A Results Approach to Developing the Implementation Plan

A Guide for CIDA Partners and Executing Agencies
March 2001
This is the fourth in a series of tools developed to assist CIDA partners in managing for results. The guide was designed to help CIDA project managers, Canadian Executing Agencies (CEA), and other partners use a results-based approach in preparing Project Implementation Plans (PIP) for bilateral and partnership projects and programs.


The PIP Guide was developed under the guidance of Mary Kurus, RBM Coordinator, and in collaboration with senior program managers at CIDA, the Federation of Canadian Municipalities (FCM), and the Centre Canadien d’Étude et de Coopération Internationale (CECI). Together we reviewed CIDA’s existing resources on results-based management (RBM). We identified the strengths and weaknesses of existing PIP documents, and the challenges facing project managers in preparing PIPs. We hope the result is a guide that can help you address those challenges.

We would like to thank Brock Carlton, Don Brownell, Louise Morris and Ivan Francoeur from FCM, and Etienne Lamy and Bernard Wyler from CECI, for their time and contributions to the development of the guide. Many thanks also to the CIDA personnel who provided comments and suggestions for improvements to earlier drafts.

*A Results Approach to Developing the Implementation Plan* (2001) was written by Peter Bracegirdle of Appian Consulting Inc.

Appian Consulting Inc.
16 Lindenlea Rd
Ottawa, Ontario K1M 1B9

Phone: (613) 749-3960
Fax: (613) 749-2936
appian@appian.ca
www.appian.ca
# Contents

Preface

**CHAPTER 1: ABOUT THE GUIDE**

The Project/Program Implementation Plan

Purpose and Scope of Guide  
Who the Guide is For

How to Use the Guide

**CHAPTER 2: PLANNING FOR THE PIP**

Unit 1 - Overview of the PIP

Unit 2 - Overview of the Process

Unit 3 - The PIP Workplan

**CHAPTER 3: PROJECT/PROGRAM DESIGN**

Unit 4 - A Plan for Updating Project/Program Design

Unit 5 - Context and Rationale

Unit 6 - Logical Framework Analysis

Unit 7 - Reach and Beneficiaries

Unit 8 - Risk Strategy

Unit 9 - Cross-Cutting Themes

Unit 10 - Sustainability Strategy

**CHAPTER 4: PROJECT/PROGRAM MANAGEMENT**

Unit 11 - Management Approach and Structure

Unit 12 - Partner Roles and Responsibilities

Unit 13 - Project/Program Committees

**CHAPTER 5: PROJECT/PROGRAM IMPLEMENTATION**

Unit 14 - Outputs and Activities
CHAPTER 1: ABOUT THE GUIDE

The Project/Program Implementation Plan

The PIP is the first document that the CEA produces after signing a contract with CIDA. It is based on the up-to-date reality found in the field at project or program start-up. The PIP is confirmation that all implementing partners are in agreement with respect to project design, management, schedules and finances. The process of preparing a PIP is essentially a process of validation and consensus building. (The requirements for information in the PIP are spelled out in CIDA’s Geographic Programs Road Map, February 1999.)

Purpose and Scope of Guide

This guide is intended to help CIDA’s implementing partners complete a PIP using a results-based approach. It was designed for a range of CIDA-funded initiatives, including bilateral projects, contribution agreements, partnership programs, and other funding arrangements. We use the term ‘project/program’ in the guide as a short-form for all types of CIDA initiatives requiring a PIP. We recognize that CIDA is moving toward a program-based approach to investing in development. We use the term ‘implementing partners’ as a short-form for all stakeholders who are directly involved in project implementation (these may include managers, beneficiaries, participants, associates, clients and sponsors).

Implementing partners often begin the process of preparing a PIP with a good deal of design information already documented. The project/program rationale, strategy, structure and expected results of the initiative will have been formulated at some level. (We assume this is the case in your project, although sometimes this information is developed for the first time while preparing the PIP.) This guide provides an overview of the information and processes that are required in validating the design, management, implementation and monitoring features of the project/program.

Beyond discussing the application of critical development concepts in your planning, we have not attempted to review RBM theory in the guide. We assume that you are familiar with RBM or that you will make it a point to become familiar with it. If you are new to the field you might want to consult the references we include in the back of the guide.
Who the Guide is For

This guide is designed to reach two main groups:

- Canadian and local executing agencies and their partners who manage projects and programs for results, and
- CIDA project managers who support and oversee that process.

How to Use the Guide

The eight chapters in the guide provide basic information about PIP requirements. They offer guidelines to help you develop a plan and process for preparing the PIP, and provide some ideas for presenting information on your intentions. These guidelines and ideas are shaped by our experience with RBM and project management.

As you work through the guide you will be presented with different types of information - some concepts, questions, and examples from CIDA projects/programs. These are identified by the following symbols:

- **At A Glance**  Each chapter begins with a short introduction and a summary of the units in the chapter. Each unit deals with a specific aspect of PIP preparation.

- **Key Concepts**  These are the basic ideas relevant to each section of the PIP. We have included definitions and explanations that are linked to the management tools required in the PIP. (We’re referring to concepts such as partnership and accountability and tools such as the work breakdown structure and performance measurement framework.)

- **Key Questions**  We have provided questions that you should consider as you plan with your partners and gather information for the PIP. These questions will help you maintain a results approach and meet the requirements for each section of the PIP.

- **Project/Program Examples**  We have included examples from PIP documents and planning tools that illustrate the concepts we discuss. The examples will give you an idea of how information might be presented in your PIP. They focus on community development and organizational development projects.
Preparing a PIP will involve two basic activities: gathering the information you need to manage your project/program, and establishing the processes that will help ensure its ongoing success. Good planning is the necessary first step in both cases. From the information point of view, preparing the PIP means updating project information, reviewing the project design, and generating new information not fully covered in earlier documents. From the process point of view, developing a PIP helps build consensus among partners and helps strengthen the capacities required to implement a successful and sustainable project.

At a Glance

In this chapter we introduce the overall requirements of the PIP. We also discuss how you can get started on preparing one that meets your needs and CIDA’s expectations. This chapter includes:

- **Unit 1 - Overview of the PIP**
  Understanding the overall requirements

- **Unit 2 - Overview of the Process**
  Deciding how you and your partners will work together to develop the right strategy, meet the PIP requirements, and begin developing an effective partnership

- **Unit 3 - The PIP Workplan**
  Organizing your time and resources to carry out the PIP process
Unit 1 - Overview of the PIP

Key Concepts
All executing agencies for CIDA projects/programs will prepare a PIP. It is a management tool used by implementing partners and CIDA to manage for results. The PIP reflects an agreement among partners on the design, management, operational details, responsibilities, schedules and finances.

Typically, you enter the PIP process with a framework for implementing the project/program and the management and technical personnel needed to get the work done. At this time, you need to create an implementation plan that reflects the current realities in the project/program context.

Key Questions
Before you get started, here are some frequently asked questions about the PIP:

What is a PIP?
The PIP is the official plan for the project/program that evolves from the original design documentation (including CIDA’s Request for Proposal, the Concept Paper, the Project Approval Document, the CEA’s proposal and contract with CIDA, and any official Memoranda of Understanding). The PIP combines narrative with a series of tools, matrices and charts to answer fundamental questions about your plan for the project/program - what you will do, who will do what, why, where, when and how, and with what resources.

The PIP is usually a 25-35 page document, with appendices, that includes:

- The context and rationale for CIDA’s development investment and the ways in which the initiative supports CIDA and host country policies and priorities
- The expected project/program results and reach at the impact, outcome and output levels, including planned results for initiatives to promote gender equality and environmental considerations
- A strategy to achieve results as well as the budget, schedule and work breakdown for delivering outputs
- A framework for managing the strategy, including the roles, responsibilities and lines of accountability among implementing partners
- A framework for monitoring performance and indicators to measure results
What is the standard outline for a PIP?

There is no standard outline for the PIP - there are only CIDA’s information requirements. We provide a sample table of contents below that would meet these requirements. It can be modified to suit your needs, provided the basic elements are covered. The sample outline will also give you an idea of the overall result we will be discussing throughout the guide.

Sample Table of Contents of the PIP

<table>
<thead>
<tr>
<th>Chapter 1 Introduction</th>
<th>Chapter 4 Project/Program Implementation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Background</td>
<td>Outputs and Activities</td>
</tr>
<tr>
<td>PIP Methodology</td>
<td>Work Breakdown Structure</td>
</tr>
<tr>
<td>Context and Rationale</td>
<td>Schedule</td>
</tr>
<tr>
<td>Logical Framework Analysis</td>
<td>Budget</td>
</tr>
<tr>
<td>Reach and Beneficiaries</td>
<td></td>
</tr>
<tr>
<td>Cross-cutting Themes</td>
<td></td>
</tr>
<tr>
<td>Risk Strategy</td>
<td></td>
</tr>
<tr>
<td>Sustainability</td>
<td></td>
</tr>
</tbody>
</table>

Chapter 3 Project/Program Management

<table>
<thead>
<tr>
<th>Management Approach and Structure</th>
<th>Chapter 5 Project/Program Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Roles and Responsibilities of the Implementing Partners</td>
<td>Performance Measurement Framework</td>
</tr>
<tr>
<td>Project/Program Committees</td>
<td>Monitoring Risk</td>
</tr>
</tbody>
</table>

Appendices

<table>
<thead>
<tr>
<th>Memoranda of Understanding</th>
<th>Performance Reporting Framework</th>
</tr>
</thead>
<tbody>
<tr>
<td>Updated Logical Framework Analysis (LFA)</td>
<td>Annual Work Planning</td>
</tr>
<tr>
<td>Project/Program Performance Report</td>
<td>Stakeholder Communications Plan</td>
</tr>
<tr>
<td>Work Plan for Year 1</td>
<td></td>
</tr>
</tbody>
</table>

**Who prepares the PIP?**

All partners should have roles in preparing the PIP, since they all share responsibility and accountability for results. Each partner will bring a unique perspective and necessary information to prepare the plan. The PIP process is a time for validating planned results, detailing strategies and dividing resources among partners. All partners who share accountability for results will want to help prepare schedules and budgets.

**How long does it take?**

Once you have signed a contract with CIDA, the PIP normally takes from three to six months to complete. You will need this much time to involve stakeholders in the process of refining the project/program design to reflect changing realities in the context. (Remember, your design may be a year or more out of date by the time the PIP process begins.) Assembling, reviewing and translating the PIP will also take time.

**How much does it cost?**

The cost of preparing the PIP is often a line item in the project/program budget. The process could cost from $25,000 to $125,000. This depends on the size of the project, the participants in PIP preparation, the contours of the preparation process, and the familiarity of partners with CIDA’s expectations for the PIP. It also depends on the degree to which the original design continues to make sense in the present context.

**How is it approved and submitted to CIDA?**

The PIP is an official document and part of the project/program compliance documentation. As such, it requires official acceptance in writing by you and your partners, and by CIDA and CIDA’s partners. One easy way of handling this is through the Joint Project Steering Committee, which can approve the PIP at a meeting and record the formal approval in the meeting minutes. CIDA usually asks that you submit the final PIP in three hard copies and in electronic form in a WordPro format.

**What are the benefits of preparing the PIP?**

Developing a PIP can help you manage for results in two important ways:

- A well-prepared document provides a clear plan of action that links resources, activities and responsibilities to results. It builds a foundation for decision-making, work planning and performance reporting throughout the project cycle. It provides a base for updating information in annual work plans that reflect changes in the field.
- An effective PIP process is essential to establishing a shared vision of what the project/program will achieve and why. It will help everyone understand the problem you are addressing and the expected outcomes of your efforts. A good process helps build consensus for and ownership of the implementation plan. It should reinforce your partnership and result in more capacity among partners to get the job done.
Unit 2 – Overview of the Process

Key Concepts

Preparing the PIP is the first management initiative in your project/program. It is an opportunity for introducing RBM practices into your management and implementation strategies.

Canadian partners working with CIDA are familiar with RBM thinking. Experience in international cooperation has taught us the value of incorporating RBM principles into project processes. Preparing the PIP is no exception - you will want to apply RBM thinking to the design and implementation of the PIP process.

This unit discusses ways of introducing RBM principles into the process. The principles include stakeholder participation, empowerment, consensus building, capacity building, partnership building, transparency and accountability. These ideas appear throughout the PIP guide in the discussions, questions, and examples we provide.

Key Questions

You and your partners might consider these questions at the outset of the PIP process:

What is involved in the PIP process?

The PIP process involves consensus building and capacity building in the critical elements of your plan. It is shaped by the complexity of the project/program, the range of partners involved, their planning experience, and the resources you have available. The process could involve field missions, design workshops, diagnostic research, document review, planning sessions, team meetings, telephone calls and training in RBM. Beyond this, the PIP will need to be written, reviewed and revised, and translated once it is finalized.

What are the critical elements of the PIP?

We think some parts of the PIP are more central to success than others. The critical elements of the PIP are the development problem, the results chain, the output-activity matrix, the management structure, the partners’ responsibilities, the budget, and the performance measurement framework. In our view, implementing partners should focus their energies on elaborating these critical elements in their joint planning activities.
How will you begin the process?
Implementing partners often begin the process by identifying members of the PIP preparation team. They could include, for example, project/program managers, field coordinators, sector specialists, functional experts and beneficiary representatives. One of their first tasks should be stepping back and examining the rationale, expected outcomes, and basic strategy for the project/program. You need to be very clear about the nature of the problem you are addressing. Once you formally agree on the big picture, it will be easier to develop a plan of action that everyone ‘owns.’ The team could prepare the work plan and describe the methods for gathering information and the RBM capacity building that will take place.

How will you build partners’ RBM capacity?
Implementing partners often plan for an RBM workshop early in the PIP process. This will increase your knowledge of RBM and build up your RBM tool chest. The RBM workshop is an opportunity to introduce RBM thinking into your examination of the development problem, the results chain, and the output-activity matrix. Given CIDA’s requirements for reporting on results, you can also use the workshop to incorporate RBM frameworks into the design of monitoring processes. At this point, partners may plan for more RBM training after the activities begin. Like the RBM workshop, this training is recommended but not required by CIDA.

More generally, the RBM workshop helps partners see the PIP process from an RBM perspective. You can identify the outcomes you expect from the process. For many, the most attractive outcome is a stronger partnership that is focused on achieving results.

How will you strengthen your partnership through the process?
Implementing partners often focus on partnership building in a workshop on project management. You can identify and assess the capacity required by partners to carry out their responsibilities. You can establish ground rules and processes for communicating and working together. You can articulate a formal partnership agreement. Beyond the workshop, you build commitment and trust through participation in decision making and accountability for performance.

There are different types of ‘partners’ in development programming, including implementing partners, beneficiaries, coordinating agencies and funders such as CIDA or host government ministries. You need to understand the dynamics among different partners in order to assign responsibilities and build capacity. The leadership, capacity and commitment of individual partners often determine the effectiveness of the partnership. The central factor may be the presence of leaders who can move their people forward toward the stated goals.
**How will you build accountability for performance?**

Partners also use the workshop on management to discuss the accountability of individuals for resource use and results. Some partners will develop ‘accountability agreements’ that indicate responsibilities and consequences of performance. This discussion is sensitive and complicated in most settings, so you need to emphasize the benefits of accountability to your partnership. It is worth remembering that you are accountable to CIDA for achieving the expected outcomes of the project/program.
The PIP process could last six months and involve three dozen people, so there is good reason for you and your partners to prepare a workplan for writing the PIP. It will help establish collective ownership for the process at the outset, and ensure the process is well managed for the results you expect.

We recommend that you begin the process by creating a matrix like the one shown in the example that follows. This type of matrix is one way of moving everyone ahead. It will give implementing partners a clear idea of their responsibilities in the process, and how information they generate will be used. You can do this through an exchange of e-mail prior to the first PIP mission, or in person at its start.

The workplan is not required by CIDA, so the decision to create a matrix belongs to you and your partners. We do suggest that you plan the PIP process carefully in any case.

Key Questions

The PIP matrix presented on the following pages is one example of how to go about making a plan. However you decide to structure it, your workplan or plan of action should help you identify some basic information about the PIP process:

- What are the tasks involved in PIP preparation?
- What is the best way to develop each section of the PIP?
- Who will be involved in each major task in developing the PIP?
- Who has the information required for each section? What form is it in?
- Who has the resources and skills required to gather and analyze information?
- Who will be responsible for each section of the PIP document?
- Who will assemble the final PIP document?
- When will each section be ready? What is the final deadline?
## The PIP Workplan (Task Matrix)

<table>
<thead>
<tr>
<th>PIP Section and Information</th>
<th>Mission and Purpose</th>
<th>Method and Activities</th>
<th>Who is involved</th>
<th>Lead</th>
<th>Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Project Design</strong>&lt;br&gt;Context and Rationale, Project Planning Framework, Risk, Reach, Gender Equality, Sustainability Strategy</td>
<td>PIP field mission in May 2000. Mission #1 will update project design information and build consensus on overall strategy and results framework, including results chain and performance monitoring system.</td>
<td>RBM workshop to develop plan, introduce RBM thinking, and develop research instruments. Research to update project context and rationale. Design workshop</td>
<td>CEA, Local executing agency (LEA), Local business association, Community groups</td>
<td>LEA is takes the lead for this section</td>
<td>RBM workshop from May 1-5&lt;br&gt;Research from May 8-19&lt;br&gt;Design workshop from May 22-26&lt;br&gt;PIP section due on June 16</td>
</tr>
<tr>
<td><strong>Project Management</strong>&lt;br&gt;Management Approach and Structure, Partners Roles and Responsibilities, Project Committees</td>
<td>PIP field mission in July 2000. Mission #2 will address management issues, partnership agreements, and accountability frameworks.</td>
<td>Management workshop&lt;br&gt;Discussions on budget, partnership agreements, accountability frameworks&lt;br&gt;PIP team will write draft, circulate and revise</td>
<td>CEA, LEA, Local business association</td>
<td>LEA takes the lead for this section</td>
<td>Mgmt workshop from July 10-14&lt;br&gt;Discussions on from July 24-28&lt;br&gt;PIP section due on June 16</td>
</tr>
<tr>
<td><strong>Project Implementation</strong>&lt;br&gt;Project Output/Activity Matrix, Methods, Work Breakdown Structure, Project Schedule, Budget</td>
<td>PIP field mission in July 2000. Mission #2 will also develop implementation strategies, work breakdown, schedule and budget.</td>
<td>Implementation workshop&lt;br&gt;Discussion on budget&lt;br&gt;PIP team will write draft, circulate and revise</td>
<td>CEA, LEA, Local business association, Community groups</td>
<td>CEA takes the lead for this section</td>
<td>Workshop from July 17-21&lt;br&gt;PIP section due on Aug 15</td>
</tr>
<tr>
<td><strong>Project Information</strong>&lt;br&gt;Performance Measurement Framework, Risk Monitoring, Work Planning and Reporting, Communicating with Project Stakeholders</td>
<td>PIP field mission in May 2000. Mission #1 will also develop project information needs, information systems, reporting frameworks, and report outlines.</td>
<td>Monitoring and Reporting workshop&lt;br&gt;PIP team will write draft, circulate and revise</td>
<td>CEA, LEA, Local business association</td>
<td>CEA takes the lead for this section</td>
<td>Workshop from May 31-June 4&lt;br&gt;PIP section due on June 16</td>
</tr>
<tr>
<td><strong>Finalizing the PIP</strong>&lt;br&gt;Introduction, Appendices</td>
<td>Work in CEA Office in Canada&lt;br&gt;CEA will finalize PIP, send out for review, oversee translation, and produce copies.</td>
<td>Write introduction, assemble appendices, orchestrate review process, get approval, oversee translation and disseminate</td>
<td>CEA, LEA</td>
<td>CEA takes the lead</td>
<td>Final document by Oct 13</td>
</tr>
</tbody>
</table>
CHAPTER 3: PROJECT/PROGRAM DESIGN

It is likely that changes have taken place in the project/program context since the project was first designed. The PIP will provide updated information on the context and rationale, the expected results and reach, and your strategies for managing risk, integrating crosscutting themes, and ensuring the sustainability of results.

The PIP process will give you and your partners the opportunity to think hard about the big picture in your project/program. You will want to develop a clear understanding of the development problem being addressed in the project, your proposed solution, the overall strategy for effecting change, and the expected outcomes of your work together. This is the basis on which you and your partners will design management structures, implementation details, and performance monitoring systems to manage the project/program for results.

At a Glance

In this chapter we present techniques for reviewing and updating the project/program design so that it meets CIDA requirements. The chapter includes:

- **Unit 4 - A Plan for Updating the Project/Program Design**
  Deciding what needs to be done and who will do it

- **Unit 5 - Context and Rationale**
  Updating information to ensure that your plan matches current realities in the field

- **Unit 6 - Logical Framework Analysis**
  Validating and updating the results chain in the LFA

- **Unit 7 - Reach and Beneficiaries**
  Validating the reach of the project, and who will benefit from it

- **Unit 8 - Managing Risk**
  Developing strategies to manage risk

- **Unit 9 - Cross-Cutting Themes**
  Integrating cross-cutting themes like gender equality and the environment

- **Unit 10 - Sustainability Strategy**
  Planning to ensure the sustainability of results
Unit 4 - A Plan for Updating Project/Program Design

Key Concepts

The PIP should present up-to-date information on the project/program. This means involving a range of institutional partners to validate the information that already exists in the design documentation, your proposal, and in your contract with CIDA. You may need to gather additional information to fill the gaps and meet the PIP requirements. In effect, you will be carrying out a small research project to prepare this section of the PIP.

