Chapter II: The project planning process
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Introduction

In the previous chapter, we described the pre-project analysis process as an essential pre-requisite to the planning process. If you are about to embark on a planning process, it is recommended that you read this chapter in conjunction with Chapter 1.

This chapter:

• Explains what planning is, what the benefits of thorough planning are, and who should ideally participate in the planning exercise.
• Gives you an overview on how to build on the information you gathered in the analysis phase and how to develop it into a project.
• Guides you on how to identify and specify what you want to achieve with your project’s objectives, and how to determine the scope of your project.
• Takes you through the process of identifying and planning the activities in order to achieve the project objectives.
• Explains how to establish measurements and indicators that will aid you to manage your project effectively and to evaluate your achievements and long term impacts.

The diagram below outlines how the project planning stage fits into the Project Cycle Management process and illustrates the essential steps and tools to be used during the planning process.
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2.1 Planning in the project cycle

2.1.1 What is project planning?

Planning is a team exercise that helps to identify the strategies for your project to achieve an agreed upon objective. In the planning process, activities and resources are identified and organised to realise the project objectives in an effective and efficient manner.

Planning places a high emphasis on:

- Realising clearly identified project objectives (later referred to as specific objective and project results)
- The need to identify interventions based on thorough analysis rather than depending on intuition
- A collective effort
- The need for consensus, involving partners and stakeholders in the choices made
- The development of effective and efficient strategies aiming at working towards institutional/organisational, economical/financial and ecological sustainability

2.1.2 Why is it necessary to develop a project plan?

There are many reasons that developing a sound project plan is important. These are the most essential:

- To improve the project quality, effectiveness, efficiency.
- To clarify expectations about what the project should be doing.
- To facilitate monitoring and evaluation of the project process, results and impacts in accordance with agreed upon indicators.
- To facilitate clear communication and transparency between the partner organisation, collaborating partners, target groups, CBM and other donors.
- To ensure continuity of the project when key project staff decide to move on.
- To ensure exchange and agreement between the various project stakeholders and take their different points of view into account during the planning exercise.
2.1.3 Who does the planning?

Planning can be a joint exercise, involving representatives of those who are affected by the implementation of the project (potential target groups), those involved in the project implementation (relevant staff members), those you will need to collaborate with to ensure the successful implementation of the project (external stakeholders, such as networking partners or governmental departments) and project management. When partner organisations are applying for CBM funding, we recommend that you also involve representatives from the respective Regional Office as well as CBM advisors.

Failing to involve important stakeholders, and neglecting their views and interests at the planning stage could result in a lack of support during the implementation phase. Applying a participatory approach in analysis, planning and implementation can be an essential component to encourage the assumption of responsibility, transparency and motivation in the project team and is an important investment in the mid and long term success of your project.

Who should be involved in the planning?

Following a participatory approach in planning, the project management should involve representatives of all those who are affected by the project. This might include:

- Representatives from the target groups
- Staff members
- Representatives from important collaborating/networking partners
- (NGOs, national institutes, etc.)
- Representatives from state institutions
- Experts in the relevant mandate areas

Where a less participatory approach is adopted, the project planning team might include:

- Staff members
- Representatives from collaborating partners or state institutions
- Experts in the relevant mandate areas
2.1.4 How do you achieve participation in planning?

Participation is fostered and achieved in an environment of equal interaction based on listening and mutual acceptance of views.

Three requirements are necessary to achieve this:

1) **Focusing on the target groups of the project:**
   The project target groups are most directly affected by the intervention. Without the direct target groups, project activities are meaningless. It is therefore recommended that every possible measure is taken to ensure that you involve and consult them accordingly during your project planning process.

   Participation of the project target groups can help ensure that you identify the real priorities and that your project design is relevant and realistic to the different target groups’ needs.

2) **Ensuring conditions of effective communication:**
   Ensure that relevant stakeholders are able to take an active part in the exchange and planning. This can be achieved by creating a productive and participatory working atmosphere, ensuring equality among all participants. Every stakeholder should have an equal right to speak with the freedom to express their viewpoints, be heard with what they have to say, and have the right to make mistakes without being sanctioned.

3) **Taking differences into account:**
   Participation of individuals can vary depending on how they are affected by the problem, their age group, their capacity, and status. Some may be the main people concerned, others may be less involved. It is recommended that you try to ensure that as many stakeholders as possible are involved while being aware that the level of involvement and manner of participation of each may differ. There are two modes of participation in planning:

   - **Consultation:** stakeholders give their opinion and take part in the reflection but have no decision making power.
   - **Participation in decision making:** stakeholders are involved in making choices during the planning exercise.

   At the beginning of the planning process you should decide on the most appropriate method to involve the different stakeholder groups in the planning and implemen-
Some points to consider before you start your planning process

Be aware that there are many factors that will influence the success of your project. These should have been highlighted in your pre-project analysis.

