peers
- Make sure all relevant information is sent; check the guidelines for applicants to make sure everything is included.
- Make sure the budget adds up; a surprising number of submitted budgets do not and are therefore turned down as the financial integrity is immediately in question
- Always write a cover letter
- Do not submit on the day of the deadline
- Always keep a copy of any application made
- Volunteer to serve on a review panel

2.7 Cultivating Donor Relationships

It is important for us to build a base of loyal and supportive donors. Whether it's a government entity, a private foundation or an individual, we need to maintain strong relationships with them in order to continue receiving their support. At the same time, cultivating a relationship with a potential donor is also crucial to the fundraising process. Relationship building is key to maintaining prospective, new or long standing donors.

- Look for opportunities to interact with them and other individuals who are associated with them
- Include them in your fundraising activities
- Send them an invitation to a special event
- Send them your organizations annual report or newsletters

To be successful, donor cultivation must be embraced by the entire organization. It is not just a tool to be used by the development department. In order for an organization to cultivate its donors successfully, and grow more and larger gifts, it must become donor centric. It takes the commitment and involvement of an entire organization to cultivate donors successfully.

2.7.1 Thanking Donors

Maintaining strong donor relationships is critical to long-term fundraising success. When you've received funding from a particular donor, it's advisable to do the following:

- Contact the donor as soon as possible after the grant is received. To make an immediate impact, this activity should be carried out within two or three business days.
- It is best to have the most senior person in your organization contact the donor.

Be prepared to thank a donor at least six times:

- When they visit your site
- At your official opening or Annual General Meeting
- In your newsletter
- On your website
- When you provide your first interim report
- When you report project completion

3 Additional Resources

A Financial Self Sufficient Guide for Non-profit Organizations (2006). The SCORE Foundation, Washington, DC.

Burnett, K. (Revised 2002 edition) Friends for Life Relationship -Fundraising in Practice. White Lion Press

Information on Starting a Non Profit Organization in Canada. Charity Village. Available at: www.charityville.com/cv/guides/guide4.asp

Resources for Mobilizing Funding for Development Projects. (2001) Small Grants Program, Social Development Department, World Bank and International Youth Foundation, Baltimore, Maryland USA.

4 References

Global Development Research Centre (nd). NGO Fund Raising Strategies. Available at: www.gdrc.org/ngo/funding/fund-raising.html

Norton, M. (2003). Directory of Social Change. The Worldwide Fundraiser's Handbook - A Guide to fundraising for Southern NGOs and Voluntary Organizations.

The Resource Alliance. The Importance of Localizing Resource Mobilization. Available at: www.resource-alliance.org/resources/articles_library/79.asp

Appendix 1: Fundraising Tools

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Tool 1: Statement of Work and Achievement

Statement of Work

Have you ever heard someone describe their organization's work and wondered what is it that they really do? A statement of work is a brief (less than 15 words), clear and simple description of your organization's work.

Clear statements:

We care for children in poor communities by providing clean water and sanitation.

We care for families in poor communities by providing education and skills to implement a household water treatment program.

Unclear statements:

We provide integrated education to poor communities.
(The word 'integrated' is not easily understood by everyone.)

We investigate cases of human rights of abuse.
(The word 'cases' makes it sound clinical!)

We work to save forests.
(Is a little vague; you could be involved in reforestation, preventing chopping down of trees or battling forest fires!)

Statement of Achievement

Your communication material should enable readers to quickly identify achievements. Achievements are:

- Measurable and verifiable
- Something you're proud of
- An indication of one of your main activities
- Able to show the impact of your work on people's lives or their environment

People often describe activities, instead of achievements. Activities can simply be defined as things that are done to achieve a desired goal. Remember activities don't make headlines, achievements do! Some examples to quickly distinguish one from another are given below:

Activity – I studied for five hours a day for a year to write my annual exams.

Achievement – I was at the top of my class in university last year!

Activity - 500 individuals from underprivileged communities were provided household water treatment training through 30 workshops

Achievement - 20 individuals became volunteer community trainers and 2 individuals are currently in the initial stages of implementing a household water treatment program.