We suggest you use a planning matrix like the one shown in the example on the following pages. This will help you agree on roles and responsibilities that are in keeping with the participation and capacity building needs of different partners. It will help you design an efficient process and build consensus among partners on what has to be done and how to go about it.

Key Questions

Here are some basic questions to consider in developing a plan for updating the project/program design. The questions correspond to the columns in the planning matrix on the following pages.

- **What do you need to know?** What basic questions should you answer to update the project/program design?

- **What information do you already have? What is missing?** What information do you have to answer your basic questions? Which questions are not answered? Or insufficiently answered?

- **Where will you validate or gather your information?** Who should you talk with or interview? What documents contain the information you need? If the implementing partners do not have certain information, they will likely have a clear idea of where to obtain it.

- **How will you validate or gather your information?** Will you review documents and talk to people? Will you organize planning workshops for partners and beneficiaries? Will you follow a larger diagnostic process like Participatory Rapid Appraisal or Organizational Diagnosis that requires more time and special considerations?

- **Who will validate or gather your information?** How will participation in this process foster capacity building and shared accountability? What capacities need strengthening in order that all partners can play a meaningful role in this process?
**Project/ Program Example**

Reproductive and Child Health in Uganda Project (REACH-UP) is a community health project that aims to increase availability and utilization of reproductive health services in rural villages in Uganda (access to quality pre-natal care, safe deliveries, and proper post-natal care). The table below shows REACH-UP’s plan for updating their project design. The primary data source was CIDA’s project design documentation. Other required information was available from the Ministry of Health, the United Nations Population Fund (UNFPA) and the World Health Organization (WHO) as well as other stakeholders.

### REACH-UP Plan for Updating Project/Program Design

<table>
<thead>
<tr>
<th>Info we need for project design</th>
<th>Information we have and missing info</th>
<th>Sources of information</th>
<th>How to validate or gather info</th>
<th>Who will do this and when</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Information on Context and Rationale</strong></td>
<td>RFP documents have info on RCH problems, causes, pilot, cultural obstacles, and Uganda decentralization policy. Need to validate – it’s two years old. Need more analysis of causes and clinics’ capacity for services. Need more info on stakeholder needs. Need more info on other donor initiatives.</td>
<td>Ministry of Health, UNFPA, WHO, village clinic staff Evaluation of Ministry pilot initiative Physicians, midwives Potential users of services, both women and men Donors, NGOs</td>
<td>Interviews with partners Document review Focus groups with community practitioners Conduct stakeholder analysis</td>
<td>CEA &amp; Ministry of Health Updated within one month</td>
</tr>
<tr>
<td><strong>Information on Expected Results and LFA</strong></td>
<td>RFP documents have an approved LFA Need to validate given changes in context. Need to validate info on donor programming Need to get consensus on expected results and project niche</td>
<td>CEA, Ministry of Health, UNFPA, WHO, village clinic staff Donor community</td>
<td>3-day workshop on project design and strategy using results-based approach Present updated info on context and rationale Donor interviews for stakeholder analysis</td>
<td>CEA &amp; Ministry of Health Workshop in second month</td>
</tr>
<tr>
<td><strong>Information on Reach</strong></td>
<td>RFP documents have basic information on beneficiaries Need to validate and generate info on affect of project on wider range of stakeholders Need more info on stakeholder needs.</td>
<td>CEA, Ministry of Health, UNFPA, WHO, village clinic staff</td>
<td>3-day workshop on project design and strategy with results-approach Present updated stakeholder analysis</td>
<td>CEA &amp; Ministry of Health Workshop in second month</td>
</tr>
<tr>
<td>Info we need for project design</td>
<td>Information we have and missing info</td>
<td>Sources of information</td>
<td>How to validate or gather info</td>
<td>Who will do this and when</td>
</tr>
<tr>
<td>--------------------------------</td>
<td>-------------------------------------</td>
<td>------------------------</td>
<td>-----------------------------</td>
<td>-------------------------</td>
</tr>
<tr>
<td><strong>Information on Risk Strategy</strong>&lt;br&gt;Is risk analysis still valid? What are risk indicators? What are options for minimizing risk? What are the mechanisms? Who will implement?</td>
<td>RFP documents have information on risk analysis undertaken during project design. Need to validate to inform strategy. Need to incorporate stakeholder analysis.</td>
<td>CEA, Ministry of Health, UNFPA, WHO, village clinic staff</td>
<td>Part of two-week workshop on management, implementation and monitoring. Present updated context analysis and stakeholder analysis.</td>
<td>CEA, Ministry of Health&lt;br&gt;Workshop in third month</td>
</tr>
<tr>
<td><strong>Information on Gender Equality Strategy</strong>&lt;br&gt;How will project affect gender equality? How will we enhance the project contribution to more equal relations between women and men?</td>
<td>RFP documents have information on gender analysis undertaken during project design. Needs some validation to inform strategy.</td>
<td>CEA, Ministry of Health, UNFPA, WHO, village clinic staff, Ministry of Women’s Affairs Community Women’s Association, Local GE experts</td>
<td>Part of two-week workshop on management, implementation and monitoring. Interviews, document review</td>
<td>CEA, Ministry of Health&lt;br&gt;Workshop in third month</td>
</tr>
<tr>
<td><strong>Information on Sustainability</strong>&lt;br&gt;What results need to be sustained? What are the options to ensure sustainability of results? How will participation foster accountability and sustainability? How will capacity building affect sustainability? How will advocacy create an enabling environment?</td>
<td>RFP did not contain appropriate info for sustainability strategy. Need analysis of clinic capacity for services. Need structures to transfer management responsibilities to local partners. Need links with cross-cutting themes. Need communication strategy and plan.</td>
<td>CEA, Ministry of Health, UNFPA, WHO, village clinic staff, Community Women’s Association</td>
<td>Part of two-week workshop on management, implementation and monitoring.</td>
<td>CEA &amp; Ministry of Health&lt;br&gt;Workshop in third month</td>
</tr>
</tbody>
</table>
Unit 5 - Context and Rationale

Key Concepts

Development projects/programs are designed to provide lasting solutions to development problems. Most often, these are problems of need, performance and capacity. The rationale for a project/program is the reason why it is a compelling, believable solution in its context.

The underlying issues that cause or perpetuate development problems exist in specific contexts. Within countries and communities, the context that affects the initiative could include cultural, social, economic, political, legal, environmental and technological conditions. Within organizations, the context could include motivating factors, strategic leadership, and the organization’s capacities for managing its people, programming, finances, information and processes.

The underlying issues are usually in flux and multi-dimensional. Providing strategic, multi-dimensional solutions through programming is seen as ‘capacity development.’

In making a strong and clear link between the problems and solutions, and showing why the solution is important, you are giving the project/program its rationale.
Key Questions

Here are some questions to consider when updating the context and rationale section of the PIP:

- **What development problem is the project/program addressing?** In what ways is the main problem one of need, performance and capacity?

- **What are the main dimensions of the problem?** In what ways does the problem come to light in the community or organization that is the focus of the project/program?

- **What are the causes of the problem?** What factors in the country, community and organizational environments are causing the problem?

- **What are the proposed solutions to the problem?** Why are these solutions considered the most appropriate to the problem at hand?

- **What is the local partners’ capacity to implement the solution?** To what extent will the solution involve building the capacity of the local partners?

- **What are the main obstacles to solving the problem?** What factors in the country, community and organization could inhibit the implementation of solutions?

- **What policies and plans in the host country and Canada will affect the problem and the proposed solution?** What policies provide an enabling environment for the project/program? What policies are missing or problems in themselves? To what extent is the project/program aligned with the Comprehensive Development Framework (CDF) and Poverty Reduction Strategy Paper (PRSP) for the host country? To what extent is it aligned with CIDA’s Social Development Priorities?

- **What relevant initiatives by other donors are being planned or carried out in the sector or host country?** How will these initiatives affect the proposed solution or the design of your project/program? Where are the best opportunities for creating synergy and avoiding duplication among these initiatives?

- **Which other project stakeholders will affect the problem and the proposed solution?** How could stakeholders support or stand in the way of implementing solutions?

- **Why is solving the problem so compelling?** Why is this solution important? Why does it make sense in this context? To what extent does the project/program represent a lasting solution?
Providing Real Opportunities and Support for Education (PROSE) is an organizational development and community development project that aims to increase support for girl-child education in Zimbabwe. Here is an example of an updated description of the context and rationale that the PROSE partners developed for their PIP.

**PIP Project/Program Design Development Context**

The enrolment, retention and completion rates for girls in primary education in Zimbabwe have been declining since 1990. The causes of this decline are multifaceted and include: declining rural revenues due to dips in global commodity prices, social preferences for the education of boys over girls, heavy domestic work demands on girls, as well as early marriage and pregnancy. This situation is particularly acute in southern communities where climatic disturbances have affected family revenues and families do not have the resources to send their girls to school. In addition, there is increasing distrust among rural communities for the public education system, which is seen to undermine traditional values while providing no increased employment opportunities for youth.

The Government of Zimbabwe’s National Programme of Action upholds the principle of maintaining full access to education while rendering the education system more equitable and relevant. In addition, the Government’s Education Act aims to decentralize the education system to the community level in order to increase its relevance and efficiency.

Despite this commitment to equal access and relevance in education, there is little capacity in the Ministry of Education, or at the level of individual schools, to attract and retain more female students. The Ministry does not have a gender equality policy and senior managers do not have a good understanding of gender issues as they affect enrolment, retention and completion rates for girls. There is also gender bias in the curriculum and teaching materials. Most teachers unwittingly promote gender bias in the classroom and community leaders do not actively promote girl-child education. There is insufficient involvement of community members in decision-making in schools through parent-teacher associations.
Pip  Project/Program Design  Project Rationale

The long-term solution to the problem is building a demand for girl-child education while ensuring greater retention and completion rates through increased educational quality and relevance for girls. This would support the policy priorities of the Government of Zimbabwe. The medium-term solution is building capacity in the Ministry, schools and communities to eliminate gender bias in the school system.

Some local initiatives to support girl-child education are underway. Most provinces have developed gender equality policies in education as well as programs to eliminate gender bias in the school systems. Pilot programs exist across the country to foster girls’ participation, self-esteem and interest in school, particularly with regard to math and science. Several donor initiatives at the Ministry aim to improve the quality of education for all while others focus on increasing access, either by increasing infrastructure or improving family revenues enabling more children to attend school. Donors have expressed interest in girl-child education, but few projects have focused specifically on girls.

This project fills a programming gap that is recognized by local authorities, educators, and community leaders. It strengthens the capacity of the departments of Educational Planning, Curriculum, and Professional Development, to work in concert to eliminate gender bias in the curriculum and teaching materials. The project helps these departments develop an extension program for upgrading teachers’ knowledge and skills related to the issue. The project works at the community and school level to help develop processes for parental involvement in decision-making, and to implement changes in school administration and teaching. Once a critical mass of changes has been made, the project will support teams of administrators, teachers and parents in disseminating materials and best practices to other schools and communities. The project complements other donor initiatives for education in Zimbabwe by focusing exclusively on the needs of girls while reinforcing the decentralization process and community participation.

Canada has considerable policy and practical experience in promoting gender equality in education. CIDA has been working with UNICEF on several girl-child education programs in the region. The solution proposed here has benefited from their learning. The project is in keeping with the objectives of CIDA’s Social Development Priorities and its Basic Human Needs Framework for Southern Africa. These frameworks aim to promote gender equality by increasing educational opportunities for girls and women. CIDA’s Country Development Policy Framework for Zimbabwe also focuses on improving quality and access in education at the primary school level, particularly for girls. Canadians have considerable expertise both in terms of gender equality and the quality and relevance of the primary education system.
You and your partners will enter the PIP process with a Logical Framework Analysis (LFA) for your project/program. The LFA provides a snapshot of the logic inherent in your solution to the development problem. The PIP process gives you an opportunity to update the framework and build some consensus around the results chain and development logic. You should keep in mind that you are accountable to CIDA for achieving the expected outcomes of the project/program.

The LFA is a management tool for describing the intent of a project/program and for monitoring progress toward results. It captures the vertical logic - how activities will result in 'outputs,' and outputs in 'outcomes,' and outcomes in a positive 'impact' on the overall problem. In CIDA language, the vertical logic is the results chain. The LFA also describes the horizontal logic - the indicators of results achievement, the reach and beneficiaries, and the risks inherent in the process. (CIDA hasn't officially incorporated 'reach and beneficiaries' into the LFA, but we are recommending that you do so for your own planning and reporting purposes.)

In your PIP, you will need to provide a narrative description of the expected results of the project/program as well as a validated or updated LFA. You will want all partners involved in the validation process – people are more committed to achieving results that they understand, agree with, and helped to formulate. A useful LFA will provide a framework for implementation. If your LFA reads more like a list of results than a game plan for achieving them, you might consider making some changes so that the steps in your logic are clear. Similarly, if the context has changed since the initial design, you will likely need to revise the LFA accordingly.
Any proposed changes to the LFA will require CIDA approval. Once CIDA has given its approval, you should explain the changes in this section of the PIP and put the new LFA in an appendix.

**Key Questions**

In this unit we are primarily concerned with the results chain or vertical logic of the project/program. The horizontal logic, which is a guide to measuring results, is discussed in greater detail in Chapter 6. In the example we show one way of presenting updated LFA information in the PIP. Here are the questions that your update should answer:

- **Has the problem changed?** What significant changes have taken place in the country, community and organization since the project/program was first designed? Have these changes affected the definition of the development problem?

- **Is the overall logic in your solution still valid?** Will current realities in the context affect the way you will implement solutions? Does your LFA provide a clear framework for implementing the project/program? Are the steps in your logic clear?

- **Are the expected outcomes still valid?** Given the current context, are the statements of expected outcomes still valid? If not, how should they be updated to reflect current realities?

- **Are the expected outputs still valid?** Are the expected outputs still valid or are there more relevant ways of achieving outcomes given the current context? If outputs are not valid, how should they be updated to reflect current realities?

- **Is the expected impact still valid?** If you have updated the expected outcomes, is the statement of expected impact still valid? If not, how should it be updated?

- **Are the statements of reach and the beneficiaries of the project/program still valid?** If the results chain has changed, is the stated reach still valid? If not valid, how should it be updated to reflect current realities and the new chain of results?

- **Is your risk analysis still valid?** If the results chain has changed, is your analysis of risk still valid? If not valid, how should it be updated to reflect current realities and your new chain of results?
**Project/Program Example**

Farmers Economic Development - Union Partnership (FED-UP) is a community development project that aims to increase income generation by women farmers in Thailand. In the PIP process, the FED-UP partners held a planning workshop to update and validate the original LFA. The LFA was 18 months out of date by the time of the workshop, and significant changes had taken place in the project context in Thailand. The partners came to the workshop with information on relevant contextual factors. Here is part of the matrix the FED-UP partners prepared in updating the LFA and presenting their rationale for changes to CIDA.

### PIP * Project/Program Design * Validated LFA

<table>
<thead>
<tr>
<th>CIDA’s Original LFA</th>
<th>Context Analysis for PIP</th>
<th>FED-UP Updated LFA for PIP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Original LFA Outcome #1</td>
<td>Analysis of Economic Context</td>
<td>Updated LFA Outcome #1</td>
</tr>
<tr>
<td>Increased revenue from sale of agricultural produce by women farmers</td>
<td>Thailand will devalue local currency by 50% within one year. This will result in increased prices of imported farm equipment and farm inputs for local production.</td>
<td>Increased revenue generated from the sale of processed foods by women farmers using domestic technology</td>
</tr>
<tr>
<td><strong>Original Risk Analysis</strong></td>
<td><strong>Analysis of Policy Context</strong></td>
<td><strong>Updated Risk Analysis</strong></td>
</tr>
<tr>
<td>Local market conditions for agricultural produce might change for the worse.</td>
<td>If Thailand adheres to World Trade Organization rules, all trade barriers will be eliminated on agricultural produce within three years. This will result in foreign competition in agricultural produce on local markets.</td>
<td>Local demand might drop for locally processed food products of good quality and low price.</td>
</tr>
<tr>
<td><strong>Risk Rating – Medium</strong></td>
<td><strong>Analysis of Stakeholder Context</strong></td>
<td><strong>Updated Risk Rating – High</strong></td>
</tr>
<tr>
<td>Low probability of occurrence because economic indicators appear relatively stable over next three years.</td>
<td>National Women’s Union is threatening to mobilize local authorities against FED-UP project if ECOs are not incorporated into existing NWU groups at community level.</td>
<td>High probability of occurrence as the local market conditions will be volatile over next 3-5 years.</td>
</tr>
<tr>
<td>Medium impact on investment if conditions change for the worse.</td>
<td>PRA at community level confirmed that women farmers saw no objections to this proposal.</td>
<td></td>
</tr>
<tr>
<td>Original LFA Output #1</td>
<td>Updated LFA Output #1</td>
<td></td>
</tr>
<tr>
<td>Women farmers’ Economic Community Organizations (ECOs) are operational</td>
<td>NWU groups at community level operationalize economic development units in villages</td>
<td></td>
</tr>
<tr>
<td><strong>Original Risk Analysis</strong></td>
<td><strong>Updated Risk Analysis</strong></td>
<td></td>
</tr>
<tr>
<td>Local authorities may not support the creation of ECOs for women in targeted communities.</td>
<td>Local authorities may not support the creation of economic development units within existing women’s organizations.</td>
<td></td>
</tr>
<tr>
<td><strong>Risk Rating – Medium</strong></td>
<td><strong>Updated Risk Rating – Low</strong></td>
<td></td>
</tr>
<tr>
<td>Medium probability of occurrence as the National Women’s Union (NWU) may oppose creation of women’s groups outside of their purview.</td>
<td>Low probability of occurrence as FED-UP project now has full support of NWU.</td>
<td>Low impact on investment if it occurs because MWU will facilitate relations with other government bodies and mitigate impact.</td>
</tr>
<tr>
<td>Medium impact on investment if NWU opposes creation of ECOs.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Unit 7 - Reach and Beneficiaries

Key Concepts

The notion of reach is meant to highlight the human dimension of project/program results. Reach describes the individuals or groups that will benefit from the achievement of the expected impact, outcomes and outputs. CIDA would like this information to report to Parliament on the people overseas that benefit from Canadian Official Development Assistance (ODA).

The reach could extend to any number of beneficiaries along the chain of results. These could include, for example, trainees with new skills, departments with improved procedures, organizations with new strategic plans, clients of improved health services, communities you helped to organize, and the public that benefits from improved pollution controls. As you move along the results chain, reach becomes harder to quantify and the effects become more diffuse. However, you should still identify the reach of your investment - if you can identify the result, you can identify the reach.

In the PIP, you should state the direct and indirect beneficiaries of your project/program in very specific terms. CIDA requires information on the numbers of people you expect to reach disaggregated by sex, age group, and locality. It also requires information about the characteristics of the beneficiaries and the types of organizations involved. You should pay close attention to numbers and characteristics of beneficiaries at the outcome level.

Your planning will benefit from the notion of reach. It will help ensure that expected results are as specific, relevant and measurable as possible. Identifying reach also helps implementing partners examine the possible effects, both positive and negative, of the project/program on its stakeholders. Validating reach goes hand in hand with validating the LFA results, indicators and risks.
Key Questions

These are some questions to consider while identifying the reach of the project/program:

- **Who are the direct and indirect beneficiaries of the achievement of results at each level of the chain?** What individuals will benefit? What organizations will benefit? Who, specifically, are the beneficiaries of achieving expected outcomes?

- **How many people will likely benefit from the project/program?** How many of the beneficiaries are women and how many are men? How many are children, youth, adults and elderly? How many live in rural, urban, or peri-urban areas?

- **What are the main characteristics of these people?** How would you describe them in terms of their economic, social, cultural, religious, educational or physical status? Are they victims of conflict, natural disaster or human disaster? Are they displaced or food insecure?

- **What types of organizations will benefit from the project/program?** How many and what types of government organizations will benefit? How many and what types of civil society organizations will benefit? How many non-Canadian profit-making organizations will benefit?

- **How will the project/program affect the beneficiary populations?** What are the positive and negative effects on them? Given these effects, are expected results specific, relevant and of value? If not, how can they be modified to ensure positive changes in human development?
**Project/Program Example**

Preserving Our World - Environment and Resources (POWER) is a community and institutional development project that aims to improve natural resource management and preservation in Belize. In the process of validating the LFA, the POWER partners designed a simple table to illustrate the relationship between results, reach and project effects. However, they chose not to put the table in their PIP, but included information on reach as performance indicators in the Performance Measurement Framework.