While you go through the planning process, keep the following points in mind:

- Project planning should always be seen in the broader context of existing national strategies and policies. Relate the project strategies to the relevant national strategies and policies to ensure that the project is embedded in the national context to increase its sustainability.
- If you apply for funding from CBM, CBM requires an alignment of the project plans of the partner organisation with CBM regional and country plans as well as CBM’s development and mandate specific policies. These can be accessed at the respective Regional Office or Country Coordination Office. CBM Regional Offices can assist partner organisations in the alignment with CBM guidelines.
- Think about the assets and resources of your organisation and build the project plan on these to ensure that the project plan builds on and incorporates already existing strengths, at the same time being realistic towards addressing the identified needs and problems.
- Always consider the lessons learned from previous projects or similar projects of other organisations. Avoid mistakes previously made.
- Project strategies need to be relevant to the target groups, effective, efficient and sustainable.
- Consider what other organisations are already doing and align the project plan where possible. Avoid building parallel service structures (duplication), and instead collaborate and network where possible.
- Consider cross cutting issues (Chapter 2, p.116) in the development of the project plan.
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2.1.5 Presenting your project plan in a logical framework matrix

We recommend that you summarise and present your project plan in the form of a logical framework matrix, accompanying the 3-5 year narrative proposal, which you will find in Chapter 5 (p. 223). The logical framework matrix is a simple, but powerful tool that can be used to share information about the overall objective, specific objective and results of the project and their related activities. It also highlights performance indicators and respective sources of verification and assumptions. This is a widely used tool which many donor and development agencies require.

Some of the benefits of using a logical framework matrix can be summarised as:

- It is a good way for the planning team to organise their thinking, check the internal logic of the project plan by ensuring that objectives and results and activities are linked, identify potential gaps and verify whether the project is well designed.
- It draws together key components of the planned project into a clear set of statements which help you to communicate concisely and unambiguously with key stakeholders.
- It can help you to achieve consensus about your project with other stakeholders and encourage them to consider what their expectations are and how these are likely to be achieved.
- It ensures that key indicators are identified from the start of the project so that monitoring and evaluation are easier.
- It can be used as a marketing tool and can form the basis of funding decisions for your project.
- It serves as the basis for setting up a monitoring and evaluation framework where planned and actual results can be compared.

Caution

When using the logical framework as the main communication tool for your project, you should consider the following potential pitfalls that can arise. Summarising complex ideas and relationships into simple phrases can sometimes render them meaningless. The logic is sometimes considered very western and the rigid “cause-effect” concept may be alien to many cultures. Training and coaching is recommended to help you use the logical framework.
The adoption of the logical framework should not become a formal, bureaucratic exercise based on a blueprint approach. Rather, it should be used as the fruit of an analysis made at a particular moment in the planning cycle, reflecting the knowledge and concerns of all participants at that time. Consequently it is a tool that you need to update and revise continuously during project implementation. A good logical framework can only be drawn up after sufficient information has been gathered, an analysis of the situation has been made (reference Chapter 1) and the specific objective, outputs and activities have been thoroughly planned and checked against their feasibility.

We suggest that you use the following format for presenting your logical framework. Throughout this chapter, we will guide you through the process of filling the matrix with the information gathered during the project planning phase.
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2.1 Planning in the project cycle

Figure 6. The logical framework matrix

<table>
<thead>
<tr>
<th>Overall Objective</th>
<th>Project Description/Narrative</th>
<th>Indicators</th>
<th>Source of Verification</th>
<th>Assumptions &amp; Risks</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>What are the wider objectives which the project will help to achieve? Long term project impact?</td>
<td>What are the quantitative measures or qualitative judgements, that help you to judge whether these broad objectives have been achieved?</td>
<td>What sources of information exist to measure the achievement of the overall objective?</td>
<td>What external factors are necessary to sustain the objectives?</td>
</tr>
<tr>
<td>Specific Objective</td>
<td>What are the intended, immediate effects of the project, what are the benefits, to whom? What improvements, changes will the project bring about?</td>
<td>What are the quantitative measures or qualitative judgements, by which the achievement of the specific objective can be judged?</td>
<td>What sources of information exist or can be provided to allow the achievement of the specific objective to be measured?</td>
<td>What external factors are necessary if the specific objective is to contribute to the achievement of the overall objective? What are potential risks?</td>
</tr>
<tr>
<td>Results</td>
<td>What results / deliverables are to be produced in order to achieve the specific objective?</td>
<td>What kind and quality of results and by when will they be produced?</td>
<td>What sources of information verify the achievement of results?</td>
<td>What are the positive external factors that are necessary for achieving the results of the project? What are the factors not in control of the partner organisation which could restrict the results achieving the specific objective?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Activities related to results</th>
<th>Resources/Inputs</th>
<th>Costs</th>
<th>Assumptions &amp; Risks</th>
</tr>
</thead>
<tbody>
<tr>
<td>Activities related to results</td>
<td>What key activities must be carried out to accomplish the expected results?</td>
<td>What are the resources and inputs required to implement these activities e.g. personnel, equipment, training, supplies, etc.?</td>
<td>What are the costs? What sources of information verify the achievement of the activities?</td>
</tr>
</tbody>
</table>

1) Adapted from DFID: Tools for Development

Crafting a logical framework involves:
- identifying the overall objective, specific objective and results – defining the scope of your project;
- identifying the risks and assumptions and developing a mitigation strategy;
- identifying the project activities and developing an activity break-down structure;
- planning and resourcing your project’s activities;
- identifying indicators.