Tool 2: How to Write a Story of Change

A story of change is about a person, a family, a community or an aspect of the environment that has undergone a positive change because of your organization's work. A good story of change:

- is based on a real life situation
- uses names of people and places where possible (though they may be changed to protect identity)
- provides some factual details (e.g. age, sex, family background)
- provides a clear before and after situation
- states the problem and highlights the solution
- includes quotes as far as possible
- can be used more effectively with a photograph
- may be between 25 and 250 words long

While writing a story of change:

- Decide who will read it
- Collect all information
- Think about the structure of information
- Start crafting it
- Know when to stop
- Read again and get rid of irrelevant information
- Test it and modify
- Provide an attractive layout with pictures, fact-boxes...
- Remember - Your story should outline the significant change your organization or project has helped bring about

For example:

Fourteen year old Devi Kumari lives in Satu Pasal, Nepal with her family. The women of the village worked with WaterAid's partner NEWAH to build a water supply close to their homes while the village men were fighting with the army. Before they had their safe water supply they used to have to collect water from a dirty river at the bottom of the hill. When the men returned they were so inspired by the women's work that they decided to build a path from the village to the new water point.

Devi's grandmother Devaka Kahtri explains the difference that water has brought to her family's life. "We used to get water from the stream, it was very dirty. The children would get sick with diarrhea at least once a month. Now that hardly ever happens. A neighbor's son died four years ago from diarrhea and it is still happening in villages further up the hill where they don't have safe water"

(WaterAid, nd)

Tool 3: Making a Fundraising Brochure

Here is a checklist for you to create a donor-friendly brochure for your organization.

Must-have features:

- Purpose, mission and vision
- Statement of work
- Information on various programs, projects, activities
- Specific details on programs that need funds
- Specific details on how people can help
- ASK for the donation
- Statistics validating the cause and its seriousness
- Statistics related to the work accomplished
- Donor testimonials, celebrity endorsements, quotes
- Stories of change
- Acknowledgment of supporters
- Contact addresses of the organization
- Other contact details – telephone number, fax, email.
- Organization's registration status
- Logo or symbol of the organization
- Readable font and simple, brief text; catchy headlines, no jargon
- Good artwork (relevant photos, sketches, shapes, type styles)

Good-to-have features:

- Only necessary graphics and not too many fonts
- Fewer pages; may follow a theme
- Fundraising programs to involve donors
- Use the colors of the organization in the website
- Details of governing body
- Good quality of paper, printing and color
- An appeal clearly specifying what the organization needs

Could-have features:

- Additional information for visitors
- Advocacy of a cause through the brochure (e.g. send a fax, sign a petition)
- Financial details

Tool 4: Making an Effective Presentation

Making an effective presentation is comprised of the following:

1. Preparation

- **Target audience.** Are you addressing a company, a school/college, a self-help group or Rotarians? This will influence the language you use and the examples/ analogies you quote.
- **Purpose.** Why are you making the presentation – inform, motivate? What do you want the audience to do at the end of the presentation?
- **Time.** If you have 10 minutes, prepare for 5 minutes. Keep the rest for interaction and questions.
- **Structure.** Have a logical sequence to the presentation.

2. Structure

- **Opening.** State your full name and your organization's name clearly. State why you're making the presentation and why they should be interested.
- **Introduce your work.** Start with a powerful story or a fact to capture the audience's interest.
- **The body.** Outline your work, state your best achievements and provide evidence (photographs, achievements, quotes from a person who has benefited from your work). Get to the “ask” quickly – state for what you require support and provide three or four options.
- **Conclusion.** Very briefly, ask again, provide contact details.
- **Questions.** Keep enough time for questions. Audiences will remember more of a presentation they have seen, heard and to which they have responded.
- **Ending.** Make sure the audience knows you have ended. Distribute the handouts. State what you expect the audience to do.

3. Soft skills

- **Voice.** Be neither too loud nor too soft. Variations in tone make the voice interesting. Pronounce words clearly – don't swallow ends of sentences or mumble.
- **Speed.** Speak a little slower than you normally would; pause after making an important point.
- **Rapport.** Interact with the audience; watch their facial reactions and body language. Avoid conflict and arguments.
- **Passion and sincerity.** The audience must sense your passion for your work and your sincerity.

4. Visual Aids and Handouts

- PowerPoint presentations are useful as a guide but should be created to enhance your verbal presentation. Pictures are worth a thousand words.
- Include graphs, activity outlines and achievement records to emphasize key points.
- Have handouts that are easy to follow, to the point and well organized.

5. Check

- Check all equipment in advance, before the audience walks in. Does the computer work, is the projector connected, are the slides/flipcharts in order?
- In team presentations, decide who will cover what, and where everyone will stand/sit.
- Check on the venue, arrangements and number of participants in advance.
- Rehearse one or more times.