### PIP & Project/Program Design & Reach

<table>
<thead>
<tr>
<th><strong>Expected Impact</strong> – Improved natural resource management and preservation</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Direct Beneficiaries:</strong></td>
</tr>
<tr>
<td>Visitors to protected areas in Belize (estimated 300,000 visitors to four sites in 1999)</td>
</tr>
<tr>
<td><strong>Indirect Beneficiaries:</strong></td>
</tr>
<tr>
<td>General public in Belize</td>
</tr>
<tr>
<td><strong>Potential Project Effects:</strong></td>
</tr>
<tr>
<td>Positive – Improved conditions for endangered areas and species</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Expected Outcome</strong> – Improved capacity of Department of Parks Management in the Ministry of Natural Resources to protect endangered areas and species</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Direct Beneficiaries:</strong></td>
</tr>
<tr>
<td>Two directors in Dept. of Parks Management</td>
</tr>
<tr>
<td>Six members of Division of Conservation and Preservation (one woman, five men)</td>
</tr>
<tr>
<td>Five members of Office of Personnel (five women)</td>
</tr>
<tr>
<td><strong>Indirect Beneficiaries:</strong></td>
</tr>
<tr>
<td>Minister of Natural Resources and approximately 12 senior management in Ministry of Natural Resources (one woman, 11 men)</td>
</tr>
<tr>
<td>Minister of Culture and Tourism and approximately 12 senior managers in Ministry (three women, nine men)</td>
</tr>
<tr>
<td><strong>Potential Project Effects:</strong></td>
</tr>
<tr>
<td>Positive – Stronger policy and strategic planning, communications and human resources capacity in the Dept. of Parks Management to protect endangered areas and species</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Expected Outputs</strong> – Two National Parks will be established, and Parks personnel will be trained and equipped</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Direct Beneficiaries:</strong></td>
</tr>
<tr>
<td>30 new staff members of the National Parks</td>
</tr>
<tr>
<td>Local supplier of equipment, and two local construction companies</td>
</tr>
<tr>
<td><strong>Indirect Beneficiaries:</strong></td>
</tr>
<tr>
<td>2000 men, 2900 women, 4000 children living in 12 villages within five-kilometer radius of two new parks</td>
</tr>
<tr>
<td><strong>Potential Project Effects:</strong></td>
</tr>
<tr>
<td>Positive – Increased levels of skills and knowledge, and better equipment, for 20 male and 10 female senior, mid-career and junior staff members</td>
</tr>
<tr>
<td>Positive – Increased revenues for local companies, and approximately two person-years of work for employees who are mostly young unskilled male labourers</td>
</tr>
<tr>
<td><strong>Potential Project Effects:</strong></td>
</tr>
<tr>
<td>Negative – National Parks will limit agricultural revenue for 1400 men and 1700 women in seven villages</td>
</tr>
<tr>
<td>Negative – Women/children from 10 villages will need to walk longer distances to access water and firewood.</td>
</tr>
<tr>
<td>Outputs need to be reformulated to include wells, reforestation and income generating activities to minimize negative effects on identified villages.</td>
</tr>
</tbody>
</table>
Unit 8 - Risk Strategy

Key Concepts

CIDA recognizes that investing in development is often fraught with risk. Implementing partners are therefore required to identify the risks that may affect CIDA investments. This should begin at the planning stage and continue throughout the implementation. Once you and your partners validate the risks to achieving expected results, you are asked to develop a mitigation strategy.

The place to start in developing a risk strategy is knowing the assumptions in your development logic. The basic idea is leaving less to chance by extending your control over the conditions necessary for achieving results. This you do through the application of project resources. In general, you will find it easier to extend control over the conditions for achieving short-term than long-term results. (If, for example, you assume that trainees will apply their new skills in the workplace, you can extend your control by supporting the transfer.) You will also find it easier to extend control when conditions remain stable. The probability that conditions could change for the worse represents the level of risk that you face.

CIDA uses a simple three-point scale – high, medium and low – to rate the risks inherent in achieving results. In the PIP, you should identify up to three risks at each of the output, outcome and impact levels (i.e. a maximum of nine risks). Once you have identified them, you should rate the probability of their occurrence using the high, medium and low scale. You should then use the scale to rate the impact on the investment if they occur. The overall rating for the risk is based on the highest value you assign (i.e. risks that are either high probability or high impact are considered high risks). We recommend that you begin by focusing on minimizing the medium and high level risks associated with achieving short-term results.

Sometimes risks can be reduced through basic planning. If you identify risks in the design stage, you can develop mitigation strategies that become a budgeted part of your project operations. If your project/program documentation was developed in this way, risk will already be incorporated in your project/program plans. If you have not developed a risk strategy, this unit presents a technique for identifying ways of minimizing risk and presenting your risk management strategy in the PIP. In Unit 19, we describe ways of monitoring your risk management strategy.
Key Questions

In order to develop a risk management strategy you must begin with an updated LFA, and then consider the following questions:

- **What risk factors threaten to undermine the validity of the results chain in the LFA?** How stable or volatile are the risk factors at present? How are they likely to evolve over the short and medium term?

- **What is the level of risk inherent in the achievement of outputs, outcomes and impact?** What is the probability of occurrence for each risk factor? Is it high, medium or low? What will be the impact on the investment in the result if the risk factor occurs? Is it high, medium or low? Based on the highest value you assigned to the risk factor, what is the risk rating? Is it high, medium or low?

- **What are your options for mitigating the negative impact of the risk factors on the achievement of results?** In what ways can project/program resources be applied to reduce the high and medium risks you have identified? What new activities would reduce the risks? What changes in your strategy would reduce risks? What changes in the way that partners participate in the project/program would reduce risks?

- **What mechanisms will you establish to mitigate the negative impact of these risk factors?** Who among the implementing partners will be tasked with building the mechanisms? Who will implement them? What resources are required for their implementation? How will you monitor their effectiveness?
Building Your Business is Our Business (BYBOB) is an organizational development project that aims to improve the performance of the Department of Small Business Development within the Ministry of Trade of Burkina Faso. One aspect of the BYBOB project was management training in Canada to develop the skills of the mid-level managers who use databases in their work processes. The assumption was that the management trainees would use their new skills and knowledge when they reintegrated into the Department. Here is part of the risk management strategy developed by BYBOB project managers.

**Expected Output #1 (WBS 200)**

Increased human capacity in the Department of Small Business Development to use information technology in their work processes.

**Risk 1 – Trainees could leave DSBD for work in Private Sector – Risk Rating: High**

The trainees may not return to DSBD because they find more lucrative employment in the private sector in Burkina Faso. The probability of occurrence is ‘medium’ because there is significant private sector demand for professionals who have been trained abroad. This condition will not change in the life of the project. The impact on the investment if they do not return is ‘high’.

**Risk 2 – Management prevents trainees for applying new skills on the job – Risk Rating: Medium**

There may be management resistance to change and to the trainee’s applying his/her new skills and knowledge on the job. The probability of occurrence is ‘medium’ because there is limited management capacity in the Department. This condition will likely improve through the life of the project. The impact on the investment if there is resistance to change is ‘medium’ because project resources could be re-deployed to improve situation.

**Options for Mitigating Risk 1 (High Risk)**

- Option 1.1: Trainees could be assured a promotion and salary increase upon their return from training.
- Option 1.2: Trainees could sign contracts binding them to three years of employment with the Department upon completion of training. They will be fined if the contract is not respected.

**Options for Mitigating Risk 2 (Medium Risk)**

- Option 2.1: Senior managers could be involved in planning training attachments, selecting candidates and designing reintegration strategies that are linked to the Department’s strategic plan.
- Option 2.2: Training could be delivered in BF so that disruption to DSMD and its employees is reduced.
- Option 2.3: Mechanisms for close communication between the trainee and the Department could be developed for use during the training to ensure a smooth reintegration upon the trainee’s return.

**Strategy for Mitigating Risks to Achieving Output #1**

- Strategy 1: Trainees will be assured a salary increase upon their return from training.
- Strategy 2: Senior managers will be involved in planning training attachments, selecting candidates and designing reintegration strategies which are linked to the Department’s strategic plan.

**Mechanism for Monitoring Risk Mitigation Strategy**

A system will be established to track trainees following training. System will track whether they return to the Department, and what their reintegration experience is like. If, after one year, it is evident that the strategy is not sufficient, it will be revised using information from interviews with returned trainees and their managers.
Unit 9 - Cross-Cutting Themes

Key Concepts

CIDA’s cross-cutting themes - gender equality and the environment - form a central part of Canada’s ODA policy framework. They inform CIDA’s organizational mission and appear as two of its six programming priorities. The Agency and its implementing partners are accountable to Parliament for achieving development results within the policy and programming frameworks for gender equality and the environment.

CIDA asks that implementing partners develop strategies for implementing cross-cutting themes. The overriding concern is integrating the management of these priority areas into the regular processes for achieving results. The PIP process offers partners the opportunity to develop these strategies in a manner that builds consensus. In many cases, the process is one of increasing partners understanding of the value of attending to these priorities, building their analytical capabilities, and demonstrating methods for integrating the priorities into management and monitoring processes.

The gender equality strategy is a tool for project implementation, so it needs to be put in place at the start of your project. To create a meaningful process for preparing your strategy, you should ensure that your PIP team includes a gender equality expert. You should begin by validating any earlier gender analysis to ensure that the updated LFA reflects its findings and recommendations. You should also ensure that the strategy is aligned with CIDA’s Policy on Gender Equality and Social Development Priorities. In the example, we demonstrate one technique for presenting your gender equality strategy in the PIP.

Fewer projects will require a strategy for taking environmental considerations into account, although partners should indicate in the PIP whether or not an environmental assessment is needed. The need for the assessment is determined by the legal requirements of the Canadian Environmental Assessment Act. (In certain circumstances an Environmental Management Plan may be appropriate to outline the environmental measures to be taken during implementation - see CIDA’s Geographic Programs Road Map.)
**Key Questions**

These questions will guide you in developing a gender equality strategy for presentation in the PIP:

- **What are the linkages between gender inequality and the development problem?**
  How is gender equality related to the results the project seeks to achieve? How are gender equality issues relevant to the context for project implementation?

- **What are the goals of your gender equality strategy?** How will implementing the strategy help you achieve the expected outcomes of the project/program? Are the goals linked to the objectives of CIDA’s Gender Equality Policy?

- **What is the rationale for your strategy?** What conditions in the development context make implementing the gender equality strategy important? How will progress on gender equality contribute to achieving overall project results?

- **What principles and best practices guide your approach to promoting gender equality?** Are they linked to the principles in CIDA’s policy?

- **What challenges do you face?** What are the challenges in the context with regard to empowering women? What challenges do you face in addressing unequal gender relations and inequality between women and men? What are the challenges in implementing the strategy?

- **What are the expected results of the gender equality strategy?** How are they linked to the expected outcomes of the project/program? How are they linked to CIDA’s corporate results for gender equality, namely enhancing women’s participation as decision-makers, increasing access to and control of resources, and promoting human rights? How will implementing the strategy strengthen the capacity of local partners to plan, manage and monitor projects/programs that empower women and reduce inequality between women and men?

- **How will you achieve these results?** What activities will you conduct as part of the strategy? How are these activities linked to the project components? Will you need specific expertise for these activities? How will you increase common understanding of gender equality and build partner capacity to work toward it?

- **How will you share responsibilities and allocate resources needed for achieving results?** Who is responsible for what results? What resources are needed for implementation? What are the expected contributions of each implementing partner?

- **How will you monitor performance?** How will you integrate monitoring the strategy into the project management structure and Performance Measurement Framework?
Preserving Our World - Environment and Resources (POWER) is a community and institutional development project that aims to improve natural resource management and preservation in Belize. The POWER partners recognized that women’s participation in resource management in their communities was needed for achieving the desired impact of the project. Their gender equality strategy is shown below.

### Project/Program Design

#### Gender Equality Strategy

<table>
<thead>
<tr>
<th>Strategy Elements</th>
<th>Summary of Analysis</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Strategic Goal</strong></td>
<td>The goal of the strategy is empowering women to participate equally in decision-making around resource management in their communities.</td>
</tr>
<tr>
<td><strong>Rationale</strong></td>
<td>Women play an integral role in promoting sustainable approaches to natural resource management. They are consumers, producers and users of natural resources, and they are educators and caretakers of their families. Environment sustainability through improved natural resource management and preservation will be elusive without women’s contribution to environmental management.</td>
</tr>
</tbody>
</table>
| **Strategic Principles** | 1. Strengthening partnerships between men and women is necessary to enhance natural resource management.  
2. Integrating women into existing community structures and project management processes is necessary to enhance natural resource management. |
| **Main Challenges** | 1. Implementing partners do not share common understanding, values, and beliefs with regard to gender equality. Culture limits women’s participation.  
2. The small number of literate women in the community makes women’s participation in project management activities difficult. |
| **Expected Results** | 1. A shared vision among partners on gender strategy and expected results  
2. More capacity of the community council to undertake participatory gender analysis and plan development initiatives on the basis of this analysis.  
3. See LFA for the gender equality results that are part of the results chain |
| **Activities** | - Participatory rapid appraisal process to identify needs of women, men, girls, boys  
- Participatory gender analysis workshops for implementing partners  
- 30 days of technical assistance to strengthen community to undertake participatory gender analysis and plan and facilitate workshops  
- Three 2-day workshops for participating communities  
- Ongoing coaching of community council |
| **Responsibilities and Resources** | - Belize EA is responsible for implementation of strategy and results to Belize EA  
- Community council is responsible for results to the community  
- $300,000 for gender strategy as allocated in WBS 414-419 in project budget. |
| **Performance Monitoring** | - Expected results for gender equality are detailed in LFA and PMF. These will be monitored and reported on throughout project cycle.  
- Annual workshop of implementing partners and community council to assess project progress regarding gender equality through participatory gender analysis |
Unit 10 - Sustainability Strategy

Key Concepts

Sustainable development forms an integral part of CIDA’s mandate. It was tabled in the House of Commons as a legislative requirement in 1997. In the CIDA project context, sustainability usually refers to sustaining project/program outcomes.

The basic objective for sustainability is to ‘institutionalize’ the project/program outcomes in partner organizations before the end of CIDA funding. This institutionalization happens when local partners make the changes identified in the LFA and the result becomes part of their organization. This means permanent changes in institutional knowledge, processes, systems, performance and resource usage as predicted at the outset of the project/program.

The sustainability strategy will help you ensure that project/program strategies, management structures and processes foster stakeholder participation, capacity building and ownership of results. The likelihood of sustainability is increased when local partners are involved in decision-making. When they participate in decision making about the use of resources, they are building their capacity to assess needs, formulate equitable solutions, and ensure their effective implementation. This improves local capacity to integrate what is beneficial from the project/program into ongoing community and organizational strategies and processes.

All of this is easier to describe than implement. The unequal capacity among implementing partners will diminish the quality of their participation in project/program decision-making. While there are no shortcuts to building this underlying capacity, the PIP process is the place to begin. A sustainability strategy can help you and your partners articulate your particular needs and interests in the outcomes and methods for the project. It is a strategy for building capacity and transferring responsibility to your local partners.
Key Questions

Meaningful participation in reviewing the LFA is a foundation for your sustainability strategy. These questions should guide your discussions about sustainability and your strategy for the project/program:

- **What outcomes will be sustained beyond the project/program?** What major changes in capacity, equality, and performance will the initiative bring about and for whom? How will these changes be institutionalized? What is the risk associated with institutionalizing the outcomes? What are some appropriate indicators of the institutionalization of outcomes?

- **How are the needs and interests of implementing partners reflected in the statement of outcomes?** How are the needs and interests of beneficiaries reflected in the outcomes?

- **How are the needs and interests of implementing partners reflected in the strategies to achieve results?** How will the needs and interests of partners be reflected in any updates to project/program strategies? What mechanisms and processes will be established to ensure that all partners participate in ongoing progress monitoring and work planning?

- **What capacities, skills and knowledge do partners need to effectively participate in project/program formulation, planning and monitoring?** What capacities do the beneficiaries need to participate? How will responsibilities in the project/program be divided to ensure that partners build the necessary capacity to achieve sustainable results?

- **How will responsibilities be transferred to local partners over the course of the project/program to ensure sustainability of results?** How was this transfer strategy developed? Who will control the resources allocated to this transfer? How will the increase in responsibilities be reflected in changes in the budget?
The Community Advocacy Centre (CAC) Project is a project that aims to improve the financial performance of the Community Advocacy Centre in Romania by improving its financial management capacity and increasing its revenue base. Here is an example of the sustainability strategy that the CAC implementing partners developed and included in their PIP.

**PIP ☀ Project/Program Design ☀ Sustainability Strategy**

**Institutionalization of Outcomes**
The CAC is a voluntary organization working with disadvantaged communities to ensure their rights are respected and their needs are appropriately reflected in public policies and programs.

At the end of project funding, the CAC will be in a position to plan, manage and report on its organizational finances according to internationally accepted accounting practices. As well, a New Business Development Unit will be operating within the CAC that is capable of identifying new business opportunities, developing institutional relationships and formulating successful proposals.

By the end of the project:

- The CAC will have been operating with a surplus for at least two years.
- The CAC will have diversified its donor base by 50% and increased its program budget by 35%.
- The CAC’s reputation for sound program management will have improved among donors.
- The CAC’s annual external audits will be positive.

**Participation of Partners in the Project Planning Process**

Project results and strategy were developed on the basis of an organizational self-assessment undertaken by the CAC during the project design phase. The CAC is a community-based organization where client groups are equitably represented on the organization’s Board of Directors. This means a range of stakeholders were involved in the self-assessment process. The self-assessment report was widely distributed among staff, clients and other stakeholders. In planning the project, a workshop for a wide range of stakeholders was organized to formulate results and negotiate the project management structure and strategy on the basis of the self-assessment findings. Because the project was planned entirely on the basis of CAC stakeholder input, levels of ownership and commitment are high, particularly among Board members and CAC senior managers. This increases the likelihood for project sustainability.

**Participation of Partners in the Project Management Structures and Processes**

In keeping with the organizational culture and structure of the CAC, a Project Management Committee was formed, comprising members of the CEA, the CAC, and client groups. The CEA and CAC will co-direct the project. While the Management Committee is quite large, wide representation ensures wide stakeholder buy-in and ownership for results. The Management Committee is responsible for planning and monitoring project results. It is accountable to a Project Steering Committee made up of the CEA Project Director, the Chairman of the CAC Board, the CAC Executive...
Director, CIDA and other key CAC donors. Having CAC Board representation on the Steering Committee ensures commitment to the change process and enhanced strategic leadership capability for the organization. Having donor representation enhances donor buy-in to the organization over the long-term.

During the planning workshop, stakeholders developed a strategy for the transfer of project responsibilities to the CAC in the third year of project operations. (The project lasts four years). This means that the CEA’s management role will decrease in the final year of the project, as CAC takes over sole direction of project operations. The CEA will continue to provide periodic oversight and coaching during the last year of project implementation, as negotiated in the transfer strategy. The CAC will receive an increased share of the management budget in the third and fourth years of the project. The increased share of the budget will pay for a new CAC staff position with the responsibilities described in the PIP.
Managing for results is a knowledge-based process that integrates the management of strategies, resources, and information about performance. This means that people are able to carry out their responsibilities in project/program governance, management and implementation. In the CIDA context, the project managers are accountable for identifying results, developing strategies, and achieving the expected outcomes.

The management section of the PIP articulates the expectations of partners for participation in project/program decision-making and the overall effort of achieving results. It summarizes roles, responsibilities and processes for implementing and constantly adjusting the project/program plan in light of changing realities. In addition to spelling out how you will share accountability for results, the PIP process should identify the capacity that partners need as results-based managers, and the ways you will strengthen this capacity in implementation. As you work together to develop a management approach for your project/program, you will be agreeing on the basic values of your partnership.

In your proposal, you outlined the roles and responsibilities of the implementing partners. CIDA likely expressed its own expectations for participation in the project in your contract with them. As you prepare the PIP, you and your partners will be validating existing information and generating a new level of detail about project management. What you present in the management section of the PIP is, in effect, the terms of reference for the various partners in managing and implementing the project/program. In many cases, this will involve negotiating work packages, resources and consequences of meeting or missing performance targets.

**At a Glance**

This chapter examines RBM structures and processes for managing the project, and introduces ways of presenting them in the PIP. It includes:

- **Unit 11 – Management Approach and Structure**
  Developing a management approach and organization chart

- **Unit 12 – Roles and Responsibilities**
  Agreeing on the specific roles and responsibilities of each partner in project/program governance, management and implementation

- **Unit 13 – Project/Program Committees**
  Identifying the purpose, and mandate and composition of committees
Unit 11 – Management Approach and Structure

Key Concepts

The organization chart is a tool that visually depicts your approach to project management. Accompanied by a narrative description of the overall project management approach, it is an expression of the vision and values of the partnership, and the way the partners will come together to achieve results.

You can think of the organization chart as a pyramid with project/program governance on top, management in the middle, and implementation at the base. The chart will identify the partners, committees and teams that operate at each level, and clarify the basic lines of accountability, reporting and communication among them. For every partner and committee identified in the organization chart, there will be a corresponding list of responsibilities in the following section of the PIP.

CIDA asks for a brief narrative description of the overall management approach as a complement to the organizational chart. This description will spell out the rationale for your management approach, and how the choice of structures and processes reflect partners’ expectations for participation, decision-making and accountability. If appropriate, you should indicate how you plan to strengthen local management capacity through participation, support, and other capacity-building exercises.
Key Questions

Here are questions to consider in putting together the organization chart:

• **What is the basic approach to managing the project/program?** How does the approach reflect partners’ expectations for participation and decision-making? How does it reinforce accountability for results? How will it strengthen the RBM capacity of local partners? How will it foster the effective management of CIDA concerns? How will it promote progress on gender equality objectives?

• **Who will participate in managing for results?** Who will govern the project? Who will manage the strategy? Who will manage quality? Who will manage people, finances and operations? Who will manage and implement activities? Who will help develop the capacity of local partners for management and decision-making?

• **What committees and groups will need to be created to support participatory decision-making?** What are the mandates of the committees and groups in managing for results? Who will participate as members of these committees and groups? What steps will be taken to ensure equitable participation by women and men in decision-making?

• **What are the basic processes among the partners?** What are the lines of communication and reporting? What processes will partners follow to ensure effective links between the levels of governance, management and implementation?
Project/ Program Example

The Nepal Integrated Municipal Services Project (NIMS) is an organizational development project in Nepal designed to help local departments in five municipalities provide quality services in waste management, housing and water supply. Here and on the following pages we have included the section on management approach and structure that the NIMS partners presented in their PIP. The NIMS partners chose to include the chart on management expectations as a rationale for their decisions on project organization. The organization chart looks complicated, but it reflects the reality of the project. (We use the NIMS example throughout this chapter.)

PIP ✦ Project/Program Management ✦ Management Approach and Structure

NIMS is divided into five sub-projects – one in each participating municipality – that will involve municipal government departments, community-based organizations and private sector partners. The project will help the departments strengthen links in the community and with the private sector by emphasizing public participation in planning and delivering services.

In the PIP process, we developed the project management structure by first identifying our basic accountabilities and expectations for participation. We then articulated the rationale for project committees and teams. With these expectations in mind, we constructed an organizational chart that highlighted lines of communication and reporting among partners, and their participation on project committees.

Overall Approach

The approach to management in NIMS emphasizes the active participation of stakeholders at the local level. This will reinforce the principles and values of the funders and executing agencies. It will support the need for stronger links between local government and the community, and the project plan for capacity building in using participatory planning practices. NIMS is meant to help local governments move toward a client-based system by taking the needs of service-users into account. The management approach will facilitate meaningful community involvement, while ensuring that the project is aligned with national plans and frameworks. The organizational chart presents the details of the management structure, and the table describing stakeholder expectations and accountabilities describes why and how the structure was developed.
**NIMS Organization Chart**

CIDA - Canadian International Development Agency
CEA - Canadian Executing Agency
CMEs - Canadian Municipal Experts
NLGM - Nepal Local Government Ministry
NEA - Nepalese Executing Agency
MGDs - Nepalese Municipal Government Departments
MTs - Municipal Teams
COPs - Nepalese Community Organizations and Partners
PSC - Project Steering Committee
PMC - Project Management Committee
**NIMS Management Expectations**

<table>
<thead>
<tr>
<th>Accountabilities and Expectations of Partners</th>
<th>Rationale and Roles of Management Committees</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Canadian International Development Agency</strong></td>
<td><strong>Project Steering Committee (PSC)</strong></td>
</tr>
<tr>
<td>• CIDA is accountable to taxpayer for results.</td>
<td>• NIMS needs a PSC so that CIDA, NLGM, CEA and NEA can manage strategic direction of project.</td>
</tr>
<tr>
<td>• It wants a PSC with governance mandate and approval role.</td>
<td>• PSC will play approval role for work plans and progress reports. It will operate by majority rule.</td>
</tr>
<tr>
<td><strong>Nepal Local Government Ministry (NLGM)</strong></td>
<td>• CEA will respond on paper to decisions by PSC to implement changes to work plans that will impact the CEA’s use of resources or accountabilities.</td>
</tr>
<tr>
<td>• CIDA’s partner. It is accountable to the Nepalese parliament for local inputs to project.</td>
<td><strong>Project Management Committee (PMC)</strong></td>
</tr>
<tr>
<td>• NLGM wants an open communication channel with CIDA and NEA. It wants to be kept informed.</td>
<td>• NIMS needs a PMC so that CEA, NEA, MGDs and CMEs can develop and manage annual work plans.</td>
</tr>
<tr>
<td><strong>Canadian Executing Agency (CEA)</strong></td>
<td>• PMC is a forum for analysing performance of MTs and determining positive and negative consequences of this performance. It will operate by majority rule.</td>
</tr>
<tr>
<td>• CEA is accountable to CIDA for contract and delivery of results at outcome level.</td>
<td>• PMC offers the CEA the opportunity to link more closely with MGDs.</td>
</tr>
<tr>
<td>• It wants to ensure quality programming, good results, and capacity building for local government. It wants accountability agreements with NEA, MGDs and CMEs, in which the consequences of non-compliance are spelled out.</td>
<td><strong>Municipal Teams (MTs)</strong></td>
</tr>
<tr>
<td><strong>Nepalese Executing Agency (NEA)</strong></td>
<td>• NIMS needs MTs so that MGDs, COPs, NEA and CMEs can jointly plan, implement and monitor project activities in municipalities.</td>
</tr>
<tr>
<td>• NEA shares accountability for outcomes with CEA. It wants control over corresponding amount of the CIDA budget and formal authority over MTs. It wants MTs to report to the PMC.</td>
<td>• MTs will be responsible for defining sub-project results and the performance measurement framework. MT members will sign accountability agreements that identify resources and accountabilities of individual members in the successful completion of NIMS sub-projects.</td>
</tr>
<tr>
<td>• It wants full community involvement and decision-making.</td>
<td>• MTs will provide COPs with access to MGDs.</td>
</tr>
<tr>
<td><strong>Municipal Government Departments (MGDs)</strong></td>
<td>• MTs may lead to other participatory structures and involvement of COPs in local service delivery.</td>
</tr>
<tr>
<td>• MGDs are big investors in project results. They are accountable to municipal councils for their investments.</td>
<td>• MTs will provide forum for CMEs’ technical advice.</td>
</tr>
<tr>
<td>• They want active role in NIMS decision-making and community support for their plans.</td>
<td>• MTs will allow NEA to ensure that sub-projects are managed within parameters established for NIMS.</td>
</tr>
<tr>
<td><strong>Nepalese Community Organizations and Partners (COPs)</strong></td>
<td><strong>Project Advisory Committee (PAC)</strong></td>
</tr>
<tr>
<td>• COPs are accountable to their constituents for providing a voice and establishing community-government linkages.</td>
<td>• NIMS does not need a PAC because MTs will perform an advisory function in addition to implementation mandate.</td>
</tr>
<tr>
<td>• They want to participate in decision-making around sub-project objectives and work processes. They want permanent structures for participation.</td>
<td><strong>Canadian Municipal Experts (CMEs)</strong></td>
</tr>
<tr>
<td>• CMEs provide technical services. They are accountable to the CEA for fulfilling the terms of their contracts.</td>
<td>• CMEs provide technical services. They are accountable to the CEA for fulfilling the terms of their contracts.</td>
</tr>
<tr>
<td>• They have advice but no agenda.</td>
<td>• CMEs provide technical services. They are accountable to the CEA for fulfilling the terms of their contracts.</td>
</tr>
</tbody>
</table>
Unit 12 - Partner Roles and Responsibilities

Key Concepts

Various partners will play leadership, management, technical, operational and learning roles in the project/program. In playing these roles, they will be responsible for any number of functions, activities and results. CIDA asks that you list the responsibilities of all partners in the PIP. You should indicate responsibilities that last throughout the entire project/program, those that occur in the annual cycle, and those in specific components.

Clearly defined roles and responsibilities help create a working environment in which partners feel comfortable and committed to achieving results. Roles should be aligned with partners’ expectations and correspond to their capacity. The descriptions should also indicate accountability. Accountability agreements work best when individuals are named, support is provided, indicators are clear, and the positive and negative consequences of performance are agreed upon by all concerned.

As local partners develop their technical and management capacity in implementation, it is possible (and desirable) that their roles will evolve. As local partners take on more responsibilities, the role of Canadian partners may diminish. This transfer, which might be central to sustaining expected results, should be planned for in the PIP process.

Key Questions

You might consider these questions as you and your partners are identifying roles and responsibilities:

• What basic roles will the project/program need performed to achieve results? What are the needs in leadership, management, operations, technical assistance and learning and development? How are these roles linked to achieving results?

• What are the capacities of partners to play these roles? What roles do partners expect to play? What roles are they capable of playing given their capacity? What roles will they have to play to sustain the results? What capacity building is needed?

• What are the basic responsibilities involved in playing these roles? What are the responsibilities involved in planning, implementing, monitoring and reporting on results? What other responsibilities are manifest in the annual cycle, the project components, and the activities? What responsibilities do partners expect?

• What accountability is involved in taking on these responsibilities? What agreements are in place to identify accountabilities? What support will be provided? What are the measures of performance? What are the consequences of non-performance?
Project/Program Example

Here is the NIMS description of partner roles and responsibilities.

**PIP **Project/Program Management **Partners’ Roles and Responsibilities**

The NIMS partners wanted to ensure a clear match between their responsibilities in municipal development and their responsibilities in NIMS. While preparing the PIP, the partners clarified the relationship between their responsibilities, their strategy for sustainability, and the work breakdown structure (WBS) and budget. Their discussions on this relationship helped the Nepalese Municipal Government Departments and Community Organizations and Partners see the value of project management systems for dealing with their own issues. In the process, they became more interested in taking on NIMS responsibilities. The discussions resulted in a new WBS category in the project, which focused on strengthening the project management capacity of local partners.

**Overall performance indicators for CEA management responsibilities:** Outcomes are achieved on time and within budget; implementing partners take timely and informed decisions on project progress and performance based on relevant and timely performance information; the NEA has the necessary skills and capacities to assume the direction of the project in its fifth year; the CEA complies with its CIDA contract; project stakeholders are satisfied with the project leadership provided by the CEA.

**Canadian International Development Agency** – CIDA is accountable to taxpayers for results. CIDA will exercise financial control over, and be accountable for, Canada’s ODA inputs to project. CIDA’s responsibilities include:

- To negotiate and manage a contract with the CEA toward the achievement of project results.
- To review, comment on and approve the project documents, including the PIP, the annual work plans, progress reports, annual reports, financial reports, and end of project report.
- To authorize and provide timely project disbursements to the CEA
- To participate on the Project Steering Committee as member.
- To liaise with the CEA and the Canadian Embassy in Nepal as required.

**Nepal Local Government Ministry** – The NLGM will negotiate MoU with CIDA on behalf of the Government of Nepal. It will ensure the project stays relevant to Nepal development plans and priorities. The NLGM’s responsibilities include:

- To review and approve PIP and annual work plans.
- To provide information and guidance on the general direction of project in the context of Nepal’s development policy.
- To liaise and provide information to the NEA and the MGDs as required.
- To monitor progress of Nepalese in-kind contributions to the project.
- To participate on the Project Steering Committee as member.
**Canadian Executing Agency** – The CEA is accountable for the achievement of project outcomes. It will manage the project in collaboration with the NEA. It will provide timely and appropriate Canadian resources as required. The CEA’s role will diminish in years 4 and 5 as the NEA’s responsibilities increase in keeping with the project sustainability strategy. The CEA’s responsibilities include:

- To plan and manage process to complete PIP, in collaboration with the NEA.
- To prepare the project documents, including the annual work plans, progress reports, annual reports, financial reports, and end of project report.
- To develop project financial management systems and train the NEA in their application.
- To recruit, administer and manage Canadian technical assistance, including helping plan Canadian work assignments and monitoring Canadian inputs to ensure they are producing expected outputs.
- To participate in Project Steering Committee and Project Management Committee.
- To liaise with CIDA as required.
- To provide ongoing coaching and financial oversight to NEA in final two years of project as management and direction transferred to NEA.

**Nepalese Executing Agency** – The NEA is accountable for the achievement of project outcomes. The NEA will manage the project in collaboration with the CEA. The NEA will provide timely and appropriate Nepalese resources as required. NEA will assume greater management responsibility in years 4 and 5 in keeping with the sustainability strategy. The NEA’s responsibilities include:

- To plan and manage process to complete PIP, in collaboration with the CEA.
- To support the CEA in preparing the project documents, including the annual work plans, progress reports, annual reports, financial reports, and end of project report.
- To use the project financial management systems, and monitor progress of Nepalese in-kind contributions.
- To help plan Nepalese work assignments and workshops and seminars for MGDs and COPs, and monitor progress of Nepalese inputs to ensure they are producing expected outputs.
- To participate in Project Steering Committee and Project Management Committee as member, and on Municipal Teams as observer and advisor in linking sub-projects to NIMS.
- To liaise with NLGM as required.

**Nepalese Municipal Government Departments (MGDs)** – The MGDs will be responsible for the achievement of project outputs. They are among the main participants and beneficiaries of the project. They will manage the implementation of sub-projects. The MGDs’ responsibilities include:

- To submit proposal to NEA and NLGM for participation in a sub-project.
- To provide and monitor financial inputs to the sub-project.
To produce the planned results of sub-projects, monitor the impact of the sub-project on COPs and community beneficiaries, and disseminate information on sub-project results according to the communications plan.

To select appropriate participants for sub-projects, and to plan, organize and manage work attachments, workshops and seminars so that they achieved expected results.

To participate on Municipal Teams as member.

To liaise with the NLGM as required to satisfy NLGM communication needs.

**Nepalese Community Organizations and Partners (COPs)** – The COPs will be responsible for implementing project results at the community level. They will be among the main participants and beneficiaries of the project. The COPs’ responsibilities include:

- To select appropriate participants for sub-projects, and to plan, organize and manage work attachments, workshops and seminars toward expected results.
- To produce sub-project results as agreed upon, and to monitor impacts on COPs and community beneficiaries.
- To participate on Municipal Teams as members
- To liaise with the MGDs as required

**Canadian Municipal Experts (CMEs)** – The CMEs will deliver outputs and ensure the transfer of capacities to local experts. They will be the main supplier of expertise and services in the project. The CMEs’ responsibilities include:

- To help plan, organize and manage work attachments, workshops and seminars
- To help MGDs and COPs produce component outputs as agreed upon
- To provide information for continuous performance monitoring and reporting.
- To participate on Municipal Teams as advisors
- To liaise with the MGDs and CEA as required
Unit 13 – Project/Program Committees

**Key Concepts**

Project/program committees are mechanisms to ensure the participation of partners in decision-making. They help partners play meaningful roles in planning, implementation, and monitoring. They also provide an opportunity for improving the management abilities of local partners.

You can establish different types of committees to suit the needs of different projects/programs.

- **Steering committees** are responsible for policy direction and general project or program oversight.
- **Management committees** are responsible for implementation and resource management.
- **Advisory committees** are responsible for providing technical advice and options.

Many projects/programs will establish management or implementation teams for working in particular components. These teams often report to management committees.

In the PIP, you should describe the committees established for your project/program and present the terms of reference for each committee in a matrix or in narrative form. Developing terms of reference for each committee can be a useful management and communications tool.

**Key Questions**

Here are some questions to consider in establishing project/program committees and developing their terms of reference:

- **What is the purpose of the committee?** What is its mandate? What are the expected results? What deliverables is the committee expected to produce? How will it foster shared accountability for results among members?

- **What decision-making areas is the committee responsible for?** How will the committee make decisions? What information will the committee receive? How often will the committee meet? What financial resources will be allocated to the committee? How will it work to produce expected results and deliverables?

- **Who will be the members of the committee?** Which organizations should be represented? What organizations such as other donors should be invited as observers? What capacities are required to participate effectively in the committee? How will these capacities be strengthened to ensure full participation? What steps are required to ensure that the committee addresses the needs of women and men?
The terms of reference for the NIMS Project Management Committee are shown below.

**PIP Project Management Committee**

**Role:** To provide a forum in which the three levels of implementing partners can develop workplans, review project progress, exchange information, coordinate initiatives and revisit strategy. Through participation in this committee, national and local government will develop the capacity to elicit community needs and incorporate these into public policy and programming. Communities will develop the capacity to articulate common needs and negotiate their inclusion into government plans. The CEA will coach committee representatives from government and community groups in proposal presentation, active listening and effective negotiation approaches.

**Membership:** CEA, NEA, MGDs, and CMEs

**Responsibilities:** Produce annual workplan, conduct semi-annual progress reviews, conduct project context reviews

**Decision-making Responsibilities:** Recommendations to PSC on project strategy reformulation in light of progress, context; recommendations to PSC on expected results achievement for year (annual workplan)

**Decision-making Process:** Consensus; chair rotates with each meeting

**Deliverables:** Annual work plans and progress reports

**Resources:** Personnel, location, and supplies provided as part of in-kind contribution of municipal government departments. Fees and travel expenses for CEA, NEA and CMEs are paid for by project.

**Schedule:** Semi-annual meetings

**Performance Indicators:**
- PMC partners are satisfied with their level of participation and responsibility
- Annual work plans and progress reports completed within planned timetables
- PSC makes informed and timely decisions on basis of performance information provided by PMC
- Project resources are allocated and used appropriately and according to plans.
In order to manage a successful project/program you need a detailed, accurate plan at your fingertips. You need to know what will happen, when it will happen, and how much it will cost. The implementation section of the PIP brings together these three critical dimensions of your plan. The basic idea at this point is establishing the link between the planned activities and expected results of your project/program.

The Project Output/Activity Matrix is a key tool for helping you organize the details about project/program activities in a results-based framework. From the matrix, you will be able to generate the Work Breakdown Structure (WBS), the schedule and the budget. With these tools, you can demonstrate how your plan is realistic, affordable, and focused on achieving the outcome of the project/program.

Many implementing partners begin their planning by putting together the WBS. They then develop the output/activity matrix, schedule and budget from there. We have found that developing the detailed matrix first ensures that you identify all work packages and activities. The output/activity matrix is the real workhorse in this part of the PIP – we suggest you begin with it.

**At a Glance**

This chapter will help you put together the project/program implementation section of the PIP. It includes:

- **Unit 14 – Outputs and Activities**
  Establishing the links between outcomes, outputs, activities, resources and responsibilities in a detailed matrix

- **Unit 15 - Work Breakdown Structure**
  Representing the links between outcomes, outputs and activities in summary form

- **Unit 16 - Schedule**
  Determining the duration and sequencing of activities as well as the key milestones in implementation

- **Unit 17 - Budget**
  Showing the cost breakdowns by output and input and the cash flow estimates of implementing the schedule of activities
Unit 14 - Outputs and Activities

**Key Concepts**

The Project Output/Activity Matrix is a CIDA planning tool that provides detail about your implementation strategy. It helps make the connection between the results described in the Logical Framework Analysis (LFA) and the work outlined in the WBS. The matrix captures this type of information:

<table>
<thead>
<tr>
<th>Outcome/ Output/ Activity</th>
<th>Inputs</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Specific Actions Required</td>
<td>Resources</td>
</tr>
</tbody>
</table>

With the matrix, you and your partners can (1) divide the project/program into programming and management work packages, (2) divide the work packages into activities and tasks, and (3) allocate resources and assign responsibility to each of the activities and tasks. Preparing the matrix helps reduce the chances of overlooking an essential step in completing the project/program.

We recommend using a WBS-type numbering system for the outputs, activities and tasks you describe in the matrix. This means numbering the outputs in a 100 series (i.e. WBS 100, WBS 200, etc.), the activities linked to the outputs in a 10 series (i.e. WBS 110, WBS 120, etc.), and the tasks linked to the activities in a 1 series (i.e. WBS 111, WBS 112, etc.).

The matrix will serve purposes beyond identifying the activities required to achieve each of the outputs (and the tasks involved in each of the activities). It will help you in preparing the project/program budget by identifying the inputs required to perform each of the tasks. The inputs are the people involved as well as the materials, equipment, travel, conference rooms, translators, per diem, and other requirements. The matrix also supports work planning and reporting on progress. The Geographic Programs Road Map asks that you base your annual work plans on the matrix and update the matrix at the output level in all progress reports.

You may find that your project/program is too large to capture in the matrix. If this is the case, you should present your lists of activities in an appendix in your PIP.
Key Questions

If you have a preliminary WBS, you have already outlined the work packages in your project/program. The PIP process is an opportunity to review the outline and delve into the details. We assume your WBS is aligned with your LFA. The key questions to ask are:

- **What activities will you implement to produce the project/program outputs?** Do the work packages and activities shown in the original WBS still make sense in terms of the updated LFA? Is each activity or step discrete? Does each activity advance the project/program toward its successful completion? Is the gender equality strategy reflected in the WBS and activities? Are there activities that should be added, changed or removed from the plan?

- **What are the main tasks that make up these activities?** Is each task discrete? Is each necessary? Are there tasks that should be added, changed or removed?

- **What are the inputs required for each of the activities and tasks?** What human resources are needed to deliver the activities? What materials, equipment, travel, conference rooms, translators, per diem, etc., are needed?

- **Which institutional partners are involved in producing the outputs?** Which partners are responsible for completing each of the programming activities and tasks? Which partners will participate in each of the programming activities and tasks?
Policy Reform Interventions for Managing the Environment (PRIME) in China is an institutional development project that aims to improve the way that government departments manage and deliver services related to issues in environmental policy reform in China. The PRIME partners developed the following Project Output/Activity Matrix, which they put in an appendix of the PIP. From the matrix, they developed the WBS, the project schedule and the project budget, which were presented in the body of the PIP. (We use the PRIME example throughout this chapter.)

**PIP & Project/Program Implementation & Project Output/Activity Matrix**

The project is designed to support the Chinese State Council Office for Protecting the Environment (SCOPE) in strategic planning and management of policy interventions. It supports municipal and provincial offices of the Environmental Protection Bureau (EPB) in carrying out studies and building operational capacity linked to policy reform. It also focuses on strengthening public consultation practices for improved public management of issues in environmental policy reform.

<table>
<thead>
<tr>
<th>Outcome/Output/Activity</th>
<th>Specific Actions Required</th>
<th>Resources</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Expected Outcome</td>
<td></td>
<td>TOTAL: $8,977,078</td>
<td>CEA, SCOPE</td>
</tr>
<tr>
<td>Improvements in the way that selected Chinese institutions manage and deliver services around targeted priority issues in environmental policy reform.</td>
<td>Strategic planning (WBS 100)</td>
<td>CIDA inputs: $4,096,991</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Knowledge building (WBS 200)</td>
<td>SCOPE in-kind: $1,077,249</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Capacity building (WBS 300)</td>
<td>Chinese in-kind: $2,663,015</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Application, testing and dissemination (WBS 400)</td>
<td>Canadian in-kind: $1,139,822</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Performance Management (WBS 500)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Program Management (WBS 600)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Outcome/Output/Activity</td>
<td>Specific Actions Required</td>
<td>Resources</td>
<td>Responsibility</td>
</tr>
<tr>
<td>------------------------</td>
<td>---------------------------------------------------------------------------------------------</td>
<td>---------------------------------------------------------------------------</td>
<td>-------------------------</td>
</tr>
<tr>
<td>Short Term Results (Outputs)</td>
<td>Outputs in five categories to be delivered</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>1. Strengthened strategic planning capacity of SCOPE (WBS 100)</strong></td>
<td>Identify priority issues in environmental policy reform (110) Build consensus on objectives in environmental policy reform (120) Develop strategic plan of SCOPE (130) Select PRIME interventions (140)</td>
<td>CIDA inputs: $676,927 SCOPE, CEA, Commissions, Ministries, Environmental Protection Bureau, Private Sector, Community Groups</td>
<td>SCOPE, CEA</td>
</tr>
<tr>
<td><strong>2. Increased knowledge in participating institutes of issues in environmental policy reform (WBS 200)</strong></td>
<td>Carry out studies in environmental policy reform (210) Develop strategies for communicating results (220) Increase public access to information (230)</td>
<td>CIDA inputs: $895,973 SCOPE, EPB, Canadian policy partners, Private Sector, Community Groups</td>
<td>EPB, Canadian policy partners</td>
</tr>
<tr>
<td><strong>3. Increased organizational capacity in participating institutes to manage policy reform (WBS 300)</strong></td>
<td>Build management frameworks (310) Develop procedural guidelines (320) Develop organizational systems (330) Build consultation mechanisms (340)</td>
<td>CIDA inputs: $539,504 SCOPE, EPB, Canadian policy partners, Private Sector, Community Groups</td>
<td>EPB, Canadian policy partners</td>
</tr>
<tr>
<td><strong>4. Increased organizational capacity in participating policy institutes to apply, test and disseminate policy solutions (WBS 400)</strong></td>
<td>Implement policy reform test cases (410) Implement policy regulations (420) Develop performance monitoring systems (430) Deliver regional workshops for disseminating test case results (440) Produce and distribute relevant documentation (450)</td>
<td>CIDA inputs: $556,926 SCOPE, EPB, Private Sector, Other government departments</td>
<td>SCOPE, EPB</td>
</tr>
<tr>
<td><strong>5. Increased capacity in SCOPE to manage the performance of environmental policy interventions (WBS 500)</strong></td>
<td>Develop planning processes for policy interventions (510) Strengthen financial systems (520) Enhance policy intervention monitoring services (530) Develop information management systems (540)</td>
<td>CIDA inputs: $107,691 SCOPE, CEA</td>
<td>SCOPE, CEA</td>
</tr>
<tr>
<td>Outcome/Output/Activity</td>
<td>Specific Actions Required</td>
<td>Resources</td>
<td>Responsibility</td>
</tr>
<tr>
<td>-------------------------</td>
<td>---------------------------</td>
<td>-----------</td>
<td>----------------</td>
</tr>
<tr>
<td><strong>Activities</strong></td>
<td>Eight policy interventions to be completed in two phases in the program.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>1. SCOPE Strategic Planning (WBS 100)</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Identify priority issues in environmental policy reform (WBS 110)</td>
<td>Design assessment of policy issues in environmental reform (111)</td>
<td>$121,400</td>
<td>SCOPE, CEA</td>
</tr>
<tr>
<td></td>
<td>Carry out assessment (112)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Write assessment report (113)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Build consensus on strategic objectives in environmental policy reform (WBS 120)</td>
<td>Plan and organize national conference on strategic objectives (121)</td>
<td>$75,527</td>
<td>SCOPE, CEA</td>
</tr>
<tr>
<td></td>
<td>Deliver national conference (122)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Prepare and distribute conference materials (123)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Develop strategic plan of SCOPE (WBS 130)</td>
<td>Design strategic planning process (131)</td>
<td>$435,000</td>
<td>SCOPE, CEA</td>
</tr>
<tr>
<td></td>
<td>Plan and implement SCOPE strategic planning exercises (132)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Write strategic plan (133)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Plan and implement SCOPE workshops for programming framework (134)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Stakeholder consultations on programming framework (135)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Select PRIME interventions (WBS 140)</td>
<td>Invite submission of proposals for policy interventions (141)</td>
<td>$45,000</td>
<td>SCOPE, CEA</td>
</tr>
<tr>
<td></td>
<td>Provide written feedback on proposals (142)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Plan and carry out pre-selection missions to assess readiness (143)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Select proposals (144)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Plan and carry out definition missions for policy interventions (145)</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>2. Knowledge Building (WBS 200)</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Carry out studies in environmental policy reform (210)</td>
<td>Design and plan studies (211)</td>
<td>$720,000</td>
<td>EPB, Canadian policy partners</td>
</tr>
<tr>
<td></td>
<td>Collect and analyze data (212)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Plan and carry out workshops on research findings (213)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Write reports (214)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Develop strategies for communicating results (220)</td>
<td>Prepare communication strategy (221)</td>
<td>$70,000</td>
<td>EPB, Canadian policy partners</td>
</tr>
<tr>
<td></td>
<td>Develop information products for private sector, community groups and general public (222)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Outcome/Output/Activity</td>
<td>Specific Actions Required</td>
<td>Resources</td>
<td>Responsibility</td>
</tr>
<tr>
<td>-------------------------</td>
<td>---------------------------</td>
<td>-----------</td>
<td>----------------</td>
</tr>
<tr>
<td>Increase public access to information (230)</td>
<td>Disseminate research reports to environmental specialists (231) Disseminate information products for public (232) Run public consultations (233)</td>
<td>$105,973</td>
<td>EPB, Canadian policy partners</td>
</tr>
<tr>
<td>Build management frameworks (310)</td>
<td>Work plan organizational capacity building (311) Plan study tours of Canadian policy institutions (312) Carry out study tours (313) Design management frameworks (314)</td>
<td>$170,504</td>
<td>EPB, Canadian policy partners</td>
</tr>
<tr>
<td>Develop procedural guidelines (320)</td>
<td>Train EPB personnel in procedural guidelines (321) Write procedural guidelines (322)</td>
<td>$120,000</td>
<td>EPB, Canadian policy partners</td>
</tr>
<tr>
<td>Develop organizational systems (330)</td>
<td>Provide technical assistance for systems development (331) Design of new organizational systems (332) Develop organizational systems (333)</td>
<td>$120,000</td>
<td>EPB, Canadian policy partners</td>
</tr>
<tr>
<td>Build consultation mechanisms (340)</td>
<td>Run workshops in public consultation (341) Design consultation mechanisms (342)</td>
<td>$129,000</td>
<td>EPB, Canadian policy partners</td>
</tr>
<tr>
<td>Implement policy reform test cases (410)</td>
<td>Work plan application and testing (411) Provide coaching and technical assistance in test case (412) Implement test (413)</td>
<td>$80,000</td>
<td>EPB, Canadian policy partners</td>
</tr>
<tr>
<td>Implement policy regulations (420)</td>
<td>Provide coaching and technical assistance (421) Develop policy regulations (422)</td>
<td>$80,000</td>
<td>EPB, Canadian policy partners</td>
</tr>
<tr>
<td>Develop performance monitoring systems (430)</td>
<td>Train EPB in performance monitoring (431) Develop performance monitoring criteria, methods and procedures (432) Run workshops to analyze performance of test (433)</td>
<td>$120,000</td>
<td>EPB, Canadian policy partners</td>
</tr>
<tr>
<td>Outcome/Output/Activity</td>
<td>Specific Actions Required</td>
<td>Resources</td>
<td>Responsibility</td>
</tr>
<tr>
<td>-------------------------------------------------------------</td>
<td>-------------------------------------------------------------------------------------------</td>
<td>------------</td>
<td>----------------------</td>
</tr>
<tr>
<td>Deliver regional seminars for disseminating test case results (440)</td>
<td>Selection of appropriate interventions for regional seminars (441)</td>
<td>$200,000</td>
<td>EPB, SCOPE</td>
</tr>
<tr>
<td></td>
<td>Design and plan regional seminars (442)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Deliver regional seminars (443)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Produce and distribute relevant documentation (450)</td>
<td>Prepare documentation for distribution (451)</td>
<td>$76,973</td>
<td>EPB, SCOPE</td>
</tr>
<tr>
<td></td>
<td>Distribute documentation (452)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

5. SCOPE Performance Management of Policy Interventions (WBS 500)

<table>
<thead>
<tr>
<th>Outcome/Output/Activity</th>
<th>Specific Actions Required</th>
<th>Resources</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Develop planning processes for policy interventions (510)</td>
<td>Train SCOPE in program planning (511)</td>
<td>$15,500</td>
<td>SCOPE, CEA</td>
</tr>
<tr>
<td></td>
<td>Train SCOPE in proposal writing (512)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Strengthen financial systems (520)</td>
<td>Review of SCOPE financial systems for program management (521)</td>
<td>$28,000</td>
<td>SCOPE, CEA</td>
</tr>
<tr>
<td></td>
<td>Upgrade SCOPE financial systems (522)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Enhance policy intervention monitoring services (530)</td>
<td>Train SCOPE in RBM monitoring and reporting principles (531)</td>
<td>$17,191</td>
<td>SCOPE, CEA</td>
</tr>
<tr>
<td></td>
<td>Provide TA to develop monitoring processes (532)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Develop information management systems (540)</td>
<td>Design RBM information management system (541)</td>
<td>$47,000</td>
<td>SCOPE, CEA</td>
</tr>
<tr>
<td></td>
<td>Develop policy intervention database (542)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Input baseline data from assessment of policy issues (543)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Total Program Costs

TOTAL: $6,822,465
CIDA inputs: $2,777,020
SCOPE in-kind: $527,801
Chinese in-kind: $2,463,289
Canadian in-kind: $1,054,355
<table>
<thead>
<tr>
<th>Outcome/Output/Activity</th>
<th>Specific Actions Required</th>
<th>Resources</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Management (WBS 600)</td>
<td>Ongoing program management activities</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| CEA Management (WBS 610) | Prepare Project Implementation Plan (611)  
Carry out annual work planning (612)  
Manage programming (613)  
Manage program finances (614)  
Monitor and report on performance (615)  
Provide communications and liaison (616)  
Manage and deliver JPSC (617) | Total CIDA inputs to CEA management: $863,698 | CEA |
| SCOPE Management (WBS 620) | Prepare Project Implementation Plan (621)  
Carry out annual work planning (622)  
Manage programming (623)  
Manage program finances (624)  
Monitor and report on performance (625)  
Provide communications and liaison (626)  
Manage and deliver JPSC (627) | Total SCOPE in-kind: $549,448 | SCOPE |
| CIDA Management (WBS 630) | Review PIP (631)  
Review annual work plans (632)  
Monitor progress (633)  
Ensure contribution of Government of Canada (634)  
Manage information (635)  
Provide communications and liaison (636)  
Participate in JPSC (637) | | CIDA |
| PRIME Field Office Management (WBS 640) | Contribute to Project Implementation Plan (641)  
Contribute to programming management (642)  
Provide communications and liaison (643)  
Manage information (644) | Total CIDA inputs to PRIME Field Office is $346,273 | CEA |
<table>
<thead>
<tr>
<th>Outcome/Output/Activity</th>
<th>Specific Actions Required</th>
<th>Resources</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Management Costs</td>
<td></td>
<td>TOTAL: $1,698,333</td>
<td>CIDA inputs: $863,698 &lt;br&gt;SCOPE in-kind: $549,448 &lt;br&gt;Chinese in-kind: $199,726 &lt;br&gt;Canadian in-kind: $85,467</td>
</tr>
<tr>
<td>Equipment</td>
<td>Procure computers, printers, software&lt;br&gt;Install LANs&lt;br&gt;Develop intranet web sites</td>
<td>CIDA inputs: $110,000</td>
<td>CEA, SCOPE</td>
</tr>
</tbody>
</table>
Unit 15 - Work Breakdown Structure

Key Concepts

The Work Breakdown Structure (WBS) is a snapshot of your plan for implementation. It is a simple, effective way to illustrate the links between the activities you conduct and the outcomes you expect.

The WBS organizes all programming and management activities into basic work packages called WBS categories. It provides a summary of the same information on outcomes, outputs and activities that is contained in the Project Output/Activity Matrix. If you prepared your matrix along LFA lines - if your matrix work-packages correspond to your LFA outputs - your work in preparing the WBS is largely done. You need only to ensure that it reflects the updated realities of the LFA and matrix.

The WBS in your PIP should look something like this:

Work Breakdown Structure

![Diagram of Work Breakdown Structure]

The WBS will also provide an outline of management and administrative activities. As you can see in the example above, the WBS categories for project management can refer to the organizations involved in managing the project/program, while the sub-categories describe the management activities and tasks performed by each group. (This will simplify budgeting and financial procedures.)

Some project/programs will organize their WBS activities by other categories such as components or themes. The components may represent the logical sub-divisions of the project/program, but the breakdown means the LFA and the WBS may not be aligned. We recommend aligning the WBS, the LFA and the Project Output/Activity Matrix.
Key Questions

The questions that you addressed in putting together the Project Output/Activity Matrix are applicable to the WBS. At this point you might check to see if all of your implementation tools are aligned. In terms of presentation, some groups will write a short narrative on the main work packages to complement the WBS. In this case, they might choose to present the narrative in the body of the PIP and the WBS in an annex.

- **Is the WBS an accurate presentation of the organization of project/program activities?** Does it highlight the logical sub-divisions of the project/program? Can you link the structure to the Project Output/Activity Matrix? Can you link it to the project/program budget? Can you identify the expected results and reach of the WBS sub-categories?
Project/Program Implementation Plan

Here is the PRIME work breakdown structure.

PIP Project/Program Implementation Work Breakdown Structure

Goal: To enhance capacity among Chinese institutions to manage the environment in China.

Purpose: To make improvements in the way that selected Chinese institutions manage and deliver services around targeted priority issues in environmental policy reform

<table>
<thead>
<tr>
<th>WBS 100 SCOPE Strategic Planning</th>
<th>WBS 200 Knowledge Building</th>
<th>WBS 300 Capacity Building</th>
<th>WBS 400 Application, Testing and Dissemination</th>
<th>WBS 500 SCOPE Performance Management of Policy Interventions</th>
<th>WBS 600* Program Management</th>
</tr>
</thead>
<tbody>
<tr>
<td>110 Identify priority issues in environmental policy reform</td>
<td>210 Carry out studies in environmental policy reform</td>
<td>310 Build management frameworks</td>
<td>410 Implement policy reform test cases</td>
<td>510 Develop planning processes for policy interventions</td>
<td>611 Program Implementation Plan</td>
</tr>
<tr>
<td>120 Build consensus on strategic objectives in environmental policy reform</td>
<td>220 Develop strategies for communicating results</td>
<td>320 Develop procedural guidelines</td>
<td>420 Implement policy regulations</td>
<td>520 Strengthen financial systems</td>
<td>612 Annual work planning</td>
</tr>
<tr>
<td>130 Develop strategic plan of SCOPE</td>
<td>230 Increase public access to information</td>
<td>330 Develop organizational systems</td>
<td>430 Develop performance monitoring systems</td>
<td>530 Enhance policy intervention monitoring services</td>
<td>613 Programming management</td>
</tr>
<tr>
<td>140 Select PRIME interventions</td>
<td></td>
<td>340 Build consultation mechanisms</td>
<td>440 Deliver regional workshops for disseminating test case results</td>
<td>540 Develop information management systems</td>
<td>614 Financial management</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>450 Produce and distribute relevant documentation</td>
<td></td>
<td>615 Monitoring and reporting</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>616 Communication and liaison</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>617 JPSC</td>
</tr>
</tbody>
</table>

* There will be a 600 series for each project partner.
Unit 16 - Schedule

Key Concepts

The Gantt chart is a popular tool for graphically displaying the time dimension of a project/program. With the Gantt chart, you can describe the schedule, duration and sequence of activities. You can also highlight the milestones along the way.

Preparing the schedule using a Gantt chart is a relatively straightforward task. Working from the activities and tasks outlined in the Project Output/Activity Matrix, you need to identify (1) how long activities will last, (2) the sequencing of activities, and (3) the earliest time they can begin. (Some activities will flow in sequence while others can be under way at the same time.) You can then display the activities in a horizontal bar chart to see the minimum time needed to complete the project/program. When you factor in workload, holidays, slack time, and partners’ schedules, a viable schedule will begin to emerge.

Scheduling becomes more complex when you recognize that some activities occur once, some are repeated periodically, and some are ongoing. In the management activities, for example, you prepare the PIP once but you prepare work plans annually. In the example we use in this chapter, there are three distinct cycles - the program cycle, the annual cycle, and the project cycle, which in PRIME example is a ‘policy intervention.’ To prepare a usable schedule, you will need to identify the activities that occur only once and those that repeat in annual or special cycles.

CIDA asks that the PIP include a schedule indicating the duration of each project/program activity and output. If appropriate, you should show the schedule for reaching other key milestones. The Gantt chart is effective in meeting these requirements.
Key Questions

The updated WBS and Project Output/Activity Matrix will provide an updated list of activities. The Gantt chart should correspond to these tools.

Before you begin to develop a schedule in this format, there are some basic decisions you should make about what you want the chart to show.

• Decide if the chart will illustrate the schedule for achieving LFA or WBS outputs, or a series of interventions or components that are more apparent to you and your partners.

• Decide the level of detail you will show in the chart. Will you indicate the schedule for all activities and tasks, or for the higher level activities only? Will you indicate the schedule for reaching milestones? Will you include management activities?

Once you have made these basic decisions, the following questions will guide you in preparing the horizontal bar chart:

• What are the main cycles in the project/program? Which activities are included in each cycle? Given that some activities will occur more than once, what is your list of activities to include in the Gantt chart?

• What is the duration of the activities? What is the minimum time required to complete each activity? What is the maximum time the activities might need? Within this range, what is your time estimate for each activity?

• What is the earliest time you can begin each activity? Which activities flow in a sequence and require others to be completed first? Which can be under way at the same time?

• What special factors should you consider in preparing the schedule? What are the holiday periods when you will not conduct activities? What realities exist in the partners’ schedules that will affect the project/program schedule? What slack is needed as insurance in case you fall behind schedule?

• When will the activities take place? What milestones will you achieve in the schedule? What is the timing of activities and milestones in terms of fiscal years and quarters?
The PRIME schedule is shown below. (This does not include management activities.)

### PIP: Project/Program Implementation Schedule

#### WBS 100: SCOPE Strategic Planning
- **110** Identify priority issues in environmental policy reform
- **120** Build consensus on strategic objectives in environmental policy reform
- **130** Develop strategic plan of SCOPE
- **140** Select PRIME interventions

#### WBS 200: Knowledge Building
- **210** Carry out studies in environmental policy reform
- **220** Develop strategies for communicating results
- **230** Increase public access to information

#### WBS 300: Capacity Building
- **310** Build management frameworks
- **320** Develop procedural guidelines
<table>
<thead>
<tr>
<th>Project/Program Implementation Plan</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>WBS 400</strong> Application, Testing and Dissemination</td>
</tr>
<tr>
<td>330 Develop organizational systems</td>
</tr>
<tr>
<td>340 Build consultation mechanisms</td>
</tr>
<tr>
<td><strong>WBS 500</strong> SCOPE Performance Management of Policy Interventions</td>
</tr>
<tr>
<td>410 Implement policy reform test cases</td>
</tr>
<tr>
<td>420 Implement policy regulations</td>
</tr>
<tr>
<td>430 Develop performance monitoring systems</td>
</tr>
<tr>
<td>440 Deliver regional workshops for disseminating test case results</td>
</tr>
<tr>
<td>450 Produce and distribute relevant documentation</td>
</tr>
<tr>
<td>510 Develop planning processes for policy interventions</td>
</tr>
<tr>
<td>520 Strengthen financial systems</td>
</tr>
<tr>
<td>530 Enhance policy intervention monitoring services</td>
</tr>
<tr>
<td>540 Develop information management systems</td>
</tr>
</tbody>
</table>
Unit 17 - Budget

Key Concepts

Budgets are powerful tools in managing for results. They empower managers and support communication inside the project/program. They also serve as a concrete expression of your formal agreement as partners.

In preparing the PIP, implementing partners will need to negotiate the budgets associated with carrying out people’s work. The negotiation should take into account a full-range of management and implementation details, including the responsibilities, expectations, accountabilities, and level of effort and material support required for particular partners to achieve expected results. It should also take into account the cash and in-kind contributions that partners will make.

Budget negotiation is a time-consuming activity that you should approach in a business-like manner. You should come prepared with the information needed to justify all allocations. This will include the costs of personnel, overhead and inputs. We recommend that all agreements among partners involving responsibilities, resources, level of effort and scheduling, be formalized in writing, and that your agreements indicate in clear terms the consequences of non-compliance.

CIDA asks that partners prepare a budget for the PIP that provides cost breakdowns on an output and input basis. The former links the budget to the Project Output/Activity Matrix by describing the costs of performing tasks. The latter indicates costs by category of inputs such as salaries, travel and equipment. In the PIP you are required to present cash-flow estimates by quarter or semi-annually for the first year and by year for the rest of the program or project.

If your project/program has a significant component involving the purchase of capital equipment or goods, you will need to present a Procurement Plan in the PIP. The Procurement Plan will describe the goods you will procure, how suppliers will be identified and contracted, how goods will be insured, and how ownership of goods will be vested in recipient organizations. The Plan will help ensure transparency in the process.

CIDA also asks that partners monitor their cash and in-kind contributions to the project/program. In some cases, the contracts between CIDA and CEAs indicate the planned contributions as a percentage of CIDA’s investment in the project/program. We recommend that partners track their contributions for their own purposes and to present this information in financial reports to CIDA.
Key Questions

The basic questions for developing the project/program budget are:

- **What are the fixed costs in the project/program?** What are the costs of staff, rent and other overhead that you will assign to the project/program?

- **What activities will you cost?** What are the activities or tasks listed in the Project Output/Activity Matrix that you will cost?

- **What cost information do you need to obtain?** What are the specifications for the inputs to the activities? What travel, accommodations, equipment, salaries and fees will be associated with each planned activity?

- **What is the cost of these inputs?** What is the cost of the inputs that you listed? Will the cost of these inputs remain stable over the life of your project/program? Will you need to factor inflation into the budget?
Project/Program Example

The PRIME budget is shown below, first on an input basis, and then on an output basis.

### PIP Project/Program Implementation PRIME Budget (Input Basis)

<table>
<thead>
<tr>
<th>Personnel (Program Manager, Financial Officer, Administrative Assistant, Local Coordinator, Canadian Policy Experts, Local Researchers, Translators, Interpreters, Driver)</th>
<th>FY 1 Qtr 1</th>
<th>FY 1 Qtr 2</th>
<th>FY 1 Qtr 3</th>
<th>FY 1 Qtr 4</th>
<th>FY 1</th>
<th>FY 2</th>
<th>FY 3</th>
<th>FY 4</th>
<th>FY 5</th>
<th>Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 CEA Personnel</td>
<td>32,302</td>
<td>32,302</td>
<td>32,302</td>
<td>32,301</td>
<td>129,207</td>
<td>133,062</td>
<td>137,027</td>
<td>139,712</td>
<td>143,712</td>
<td>682,720</td>
</tr>
<tr>
<td>2 Field Office Personnel</td>
<td>4,560</td>
<td>4,560</td>
<td>4,560</td>
<td>4,560</td>
<td>18,240</td>
<td>20,053</td>
<td>22,050</td>
<td>24,247</td>
<td>26,663</td>
<td>111,253</td>
</tr>
<tr>
<td>3 Canadian Consultants</td>
<td>48,000</td>
<td>15,000</td>
<td>60,500</td>
<td>31,144</td>
<td>154,644</td>
<td>142,640</td>
<td>141,640</td>
<td>140,640</td>
<td>143,648</td>
<td>723,212</td>
</tr>
<tr>
<td>4 Local Consultants</td>
<td>6,000</td>
<td>15,000</td>
<td>4,072</td>
<td>4,000</td>
<td>29,072</td>
<td>21,550</td>
<td>23,550</td>
<td>25,050</td>
<td>26,050</td>
<td>125,272</td>
</tr>
<tr>
<td><strong>Sub-total Personnel and Fees</strong></td>
<td>90,862</td>
<td>66,862</td>
<td>101,434</td>
<td>173,439</td>
<td>331,163</td>
<td>317,305</td>
<td>324,267</td>
<td>334,649</td>
<td>340,073</td>
<td>1,642,457</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Subcontractors (Canadian Environmental Policy Centre)</th>
<th>FY 1 Qtr 1</th>
<th>FY 1 Qtr 2</th>
<th>FY 1 Qtr 3</th>
<th>FY 1 Qtr 4</th>
<th>FY 1</th>
<th>FY 2</th>
<th>FY 3</th>
<th>FY 4</th>
<th>FY 5</th>
<th>Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td>5 Subcontractors</td>
<td>0</td>
<td>51,112</td>
<td>0</td>
<td>0</td>
<td>51,112</td>
<td>51,112</td>
<td>51,112</td>
<td>51,112</td>
<td>51,112</td>
<td>255,560</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Travel Expenses (Airfare, airport taxes, insurance, local transportation, taxis, accommodation, meals and incidentals)</th>
<th>FY 1 Qtr 1</th>
<th>FY 1 Qtr 2</th>
<th>FY 1 Qtr 3</th>
<th>FY 1 Qtr 4</th>
<th>FY 1</th>
<th>FY 2</th>
<th>FY 3</th>
<th>FY 4</th>
<th>FY 5</th>
<th>Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td>6 CEA Travel Expenses</td>
<td>12,000</td>
<td>12,000</td>
<td>0</td>
<td>3,500</td>
<td>27,500</td>
<td>17,525</td>
<td>21,600</td>
<td>19,400</td>
<td>23,500</td>
<td>109,525</td>
</tr>
<tr>
<td>7 Field Office Travel Expenses</td>
<td>400</td>
<td>400</td>
<td>400</td>
<td>400</td>
<td>1,600</td>
<td>1,500</td>
<td>1,500</td>
<td>1,500</td>
<td>1,500</td>
<td>7,800</td>
</tr>
<tr>
<td>8 Consultants Travel Expenses</td>
<td>70,000</td>
<td>20,000</td>
<td>40,000</td>
<td>32,510</td>
<td>162,510</td>
<td>149,610</td>
<td>149,910</td>
<td>150,810</td>
<td>151,710</td>
<td>763,550</td>
</tr>
<tr>
<td><strong>Sub-total Travel</strong></td>
<td>82,400</td>
<td>32,400</td>
<td>40,400</td>
<td>36,410</td>
<td>191,610</td>
<td>167,635</td>
<td>173,110</td>
<td>171,710</td>
<td>176,810</td>
<td>880,875</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Operating Expenses (Materials, supplies, report production, communication, facility rentals, report productions, photocopying, printing, catering)</th>
<th>FY 1 Qtr 1</th>
<th>FY 1 Qtr 2</th>
<th>FY 1 Qtr 3</th>
<th>FY 1 Qtr 4</th>
<th>FY 1</th>
<th>FY 2</th>
<th>FY 3</th>
<th>FY 4</th>
<th>FY 5</th>
<th>Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td>9 CEA Operating Expenses</td>
<td>3,200</td>
<td>4,200</td>
<td>3,200</td>
<td>4,503</td>
<td>15,103</td>
<td>14,100</td>
<td>14,100</td>
<td>14,100</td>
<td>14,100</td>
<td>71,453</td>
</tr>
<tr>
<td>10 Field Off. Operating Expenses</td>
<td>12,650</td>
<td>12,650</td>
<td>11,150</td>
<td>11,190</td>
<td>47,640</td>
<td>40,444</td>
<td>43,348</td>
<td>46,348</td>
<td>49,440</td>
<td>227,220</td>
</tr>
<tr>
<td>11 Program Operating Expenses</td>
<td>47,650</td>
<td>39,000</td>
<td>59,000</td>
<td>46,336</td>
<td>191,986</td>
<td>171,785</td>
<td>176,385</td>
<td>181,387</td>
<td>187,883</td>
<td>909,426</td>
</tr>
<tr>
<td><strong>Sub-Total Operations</strong></td>
<td>63,500</td>
<td>55,850</td>
<td>73,350</td>
<td>62,029</td>
<td>254,729</td>
<td>226,329</td>
<td>233,833</td>
<td>241,785</td>
<td>251,383</td>
<td>1,208,099</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Equipment Costs (PCs, laptops, server, printer, fax machine, web site, software)</th>
<th>FY 1 Qtr 1</th>
<th>FY 1 Qtr 2</th>
<th>FY 1 Qtr 3</th>
<th>FY 1 Qtr 4</th>
<th>FY 1</th>
<th>FY 2</th>
<th>FY 3</th>
<th>FY 4</th>
<th>FY 5</th>
<th>Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td>12 Equipment</td>
<td>45,000</td>
<td>15,000</td>
<td>0</td>
<td>0</td>
<td>60,000</td>
<td>25,000</td>
<td>15,000</td>
<td>10,000</td>
<td>0</td>
<td>110,000</td>
</tr>
<tr>
<td><strong>TOTAL COSTS</strong></td>
<td>281,762</td>
<td>221,224</td>
<td>215,184</td>
<td>271,878</td>
<td>888,614</td>
<td>787,381</td>
<td>797,322</td>
<td>804,256</td>
<td>819,418</td>
<td>4,096,991</td>
</tr>
</tbody>
</table>
### PIP Project/Program Implementation Plan

#### PRIME Budget (Output Basis)

<table>
<thead>
<tr>
<th>SCOPE Strategic Planning (WBS 100)</th>
<th>FY 1 Qtr 1</th>
<th>FY 1 Qtr 2</th>
<th>FY 1 Qtr 3</th>
<th>FY 1 Qtr 4</th>
<th>FY 1</th>
<th>FY 2</th>
<th>FY 3</th>
<th>FY 4</th>
<th>FY 5</th>
<th>Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Identify issues (110)</td>
<td>60,400</td>
<td>61,000</td>
<td>0</td>
<td>0</td>
<td>121,400</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>121,400</td>
</tr>
<tr>
<td>2 Build consensus (120)</td>
<td>0</td>
<td>35,500</td>
<td>40,027</td>
<td>0</td>
<td>75,527</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>75,527</td>
</tr>
<tr>
<td>3 Develop Strategic Plan (130)</td>
<td>0</td>
<td>0</td>
<td>435,000</td>
<td>0</td>
<td>435,000</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>435,000</td>
</tr>
<tr>
<td>4 Select interventions (140)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>45,000</td>
<td>45,000</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>45,000</td>
</tr>
<tr>
<td><strong>Sub-total WBS 100</strong></td>
<td><strong>60,400</strong></td>
<td><strong>96,500</strong></td>
<td><strong>475,027</strong></td>
<td><strong>45,000</strong></td>
<td><strong>676,927</strong></td>
<td><strong>0</strong></td>
<td><strong>0</strong></td>
<td><strong>0</strong></td>
<td><strong>0</strong></td>
<td><strong>676,927</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Knowledge Building (WBS 200)</th>
<th>FY 1 Qtr 1</th>
<th>FY 1 Qtr 2</th>
<th>FY 1 Qtr 3</th>
<th>FY 1 Qtr 4</th>
<th>FY 1</th>
<th>FY 2</th>
<th>FY 3</th>
<th>FY 4</th>
<th>FY 5</th>
<th>Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td>5 Carry out studies (210)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>360,000</td>
<td>360,000</td>
<td>0</td>
<td>0</td>
<td>720,000</td>
</tr>
<tr>
<td>6 Communicate results (220)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>35,000</td>
<td>35,000</td>
<td>0</td>
<td>0</td>
<td>70,000</td>
</tr>
<tr>
<td>7 Increase public access (230)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>35,324</td>
<td>52,987</td>
<td>17,662</td>
<td>0</td>
<td>105,973</td>
</tr>
<tr>
<td><strong>Sub-total WBS 200</strong></td>
<td><strong>0</strong></td>
<td><strong>0</strong></td>
<td><strong>0</strong></td>
<td><strong>0</strong></td>
<td><strong>0</strong></td>
<td><strong>430,324</strong></td>
<td><strong>447,987</strong></td>
<td><strong>17,662</strong></td>
<td><strong>0</strong></td>
<td><strong>895,973</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Capacity Building (WBS 300)</th>
<th>FY 1 Qtr 1</th>
<th>FY 1 Qtr 2</th>
<th>FY 1 Qtr 3</th>
<th>FY 1 Qtr 4</th>
<th>FY 1</th>
<th>FY 2</th>
<th>FY 3</th>
<th>FY 4</th>
<th>FY 5</th>
<th>Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td>8 Build management fmwks (310)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>85,252</td>
<td>85,252</td>
<td>0</td>
<td>0</td>
<td>170,504</td>
</tr>
<tr>
<td>9 Develop guidelines (320)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>20,000</td>
<td>60,000</td>
<td>40,000</td>
<td>0</td>
<td>120,000</td>
</tr>
<tr>
<td>10 Develop org systems (330)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>20,000</td>
<td>60,000</td>
<td>40,000</td>
<td>0</td>
<td>120,000</td>
</tr>
<tr>
<td>11 Build consultation mechanism (340)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>23,000</td>
<td>63,000</td>
<td>43,000</td>
<td>0</td>
<td>129,000</td>
</tr>
<tr>
<td><strong>Sub-total WBS 300</strong></td>
<td><strong>0</strong></td>
<td><strong>0</strong></td>
<td><strong>0</strong></td>
<td><strong>0</strong></td>
<td><strong>0</strong></td>
<td><strong>128,252</strong></td>
<td><strong>268,252</strong></td>
<td><strong>123,000</strong></td>
<td><strong>0</strong></td>
<td><strong>539,504</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Application, Testing and Dissemination (WBS 400)</th>
<th>FY 1 Qtr 1</th>
<th>FY 1 Qtr 2</th>
<th>FY 1 Qtr 3</th>
<th>FY 1 Qtr 4</th>
<th>FY 1</th>
<th>FY 2</th>
<th>FY 3</th>
<th>FY 4</th>
<th>FY 5</th>
<th>Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td>12 Implement test cases (410)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>27,000</td>
<td>40,000</td>
<td>13,000</td>
<td>80,000</td>
<td></td>
</tr>
<tr>
<td>13 Implement regulations (420)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>20,000</td>
<td>40,000</td>
<td>20,000</td>
<td>80,000</td>
<td></td>
</tr>
<tr>
<td>14 Develop monitoring (430)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>60,000</td>
<td>60,000</td>
<td>120,000</td>
<td></td>
<td></td>
</tr>
<tr>
<td>15 Deliver seminars (440)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>100,000</td>
<td>100,000</td>
<td>200,000</td>
<td></td>
<td></td>
</tr>
<tr>
<td>16 Produce documents (450)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>38,473</td>
<td>38,500</td>
<td>76,973</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Sub-Total WBS 400</strong></td>
<td><strong>0</strong></td>
<td><strong>0</strong></td>
<td><strong>0</strong></td>
<td><strong>0</strong></td>
<td><strong>0</strong></td>
<td><strong>47,000</strong></td>
<td><strong>278,473</strong></td>
<td><strong>231,500</strong></td>
<td><strong>556,973</strong></td>
<td></td>
</tr>
</tbody>
</table>
### SCOPE Performance Management of Policy Interventions (WBS 500)

<table>
<thead>
<tr>
<th></th>
<th>Description</th>
<th>Budget 1</th>
<th>Budget 2</th>
<th>Actual 1</th>
<th>Actual 2</th>
<th>Budget 3</th>
<th>Budget 4</th>
<th>Budget 5</th>
<th>Budget 6</th>
<th>Budget 7</th>
<th>Actual Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>17</td>
<td>Develop planning (510)</td>
<td>9,000</td>
<td>6,500</td>
<td>0</td>
<td>0</td>
<td>15,500</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>15,500</td>
</tr>
<tr>
<td>18</td>
<td>Strengthen financial (520)</td>
<td>0</td>
<td>0</td>
<td>14,000</td>
<td>14,000</td>
<td>28,000</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>28,000</td>
</tr>
<tr>
<td>19</td>
<td>Enhance monitoring (530)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>17,191</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>17,191</td>
</tr>
<tr>
<td>20</td>
<td>Develop MIS (540)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>40,000</td>
<td>7,000</td>
<td>0</td>
<td>0</td>
<td>47,000</td>
</tr>
<tr>
<td></td>
<td><strong>Sub-total WBS 500</strong></td>
<td>9,000</td>
<td>6,500</td>
<td>14,000</td>
<td>14,000</td>
<td>43,500</td>
<td>57,191</td>
<td>7,000</td>
<td>0</td>
<td>0</td>
<td>107,691</td>
</tr>
</tbody>
</table>

### Program Management (WBS 600)

<table>
<thead>
<tr>
<th></th>
<th>Description</th>
<th>Budget 1</th>
<th>Budget 2</th>
<th>Actual 1</th>
<th>Actual 2</th>
<th>Budget 3</th>
<th>Budget 4</th>
<th>Budget 5</th>
<th>Budget 6</th>
<th>Budget 7</th>
<th>Actual Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>21</td>
<td>CEA Management (610)</td>
<td>103,698</td>
<td>40,000</td>
<td>40,000</td>
<td>40,000</td>
<td>223,698</td>
<td>160,000</td>
<td>160,000</td>
<td>160,000</td>
<td>160,000</td>
<td>863,698</td>
</tr>
<tr>
<td>22</td>
<td>Field Office Management (640)</td>
<td>37,523</td>
<td>16,250</td>
<td>16,250</td>
<td>16,250</td>
<td>86,273</td>
<td>65,000</td>
<td>65,000</td>
<td>65,000</td>
<td>65,000</td>
<td>346,273</td>
</tr>
<tr>
<td></td>
<td><strong>Sub-total WBS 600</strong></td>
<td>141,221</td>
<td>71,250</td>
<td>56,250</td>
<td>56,250</td>
<td>309,971</td>
<td>225,000</td>
<td>225,000</td>
<td>225,000</td>
<td>225,000</td>
<td>1,209,971</td>
</tr>
<tr>
<td>23</td>
<td>Equipment</td>
<td>71,141</td>
<td>15,000</td>
<td>0</td>
<td>0</td>
<td>86,141</td>
<td>22,907</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>109,048</td>
</tr>
<tr>
<td></td>
<td><strong>TOTAL COSTS</strong></td>
<td>281,762</td>
<td>189,250</td>
<td>545,277</td>
<td>125,250</td>
<td>1,141,539</td>
<td>840,767</td>
<td>1,018,146</td>
<td>456,000</td>
<td>4,100,587</td>
<td></td>
</tr>
</tbody>
</table>
CHAPTER 6: PROJECT/PROGRAM INFORMATION

Once your project/program is under way, you will want to produce, use and share information on the achievement of results and the use of resources. This will help you ensure greater success and stakeholder support. This section of the PIP helps you describe the performance information you will collect, your plan for collecting it, and the ways you will use it in your project or program.

The basic idea in using performance information is identifying the needs of stakeholders and developing a simple system for getting the information to them in a timely fashion. The stakeholders will include CIDA and other government sponsors and funding agencies, the project managers, implementing partners and beneficiaries, and the people in your network who need to be kept informed of your work. Generally, you will produce this information for purposes of reporting, planning and communications.

We have already discussed the logical framework analysis (LFA) as a tool for describing the chain of expected results in your project/program. As such, it also helps you determine the performance information that you need to collect. CIDA asks that you use a Performance Measurement Framework (PMF) to describe your plans for gathering this information on a regular basis. We encourage you to use a similar tool for monitoring the risks you’ve identified and the effectiveness of your risk management strategy.

This section of the PIP will also help you describe your information products and your plans and schedules for dissemination. You can use a Performance Reporting Framework (PRF) to describe the reports and work plans that you will generate in the life of the project/program. In developing this overview, you are wise to articulate the links between the monitoring, reporting and planning processes. Being conscious of how these processes work together will help ensure that you generate useful information in a timely fashion. The PIP process is the time for designing monitoring efforts that support work planning as well as reporting to CIDA.

Given the value of this performance information, we also suggest that you develop a Stakeholder Communications Plan. The communications plan can help you and your partners identify ways of using information on results to promote best practices and expand the learning base beyond the project or program.
At a Glance

In this chapter we discuss what to monitor, how to monitor, and how and when the information should be packaged and used to meet people's needs.

The chapter includes:

- **Unit 18 - Monitoring Performance**
  Generating performance information throughout the project/program cycle

- **Unit 19 - Monitoring Risk**
  Deciding how and when you will gather information on risk

- **Unit 20 - Reporting to CIDA**
  Making a plan for preparing progress reports and work plans

- **Unit 21 - Annual Work Planning**
  Using performance information for planning purposes

- **Unit 22 - Communicating with Stakeholders**
  Determining the target audiences, information needs, and communication methods
Unit 18 – Monitoring Performance

Key Concepts

The focal point of the monitoring effort is comparing actual performance against what was planned. Typically, managers monitor the achievement of results, the implementation of plans, the disbursement of funds, and the contextual factors affecting performance, including the risks you face. The Performance Measurement Framework (PMF) is a tool that links what you will monitor with how you will do it.

Your PMF was initially set up in the LFA when you stated the expected results and reach of the project/program and developed performance indicators. The PMF incorporates this information, and describes your monitoring plans in terms of data sources, data collection methods, frequency and responsibilities.

<table>
<thead>
<tr>
<th>Performance Measurement Framework</th>
</tr>
</thead>
<tbody>
<tr>
<td>Results</td>
</tr>
<tr>
<td>Performance Indicators</td>
</tr>
<tr>
<td>Data Sources</td>
</tr>
<tr>
<td>Reach and Beneficiaries</td>
</tr>
<tr>
<td>Collection Methods</td>
</tr>
<tr>
<td>Collection Frequency</td>
</tr>
<tr>
<td>Responsible</td>
</tr>
<tr>
<td>Impact</td>
</tr>
<tr>
<td>Outcomes</td>
</tr>
<tr>
<td>Outputs</td>
</tr>
<tr>
<td>Resources</td>
</tr>
</tbody>
</table>

Much has been written about performance indicators. They are intended to help you measure change in the baseline conditions that the project/program was designed to improve. Indicators also help you clarify concepts and intentions. You will want to ensure that you and your partners understand and feel comfortable with the use of particular indicators for performance monitoring. The overall challenge is generating information that is useful to project/program managers for analysis, planning and learning purposes.

Implementing partners can use the PIP process to begin preparing baseline information. You should exploit the information available from other sources (like partners, donors or international organizations) before generating your own data. The information you use to define the development problem will meet some of your needs for a baseline. You can use the PIP process to plan for further work on the baseline, and to develop the specifications for your monitoring system.

Your monitoring system will rely largely on the efforts of overseas partners. They will often act as information sources and take responsibility for data collection. For the system to run smoothly, you need to ensure that gathering information is a meaningful exercise for them. As much as possible, the monitoring effort should focus on the information your partners find valuable, and rely on the methods they use and the schedules they follow.
Key Questions

Developing a performance monitoring system is a capacity building process. Step back and ask yourself why you are doing this and what results you expect. With the larger goals in mind, you can ask the following questions when preparing the PMF:

- **What information needs will performance monitoring address?** Whose needs will drive the system? Exactly what information do these stakeholders need?

- **What are the sources and methods for gathering information on the indicators in your LFA?** How easy will it be to collect the information? How much of it will come from existing sources? How much will the project/program have to generate? What inexpensive methods will you use to generate information? How will you ensure that information is sex-disaggregated? What information gathering tools will you need to create?

- **Who will be responsible for collecting the information?** How often will you need to update your data on performance? Will your monitoring plan provide annual updates on the achievement of expected outcomes? Will it provide regular updating of information on the achievement of expected outputs? Do the responsible partners have the time, tools and skills needed to play their roles? How much capacity building will they require?

- **What can be done to adapt your partners’ existing information system for use in the project/program?** What information does their system already generate? Are the data in the system reliable? What changes would the system require to make it work for the project/program? How can you strengthen their system with the investments in information infrastructure and tools that are required for project monitoring?
**Project/Program Implementation Plan**

**Project/Program Example**

*Building Your Business is Our Business (BYBOB)* is an organizational development project that aims to improve the performance of the Department of Small Business Development within the Ministry of Trade of Burkina Faso. Here is the PMF that the BYBOB partners developed for their project and presented in the PIP. (We use the BYBOB example throughout the chapter.)

**PIP Project/Program Information Performance Measurement Framework**

Traditionally the Department of Small Business Development (DSBD)'s client base has been largely male-dominated, with businesses located in metropolitan centres and focused on manufacturing and service provision. The BYBOB project will improve the quality, efficiency and relevance of DSBD services and increase the scope and diversity of its client base among the country's population.

<table>
<thead>
<tr>
<th>Expected Results</th>
<th>Performance Indicators</th>
<th>Reach and Beneficiaries</th>
<th>Data Sources</th>
<th>Collection Methods</th>
<th>Frequency</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Impact:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Improved performance of small business sector</td>
<td>% increase in small business survival rate after five years of operation</td>
<td>Small business owners</td>
<td>National statistics – Ministry of Trade</td>
<td>Document review</td>
<td>End of project</td>
<td>DSBD and CEA</td>
</tr>
<tr>
<td></td>
<td></td>
<td>% increase in annual revenues for sector</td>
<td>Small business employees</td>
<td>World Bank studies</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>% increase in employment for sector</td>
<td>DSBD client survey</td>
<td>Interviews with senior managers</td>
<td>Annually</td>
<td>DSBD</td>
</tr>
<tr>
<td><strong>Outcome:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Enhanced organizational performance of the Department of Small Business Development</td>
<td>% increase in number of satisfied DSBD clients (male/female)</td>
<td>Small business owners</td>
<td>Ministry Strategic Management documents</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td># of strategic goals achieved within allotted timeframe and budget</td>
<td>DSBD managers</td>
<td>Ministry annual reports</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Document review</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Outputs:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Improved relevance of business development services</td>
<td>% increase in DSBD client base (male/female) and diversity of clients</td>
<td>Small business owners</td>
<td>Ministry data base on clients</td>
<td>Data base and document review</td>
<td>Quarterly</td>
<td>DSBD</td>
</tr>
<tr>
<td></td>
<td></td>
<td>% decrease in loan analysis/processing time</td>
<td>DSBD managers</td>
<td>Ministry data base on loan portfolio statistics</td>
<td>Client surveys</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>% decrease in loan defaults</td>
<td>DSBD employees</td>
<td>Interviews with small business owners</td>
<td>Interviews with implementing partners</td>
<td></td>
</tr>
<tr>
<td><strong>Inputs:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$2,400,000</td>
<td>Compliance with CIDA contract</td>
<td>PSC members</td>
<td>PIP, Annual Work Plans</td>
<td>Document review</td>
<td>Quarterly</td>
<td>DSBD and CEA</td>
</tr>
<tr>
<td>TA: $1,000,000</td>
<td>Resources delivered on time, within budget</td>
<td>BYBOB project personnel</td>
<td>Monitoring Reports</td>
<td>Interviews with implementing partners</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Training: $500,000</td>
<td></td>
<td>CIDA desk personnel</td>
<td>PSC minutes</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Equipment: $300,000</td>
<td></td>
<td></td>
<td>Project correspondence</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Management: $600,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Unit 19 - Monitoring Risk

Key Concepts

Changing conditions in the development context may present problems for your project/program. Some problems will require adjustments in your implementation schedule, some in the way project managers spend their time, while others will require wholesale changes in your strategy and use of resources.

In unit 8 of the guide, we provided guidelines for identifying and rating the risks you face, and suggested that you develop risk mitigation strategies. At this point in the PIP process, you need to integrate these strategies into the overall monitoring plan. One simple way to do this is developing a Risk Monitoring Framework that is similar in format to the PMF.

The Risk Monitoring Framework incorporates the risk factors that you identified in your LFA. It elaborates on the monitoring dimension of your risk strategy by describing indicators of risk, information sources, collection methods, collection frequency, and the people responsible for collecting the information. The framework will help you integrate risk monitoring into your project/program operations, and ensure that your risk strategy receives the resources it requires for implementation.

Key Questions

The questions that you asked in putting together the PMF will help you in developing the Risk Monitoring Framework. Assuming your risk strategy has identified the risk factors that deserve your attention, the questions to ask in building the framework are:

• What risk monitoring information needs to be collected? What are appropriate indicators for the risks?

• What are the sources and methods for gathering information on the indicators? How much of the information will come from existing sources? How much will the project/program have to generate? What inexpensive methods will you use to generate information? What information gathering tools will you need to create?

• Who will be responsible for collecting the information? How often will you need to update your data on risk? Do the responsible partners have the time, tools and skills needed to play this role? How much capacity building will they require?
**Project/Program Example**

**Building Your Business is Our Business (BYBOB)** is an organizational development project that aims to improve the performance of the Department of Small Business Development within the Ministry of Trade of Burkina Faso. Here is part of the BYBOB framework for monitoring risk.

**PIP 🏗️ Project/Program Information 🏗️ Risk Monitoring Framework**

One expected output in the BYBOB project is ‘increased human capacity in the Department of Small Business Development to use information technology in their work processes.’ The project provides management training in Canada to develop the skills of the mid-level managers who use databases in their work. The implementing partners identified two risks involved in achieving the output, namely, the possibility that trained managers could leave the DSBD for work in the private sector, and the possibility that senior level management could prevent the trainees from applying their new skills on the job. The project's risk strategy included a system to track trainees for one year following their training in Canada. The follow-up questionnaire was designed primarily to generate information on project results, while the annual survey was designed to track changes to the baseline of development conditions facing small business owners in Burkina Faso.

<table>
<thead>
<tr>
<th>Risks</th>
<th>Data collected (Indicators)</th>
<th>Targets</th>
<th>Data Source</th>
<th>Method</th>
<th>Frequency</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Risk 1 – Trainees could leave DSBD for work in the private sector (high risk rating)</td>
<td>Number of trainees still working at DSBD</td>
<td>75% of trainees still working is acceptable target</td>
<td>DSBD records</td>
<td>Periodic review</td>
<td>Semi-annually</td>
<td>DSBD</td>
</tr>
<tr>
<td></td>
<td>Trainee satisfaction with reintegration process</td>
<td>90% of trainees satisfied with reintegration process</td>
<td>Trainees</td>
<td>Follow-up questionnaire</td>
<td>6 months following return from training</td>
<td>DSBD</td>
</tr>
<tr>
<td></td>
<td>Reasons given for not returning and where they go</td>
<td>50% leaving because of external factors increases risk</td>
<td>Trainees</td>
<td>Follow-up questionnaire</td>
<td>6 months following return from training</td>
<td>DSBD</td>
</tr>
<tr>
<td></td>
<td>Supply/demand of IT professionals in private sector</td>
<td>20% gap in supply/demand equation increases risk</td>
<td>Labour ministry statistics</td>
<td>Survey</td>
<td>Annually</td>
<td>DSBD</td>
</tr>
<tr>
<td></td>
<td>Salary levels of IT professionals in private sector</td>
<td>50% higher salary levels in private sector increases risk</td>
<td>Labour ministry statistics</td>
<td>Survey</td>
<td>Annually</td>
<td>DSBD</td>
</tr>
</tbody>
</table>
A basic idea in RBM is developing a plan for achieving results and monitoring your progress toward their achievement. The documents you produce for CIDA should reflect this planned-to-actual dynamic. The Performance Reporting Framework (PRF) that you include in the PIP will describe the content and schedule for the central information products in your project/program.

The cornerstone of the system is the annual work plan - you will ensure quality in your reporting by preparing good quality plans. The annual work plan sets targets for the period, and describes the activities, schedules and required resources for achieving results. The semi-annual and annual progress reports will examine the extent to which work plans are being realized and results are being achieved.

CIDA project managers will complete annual Program/Project Performance Reports (PPR) on your project/program. They are dependent on your progress reports for much of the information in their PPR. You need to ensure that your reports address CIDA’s information needs as determined by their RBM database. You should discuss these needs with your CIDA project manager during the PIP process.

In terms of information on development results, your progress reports should describe the actual results achieved in the reporting period at each level of the result chain, and the cumulative results achieved at each level from the start of the project/program. Beyond describing performance, the progress reports should indicate the variance between planned and actual results, explain how it came about, and describe how you and your partners will manage the issues arising from this variance. CIDA also requires reliable estimates of the percentage of overall outcomes achieved, outputs achieved, and budget disbursed in your project/program to date.

CIDA’s corporate mandate creates other sets of specialized information needs. Your progress reports should also include information on gender equality results, the reach and beneficiaries of the project/program, the benefits to Canada, the lessons learned, and what CIDA calls Canadian Public Engagement results, which refer to such objectives as increasing knowledge of global issues and their support for international cooperation.

The project context will inform work planning, monitoring and reporting. Annual plans are more realistic when they are based on a sound analysis of the project environment. Progress reports are more meaningful when they assess how contextual factors affected past performance and how risks should be managed in the future. Reporting should provide opportunities for you and your implementing partners to reflect on your accomplishments, analyze challenges, and adjust plans and strategies for achieving your shared objectives.
Key Questions

The Performance Reporting Framework will focus attention on the plans and reports that CIDA requires. You should clarify CIDA’s expectations for information before you go ahead and develop detailed outlines for the various plans and reports. As a starting point, the PIP process should help partners agree on answers to these questions:

- **What documents will you produce to meet your requirements for reporting to CIDA?** What work plans, progress reports and special documents will you produce?
- **What information will these documents contain?** What information does CIDA need for its purposes? What information do partners need for timely decision-making?
- **What is the schedule for producing the documents?** When does CIDA want them? When do partners need them? When should the partners prepare them?
**Project/Program Example**

Here is the performance reporting framework developed by BYBOB partners and presented in their PIP.

## PIP  Project/Program Information  Reporting Framework

<table>
<thead>
<tr>
<th>Report</th>
<th>Content Areas</th>
<th>Responsible</th>
<th>Recipients</th>
<th>Schedule</th>
</tr>
</thead>
<tbody>
<tr>
<td>PIP</td>
<td>Project context, rationale, results, reach, risks, strategies, management structure, roles and responsibilities, implementation schedule, budget, monitoring and reporting frameworks. LFA, PO/AM, WBS, and PMF.</td>
<td>CEA Project Manager</td>
<td>Project Steering Committee (PSC)</td>
<td>Once, six months after signing contract with CIDA</td>
</tr>
<tr>
<td>Annual Work Plans</td>
<td>Project context, analysis of performance and risk, updated LFA, PO/AM and PMF, planned results linked to planned activities, schedules and budget for the year.</td>
<td>CEA Project Manager</td>
<td>PSC, PMT DSBD Organizational Development Unit (ODU)</td>
<td>Annually, in April</td>
</tr>
<tr>
<td>Quarterly Financial Reports</td>
<td>Planned to actual disbursements for reporting period, explanation of variance.</td>
<td>CEA Project Manager</td>
<td>CIDA</td>
<td>Quarterly, 15 days after end of quarter</td>
</tr>
<tr>
<td>Progress Reports</td>
<td>Planned to actual results achieved in reporting period, accumulated results, performance issues, management factors, lessons learned.</td>
<td>CEA Project Manager</td>
<td>CIDA, PMT DSBD ODU</td>
<td>Semi-annually</td>
</tr>
<tr>
<td>Annual Reports</td>
<td>Project context, risk analysis, planned to actual results achieved in year, accumulated results, gender equality results, reach, benefits to Canada, public engagement results, performance issues, management factors, strategic considerations, lessons learned, implications for next year’s work plan. PPR is appended.</td>
<td>CEA Project Manager</td>
<td>CIDA, PSC, PMT DSBD ODU</td>
<td>Annually, in March</td>
</tr>
<tr>
<td>Steering Committee Minutes</td>
<td>Minutes on project progress report, management and development issues raised, decisions taken, issues to be resolved.</td>
<td>CEA as secretary</td>
<td>PSC, PMT</td>
<td>Annually, 15 days after the PSC meeting</td>
</tr>
<tr>
<td>Bilateral Project Closing Report</td>
<td>Project context, planned to actual results achieved in project, gender equality results, reach, benefits to Canada, public engagement results, key success factors, lessons learned, financial report, final PPR.</td>
<td>CEA Project Manager</td>
<td>CIDA, PSC</td>
<td>Once, 90 days after project completion</td>
</tr>
</tbody>
</table>
Unit 21 – Annual Work Planning

Key Concepts

The annual work plan is a detailed plan of activities to achieve a specific set of results in the year. Like any good plan, it should tell all concerned who does what, why, when, how, where, and with what resources.

In the annual work plan, you want performance information on past activities to feed your plans for the future. To do this, you need to ensure that your monitoring, reporting and planning processes are all working together. In CIDA projects, the CEA will typically present the annual work plan at the start of the new fiscal year in April. The annual report on the previous year is often produced shortly before preparing the new work plan. This means that you should gather and analyse performance information for the report and work plan sometime in January or February. A similar monitoring and reporting period takes place midway through the fiscal year in September and October.

This schedule becomes more complex when you recognize that your annual work plan will likely need JPSC approval, and that project/program participants should be involved in the planning process. If the JPSC meets to approve the work plan in March before the start of the fiscal year, and you need to consult with a range of stakeholders to plan activities, you could be gathering performance information and analyzing results as early as November or December. The PIP exercise gives you the chance to come up with a viable annual schedule for monitoring, reporting and work planning.

Your annual work plan will describe your schedule for activities, disbursements and results. It should include an analysis of past performance, and a summary of strategic and operational considerations for the coming year. It should spell out your new objectives and expected results for the period as well as the planned programming and management activities to achieve these results. The work plan will update the overall project/program budget and present a budget for the coming year.

CIDA asks that you present a work plan for the first year in an annex of the PIP. The first-year plan will not include information on past performance, but it will describe a range of special activities that are typical at start-up. The special activities could involve setting up the project office, developing administrative procedures, designing the information system, establishing a baseline, and building RBM capacity in the management team.

CIDA asks that your first-year work plan cover the period from start-up to the end of the current fiscal year so that the regular monitoring, reporting and planning processes and schedules are in full swing by year two.
Key Questions

You will want to use performance information in the development of the annual work plan. This means that your monitoring, reporting and planning processes are aligned. Some questions to consider are:

• What is the due date for sending the annual work plan to CIDA or the JPSC? Who on your team reviews the work plan before it goes to CIDA? When does this happen? Who is involved in planning activities? How long will the planning period last?

• What is the due date for sending the annual report to CIDA? Who reviews the report before it goes to CIDA? When does this happen? How much time is required for writing, reviewing and revising it? When should you start writing the report?

• When do you collect information for the annual report and the work plan? Who gathers and analyzes this information? How much time will this take? When should you start collecting the information to support annual reporting and work planning?

Once you have determined the annual schedule for monitoring, reporting and work planning, these questions will guide you in putting together the annual work plan:

• What trends in the project/program context have bearing on your plans for the coming year? What trends or considerations are emerging in the development context? In the policy context? In the stakeholder context? In the donor context?

• How will successes and shortcomings in last year’s performance influence or shape your plans for the coming year? How will successes and shortcomings in the achievement of outcomes come into play? In achieving outputs? In achieving gender equality results? In the implementation of activities? In managing risk?

• What are your objectives and expected results for the coming year? How are these objectives and expected results aligned with the long-term objectives for the project? How do they take into account last year’s performance? How ambitious or realistic are they, considering how the project/program performed last year?

• What programming activities will you run in the coming year? How they linked to expected outputs in the output-activity matrix? What deliverables will you produce? What is the schedule for these activities? What is the budget? What other inputs are required? Who is responsible for, and who participates in, these activities?

• What management activities will you undertake? When will you hold or attend committee meetings? When will you perform monitoring, reporting and planning activities? When will you carry out communications activities? What training, seminars, conferences, etc., will you attend? What special management activities will you run? When will these special activities take place?

• How will you present this information in the work plan? What summaries will you provide of the overall schedule? Of the budget? Of people’s responsibilities?
Here is the outline for the annual work plan that the BYBOB partners presented in their PIP. In their work plan, they used matrices to present information about programming and management activities (sections 4 and 5 below). The activities were grouped by the LFA output they supported. The matrices described planned activities and indicated the planned schedule, budget and deliverables. They also identified the participants, supplier and responsible partner for each activity.

**PIP Project/Program Example**

Here is the outline for the annual work plan that the BYBOB partners presented in their PIP. In their work plan, they used matrices to present information about programming and management activities (sections 4 and 5 below). The activities were grouped by the LFA output they supported. The matrices described planned activities and indicated the planned schedule, budget and deliverables. They also identified the participants, supplier and responsible partner for each activity.

**PIP Project/Program Information Annual Work Planning**

1. **Introduction**
   - Purpose and Organization of the Annual Work Plan
   - Description of the Preparation and Approval Process

2. **Strategic Considerations**
   - Trends and Issues in the Programming Environment
   - Summary of Stakeholder Priorities
   - Results Achieved in Previous Year (vs. planned)
   - Lessons Learned in Previous Year

3. **Objectives and Planned Results for Coming Year**
   - Overall Objectives
   - Planned Programming Results
   - Planned Gender Equality Results
   - Planned Management Results

4. **Planned Activities**
   - Ongoing Programming Activities
   - New Programming Activities
   - Regular Management Activities
   - Special Management Activities

5. **Schedule**
   - Gantt Chart

6. **Budget**
   - Budget for Coming Year
   - Updated Project Budget
It is easy to recognize the value of communications in the project/program context. It will help inform stakeholders of your work and encourage their support. It will also expand the learning base beyond the project/program, and promote best practices and the coordination of complementary efforts. Open communication with stakeholders also reinforces the notion of transparency and accountability in managing a public investment in your project/program.

A good communications plan begins with partners’ agreement on strategic considerations. You will want to be clear about the expected results of your efforts. You will also want to identify the target audiences and messages. Project stakeholders could be a diverse group without common interests, language or culture. The content and presentation of information will vary with the interests of the audience and the reasons for communicating with them. You will reach some audiences through communication technology such as the Internet, while traditional methods such as newsletters or conferences will be better for others. Given the costs, you will also want to monitor the effort to know if you are achieving results.

The Communications Plan is based on your analysis of the stakeholder environment. In the PIP process, you need to identify the groups who are supportive of your project/program and those who are not. The plan becomes a tool for minimizing the negative impact that certain stakeholders might have on your work. The analysis also identifies opportunities and windows of opportunity for communication, such as champions, events, dates and venues. The idea is getting the message out to stakeholders that you are doing good things.
Key Questions

There are strategic and operational considerations in putting together a Stakeholder Communications Plan. Some questions you and your partners should ask are:

- **What are the goals of your communications plan?** What results do you expect? Are there specific issues that you foresee the communications effort addressing?

- **Who are the target audiences?** Who does the project/program have to keep informed to ensure their support? Who do partners have to keep informed in their own networks? Who can benefit from the lessons of the project/program? Who are your priority targets?

- **What are the messages?** What interests do the target audiences have in your project/program? What information do you need to provide to them? What are the key ideas that they should develop from the information?

- **What are the methods of communicating?** What basic tools could you use (such as newsletters and brochures)? What activities could you use (such as conferences and meetings)? What technology could you use (such as e-mail and web sites)? What other media could you use (such as videos or film)?

- **What are the partners’ responsibilities?** Who will manage communications? Who will prepare the materials? Who will monitor the achievement of your goals?

- **What are the resources required?** What is the budget for communications? What outside expertise is required? What equipment is required?

- **What is the schedule for implementing the plan?** What are the milestones? What is the duration of preparation activities? What regular maintenance is involved?
The BYBOB partners decided that effective communications was a good way of increasing support for the project among local entrepreneurs. It was also a way of sharing best practices to encourage replication, and helping coordinate government and donor support to the sector. With these goals in mind, they organized a plan around the main communication mechanisms. They identified stakeholder communications as a set of management activities in their annual work plans.

**PIP ** Project/Program Information ** Stakeholder Communications Plan**

<table>
<thead>
<tr>
<th>Mechanism</th>
<th>Purposes of Communication</th>
<th>Target Audiences</th>
<th>Messages and Information</th>
<th>Responsibility and Schedule</th>
<th>Resources (Five years)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Web Site</td>
<td>Share best practices to encourage replication</td>
<td>Small Business Development Workers CIDA Donor community All project stakeholders</td>
<td>Message is that intervention model is leading to results and easy to replicate Information on design, results, lessons learned, best practices</td>
<td>CEA Project Administrator External web developer Web site content updated quarterly</td>
<td>Development ($8,000) Content ($35,000) Maintenance ($32,000) Hardware and Web Hosting ($20,000)</td>
</tr>
<tr>
<td>Coordination Meetings of District Councils</td>
<td>Increase support for the project among local entrepreneurs Share best practices to encourage replication</td>
<td>Small Business Development Authorities CBOs and NGOs working with project clients Donors</td>
<td>Message is that common problems and challenges can be overcome Information on design, clients, results, lessons, best practices</td>
<td>Project Field Coordinator Meetings held quarterly in all project districts</td>
<td>Project Field Coordinator ($30,000) Travel Costs ($10,000)</td>
</tr>
<tr>
<td>Project Newsletter</td>
<td>Increase support for the project among local entrepreneurs Share best practices to encourage replication</td>
<td>Representatives of District Councils NGOs working in same districts as project DSBD</td>
<td>Message is that project is achieving results and more clients are welcome Information on activities, clients, benefits, best practices, contact</td>
<td>Project administrator Newsletter produced annually</td>
<td>Project Administrator ($20,000) Translation ($1,500) Printing and Distribution ($1,500)</td>
</tr>
<tr>
<td>Intranet Site</td>
<td>Promote internal dialogue Promote transparency in reporting</td>
<td>Implementing partners CIDA</td>
<td>Message that learning through dialogue is encouraged Information on strategies, issues, solutions, lessons Annual plans, progress reports, PSC minutes</td>
<td>CEA Project Administrator External web developer Intranet Site content updated monthly</td>
<td>Budgeted as part of Web Site</td>
</tr>
</tbody>
</table>
CHAPTER 7: FINALIZING THE PIP

At this point you have finished the substantive work of the PIP. All that remains is pulling the pieces together and presenting them in a complete, informative package. Your final document will need an introduction and appendices. It will need to be reviewed by your partners, and translated into the appropriate languages. It will then be submitted to CIDA for approval.

The Introduction to the PIP

First impressions are important. Some people who read the PIP will be aware of the history and details of the project/program, but for others the PIP may be their introduction. All readers will appreciate a good, clear introduction that helps orient them to the purpose and contents of the document. The introduction to the PIP sets the scene for the reader and provides the context for all of the sections that follow.

Although the introduction appears at the beginning of the PIP, you will likely write it when you are putting the finishing touches on the document. The introduction should include:

• The name of the project/program, its location, partners, time frame, and budget
• The methodology used in preparing the PIP - the sources of data you used, who participated, and the methods you used (e.g. workshops, planning sessions, field missions, interviews, document reviews)
• A glossary of specialized language or terminology used in the PIP that your readers may not know, and a list of acronyms used
• Acknowledgements of any special assistance you received in preparing the PIP from individuals and organizations outside the project/program.

PIP Appendices

In the appendices you will want to provide readers with any necessary information or helpful background information. These might include:

• Memoranda of Understanding (MOU) or agreements among partners
• Studies, diagnoses, surveys or analyses that were conducted for your project/program
• Project/Program Performance Report, which is the 6-page summary of the planned results of your project that CIDA uses to report to the Minister
• Annual Work plan for the first year of the project
Some people prefer to put the complete LFA, Project Output/Activity Matrix, WBS, and Gantt chart schedule in appendices rather than in the main part of the PIP document. This is fine - as long as they are included and clearly identified.

**PIP Production and Presentation**

**Review and Translation of Draft**

Although you have prepared the PIP with your partners, it has probably come together in bits and pieces. Once you have assembled a complete draft in one language, you will need to have it translated into the local language of the project. It is usually best to use a translator who is familiar with the project and who has built trust with your partners. It can take some time to review, revise and coordinate both language versions.

You will want to share the complete draft with everyone involved. It is a good idea to set up a feedback procedure and a deadline for final comments and revisions.

Once your partners have reviewed the PIP, you will need to send it to CIDA for review. CIDA will want to ensure that it contains all of the pieces and meets specific requirements. They will review the budget and any changes to the LFA. They may ask for clarification on some points.

**Presentation and Final Approval**

The PIP is an official document and part of the project/program compliance documentation. As such, it will require official acceptance in writing by you and your partners, and by CIDA and their partners. This may be handled in different ways by different projects or programs.

In some projects, the partners approve the PIP at a Joint Project Steering Committee (JPSC) meeting, and the formal approval is recorded in the minutes.

The final PIP is usually submitted to CIDA in three hard copies. They may also require the document in electronic form in a WordPro file.

**Dissemination of the PIP**

Aside from the copies that go to CIDA, you will want to send a copy of the final PIP to each of your partners. In addition, there may be other stakeholders who should have a copy. Ask your partners to prepare a list of groups to send it to. You may decide that there is information in the PIP that should be disseminated to other stakeholders in another format, through the web or a newsletter.
CHAPTER 8: A CASE STUDY

Preparing a PIP for a Community Economic Development Project

This case study provides an example of one organization’s experience with preparing a PIP for the Micro-Enterprise Promotion Project, Phase 2 (MEPP2), in Vietnam, a community economic development project funded by CIDA. The Executing Agency for MEPP2 is the Centre Canadien d’Études et de Coopération Internationale (CECI), a not-for-profit agency based in Montreal. The case study describes the process used by CECI to create a PIP with the project’s implementing partners in Vietnam.

Context

In Vietnam there have been significant changes recently in its social and economic environment following a decade of liberalization. After the government’s economic reform program in the late 80s (known as “Doi Moi”) farmers can now make their own decisions regarding agricultural production and marketing. This has been supported by granting de facto land ownership first in the form of 50-year land leases and, more recently, 100-year leases which can be inherited. Civil society is only in a very emergent state, and the “quasi” NGOs which dot the landscape remain limited to research-oriented organizations based in large urban areas (primarily Hanoi and Ho Chi Minh). Thus the two primary rural development actors are farmers and government agencies. Both groups are learning how to operate in this new situation coming out of a history of highly centralized, government-led production planning and state-controlled cooperatives, and both groups have their own specific challenges in dealing with the new free-market environment. Most farmers have small landholdings and virtually no experience in agricultural marketing or demand-based agricultural planning. At the same time, government agencies are struggling to come up with new ways to support farmers without falling back on the old planned economy approach.

The Project

MEPP2 began in early 1999 and operates in two provinces: Thai Nguyen province in north Vietnam and Tra Vinh province in south Vietnam. MEPP2 aims to reduce poverty by promoting rural micro-enterprises and building the capacity of rural development institutions and economic-based community based organizations and cooperative enterprises. Promotion of co-operative enterprises provides an opportunity to strengthen marginal farmers’ position in the new market environment and provide them with real economic gains, while giving rural development agencies a practical focus for instituting a demand-responsive approach in the services they provide farmers.
MEPP2 is implemented in collaboration with Vietnamese provincial government institutions. The MEPP2 implementing partners in both the north and south include: the Provincial Department of Agriculture and Development; Agriculture Extension Centre; and the Plant Protection Sub-Department. In the south a technical partner for the project is the Mekong Delta Farming Research Development Institute of Can Tho University. Members of each organization who are directly involved in MEPP2 participated in workshops to prepare the PIP for MEPP2. These are the same partners with whom CECI collaborated in the first phase of MEPP, begun in 1996 and completed in January 1999.

The PIP Process

The first activity in MEPP2 was the creation of a PIP, based on CIDA’s Roadmap and incorporating RBM principles throughout. In order to create a PIP that would be “owned” by all of the project’s major stakeholders, a PIP design mission was fielded and the basic elements that make up the heart of the PIP were developed in collaboration with the project’s implementing partners. The PIP formation process included the following steps:

1. **PIP Planning**: A team of specialists was formed and given detailed terms of reference to prepare the PIP in the field. The team consisted of CECI’s Rural Development Specialist, a Results-Based Management Specialist and the MEPP2 Deputy Team Leader. The team operated under the authority of the MEPP2 Team Leader in Vietnam and the CECI Project Manager in Montreal. The team was joined by MEPP2 local staff from both project provinces who participated in all planning activities and workshops and assisted with translation.

2. **Organization of field activities**: The team spent a day of internal planning to prepare a series of one-day workshops to create the various elements of the PIP with the implementing partners. The workshops included the following: Introduction to RBM and Validation of the Project LFA; Preparation of a Project Output and Activity Matrix and WBS; Preparation of a Monitoring and Reporting System and PMF; Preparation of the Year 1 Annual Work Plan; and Preparation of Memoranda of Understanding and a Project Organization and Management Structure. Formats for each element of the PIP were prepared and translated into Vietnamese to facilitate participation.

3. **Introduction to RBM Workshop**: RBM is an entirely new concept to government agencies in Vietnam. To give the Vietnamese participants in the PIP design process some familiarity with the RBM approach and concepts, an overview and introduction to RBM was given in a half-day workshop. The purpose of this brief introduction was to help the different agency representatives participate more fully and actively in the PIP design workshops. Because the entire PIP process is designed with RBM very

---

1 A comprehensive follow-up workshop on RBM using the tools and elements prepared during the PIP design was given to project participants later, at the beginning of the project implementation phase.
much in mind, “diving in” to the various PIP elements in a hands-on way meant implementing partners were able to more readily grasp the implications of RBM in a learning-by-doing approach.

4. Validation of Project LFA: An LFA for the second phase of MEPP was prepared during a final participants’ review of MEPP’s first phase (participants included CECI project staff and implementing partners, provincial project co-ordination committees and CIDA in-country representatives). This LFA formed the basis of CIDA’s Project Approval Document LFA for MEPP2. As a first critical step to getting into PIP design, the PAD LFA was revisited with the implementing partners. It had been three months since preparing the first version of the LFA during the review exercise, and certain parts of it (e.g. indicators) needed further elaboration.

An LFA translated into Vietnamese was presented and reviewed with the partners, omitting indicators for the output level results. After the different result levels and indicators for impact and outcomes were validated, the Vietnamese partners formed a group and prepared indicators for the output level results. Prior to the workshop the CECI team prepared their own indicators for outputs in addition to the ones in the PAD LFA. Each group presented their own set of indicators, and a final set of output level indicators were agreed upon and included in the updated LFA.

5. Preparation of Project Output and Activity Matrix and WBS: Based on the LFA and revised set of indicators, a Project Output and Activity Matrix format was prepared which included the three outputs from the LFA as well as a fourth output for Project Management and Co-ordination. Prior to the workshop, the CECI team prepared its own version of an output and activity matrix by first using a results and indicator matrix that detailed for each output: inputs and activities, expected results, indicators and potential problems. A blank format of this results and indicator matrix with only the output sections filled in was presented to the workshop participants who filled in the remaining sections. Their results were presented and reviewed output by output with contributions from the CECI team drawn from their previous preparation of the matrix. The advantage of beginning with this preliminary matrix versus the output and activity matrix was that it reinforced for participants the relationship between outputs, activities and the indicators used to measure progress, as well as anticipating potential problems and difficulties (being more operational than the LFA’s assumptions and risks). After agreement on the results and indicator matrix, a Project Output and Activity Matrix was displayed on white board and filled in directly during the workshop.

Once the Project Output and Activity Matrix was completed, the Work Breakdown Structure was easy to put together. The two formats follow the same relationships, with a shift in presentation from horizontal to vertical and the addition of the outcome layer. The WBS was sketched out on white board and discussed. Because of
the work that went into finalizing the LFA and Output and Activity Matrix the WBS was clearly understood by the participants.

6. **Preparation of Monitoring and Reporting System and PMF**: The CECI team prepared the basic elements of a result-based monitoring and reporting system which would give different project stakeholders the means to assess their own performance. The system consists of different monitoring and reporting formats at the three main levels of the project—farmer and CBO level, implementing partners level and Project Management Unit and project level—which enables performance indicators to be compiled and “rolled-up” to the project level to provide an ongoing, global picture of project progress in achieving results. An outline of the monitoring mechanisms and formats, their frequency and the responsibility for each was presented to the participants for discussion. A final version of the system was agreed on which included recommendations from the partners. The finalized version of the system was included as an annex in the PIP.²

At the end of the workshop a graphic version of the monitoring and reporting system, the Performance Measurement Framework, was constructed with participants which included the agreed upon modifications.

7. **Preparation of Year 1 Annual Work Plan (AWP)**: In a one day workshop the Annual Work Plan for Year One was prepared with the implementing partners. Activities developed for the Project Output and Activity Matrix were lined up under each output against a 12-month calendar and dates were set for each. The lead partner agency agreed on a deadline for submitting a detailed budget for the AWP to be submitted to CECI for approval and attached to the final version of the AWP.

8. **Preparation of Memoranda of Understanding (MOUs) and Project Organization and Management Structure**: The final field activity for the PIP was preparation MOUs with the implementing partners and an organigram of the project’s organization and management structure. A draft version of the MOU was submitted to the lead partner agency in Vietnamese and major points reviewed in the workshop. The MOU outlines a description of the project, responsibilities and expected results for the partner agency and CECI, progress and financial reporting schedule, consolidated budget for the life of the project (4 years) and an organization and management structure. Following the workshop a final meeting date was set between the lead partner agency and CECI to give the partner time to review in detail the terms and conditions of the MOU with other local authorities and suggest any modifications.

A draft organigram depicting the project’s organization and management structure

---

² The finalized Monitoring and Reporting System was presented in detail to partners at the RBM workshop in the implementation phase.
was presented to the partners, discussed and finalized with partners’ suggestions and included in the final version of the PIP and MOUs.

**Post-Field Activities**

The outcome of the PIP design mission led to the following results:

- the major PIP elements prepared with the project implementing partners;
- an Annual Work Plan for Year 1;
- MOUs and project budgets;
- a draft Monitoring and Reporting System;
- partners developed a basic knowledge of RBM principles and operational aspects;
- a draft of the other narrative elements of the PIP prepared by the CECI team.

The time spent to produce these results was a total of four weeks in the field: two weeks in Thai Nguyen province and two weeks in Tra Vinh province.

To finalize the PIP several additional steps were completed at CECI’s Montreal office:

- **Description of the Project Implementation Strategy**: Important but often unstated parts of project planning are the methodological principals and assumptions that underlie and drive project implementation. These are not requirements of the PIP nor mentioned in the CIDA Roadmap, however making them explicit assists the executing agency, the CIDA project officer and the implementing partners to be aware of the how and why of the project’s implementation, fleshing out the logic between the different results and levels and (during evaluation) helping to understand why certain results were not achieved.

  The Project Implementation Strategy was attached as an annex to the PIP and details for each output: 1) Methodological Principals (methodological assumptions which reflect “industry standards,” best practices and/or lessons learned from the EA’s institutional memory of implementing similar projects); 2) an Implementation Strategy (how the project proposes to get from output results to outcome results, and remains more or less constant for the life of the project); and 3) an Operational Strategy (a brief description of the strategy to achieve output results; in other words how inputs lead to outputs, for approximately the first two years of the project).

- **Preparation of the final PIP document and submission to CIDA for approval**: The PIP elements prepared in the northern and southern provinces of the project were consolidated to form global project-level versions of each, with the specific versions attached as annexes. Following agreement on partner budgets, a global budget for the project was prepared and the other narrative portions of the PIP finalized. The entire process from fielding of design mission to submission of PIP to CIDA lasted two months.
• **Distribution to Implementing Partners**: To ensure ownership of the PIP and the process that went into producing it, copies were distributed to the implementing partners after approval by CIDA. All documents were translated into Vietnamese so that the partners could adequately understand them. In practice the PIP has become a well-worn standard reference document for both the EA and implementing partners. However it is continually emphasized that the PIP is both flexible and iterative, and acts as a guide to project implementation rather than a blue-print.

**Findings and Important Notes on the PIP Preparation Process**

• **Preparation**: It goes without saying that all materials must be well prepared in advance, in addition to clear and detailed terms of reference for each member of the PIP preparation team. However, preparation extends to ensuring that the PIP team has come to a preliminary, internal agreement on the outcome and specific results of each exercise prior to conducting it with other participants, but remains open to partners' contributions as well as disagreements. This helps achieve the expected results in the planned time-frame without getting bogged down in process.

• **Flexibility and openness**: While there is a distinct need to guide the process, this does not mean blue-printing the results, or using participation as a way to legitimize a plan which has already been finalized. At the same time it must be acknowledged that at this early stage in the project, expertise in preparing the PIP (even a knowledge of what it is) lies with the EA, and the value of a participatory approach should be balanced with the need to direct and intervene when necessary. A clear explanation of the process beforehand with accompanying hand-outs helps to make the process more open to partners' contributions. Flexibility and openness should also include acknowledging cultural differences and incorporating these considerations into the process. When all participants are not fluent in French or English, all materials should be translated into the local language as well as making sure a translator is present during the exercise. Also, given the culture of respect afforded to superiors in many cultures and the typical bureaucratic hierarchy of government institutions, special and creative efforts need to be made to increase the participation of everyone attending.

• **Hands-on and Practical**: Concepts such as RBM and the jargon of different planning tools are not easy to grasp even for the EA. Therefore explanation of the concepts should be minimized and emphasis placed on using practical, hands-on tools which enhance, rather than inhibit, interest and participation. This includes audio-visuals and group work as much as possible. Case studies dealing with similar yet distinct situation can be very useful to "walk" participants in a practical manner through the various steps of the process.
REFERENCES


Asia Branch Results and Indicators, CIDA, Strategic Planning and Policy Division, Asia Branch, 1999.

CIDA’s Budget Guidelines, CIDA.

CIDA’s Corporate RBM Policy Statement, 1996.


CIDA’s Geographic Programs Road Map, CIDA, February 1999.

CIDA’s Policy for Environmental Sustainability, CIDA, 1992.


CIDA’s Procurement Handbook, CIDA.


Environmental Assessment at the Canadian International Development Agency, CIDA, July 1996.

Environmental Management Plan and the Bilateral Project Cycle, CIDA.

Guide To Gender Sensitive Indicators, CIDA, Women in Development and Gender Equity, Policy Branch, August 1995.


Managing for Results, Treasury Board of Canada Secretariat, 2000.


The Logical Framework: Making it Results-Oriented, CIDA, November 1997.