We will describe all of these processes in this chapter.
2.2 Identifying the overall objectives, specific objective and results

2.2.1 Why do you need to define the scope of the project?

To gain a common understanding among all stakeholders on the nature and scope of the project you need to, first of all, clarify expectations. This is important because it helps to align visions and clarify the perspectives of stakeholders, thereby creating commitment and ownership. It can also help to avoid misunderstandings between stakeholders, and ensures that expectations about what the project can, and can’t achieve are realistic.

The scope describes the boundaries of what your project aims to achieve – what is feasible and what is not feasible. In order to define the scope of the project, you firstly need to develop the overall objective, specific objective and results of your project.

Note
Defining the scope of your project should be done in a participatory manner, involving representatives from potential target groups, management, and relevant project staff responsible for the implementation of the project.

2.2.2 How do you define the overall objective, specific objective and results of your project?

In order to define the overall objective, specific objective and results of your project, you should refer back to the problem tree that was explained and developed in Chapter 1 (p. 49). This helped you to identify the causal relationships between identified problems and their effect.

Note
Problem trees are usually hand drawn and are much more complex than the example on the next page.
2.2 Identifying the overall objectives, specific objectives and results

Figure 7. Example of a Problem Tree from chapter 1

- Exclusion from community life
  - Full potentials of persons with visual impairment insufficiently developed
  - High dependency of persons with visual impairment on their care takers
  - High unemployment rate of persons with visual impairment

- Clinical and educational services for persons with LV are scarce, not accessible, fragmented
  - Schools are not sufficiently prepared to provide education for children with low vision

- Clinical services for persons with low vision are not developed
  - Staff is insufficiently trained
  - Specialised equipment is unavailable
  - National strategy for the prevention of blindness not developed

- Curricula at schools for blind children is not adapted for needs for children with LV
  - No awareness about the need to provide special education/training for children with LV
  - Exclusion of children with LV from mainstream schools

- Training programmes at universities insufficiently developed
  - Additional support for children with LV often not available
You then need to transform the problem tree into a hierarchy of objectives where each problem identified in the problem hierarchy is reformulated into an objective. An example of reformulating the problems into objectives is outlined in figure 3 on the next page. Ensure that the positive statements are realistic and achievable. As these becomes the potential strategies of your project.

**Figure 8. Transforming problems into objectives**

Step by step the problem tree is transformed into a hierarchy of objectives which are expressed as positive statements.

This is now an objectives tree, as outlined in figure 4 on the next page. These objectives represent different levels of the logframe hierarchy. While you are reformulating problems into positive statements continue to check that the sum of the objectives address the overall objective adequately. If the planning team identifies gaps, it might be necessary to formulate additional objectives and add them to the objectives tree.

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2) We suggest that you use metaplan cards during this exercise and work in a participatory style including the most important project stakeholders. The positive situations that should be desirable, realistic and achievable are simply written on the back of the same card that carries the problem statement on the other side.
Figure 9. An objectives Tree

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2.2 Identifying the overall objectives, specific objectives and results
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In the hierarchy of objectives shown in figure 4 above there is a gap in the means/ends relationship that needs to be addressed. In the objectives tree, it is stated that 1) “the establishment of clinical low vision services” and 2) “the provision of education to low vision students at the district’s schools for blind children and mainstream schools” will lead to the achievement of “affordable, accessible, high quality and comprehensive clinical and educational low vision services in the catchment area Y.” If you check the means/end relationship you may find that these steps of actions will not necessarily lead to the next level.

The question you need to ask yourself is: 1) Does the provision of educational and clinical services alone ensure a comprehensive approach towards service provision for persons, especially students with low vision problems? 2) Is the accessibility of the established services ensured? Probably not. This means there is a gap in this hierarchy of objectives. You now need to formulate those steps that are necessary to achieve a comprehensive approach towards service delivery as well as their accessibility: The establishment of networks and referral paths of the supported services with other related institutions or services concerned with low vision as well as linking up with vocational training programmes will ensure that persons/students with low vision will receive adequate clinical treatment, education and have a good chance to be integrated into society after having accomplished education.

3The comprehensive approach to service delivery aims at active establishment of service delivery networks in order to provide all necessary elements of care and rehabilitation according to the identified multiple needs of an individual, up to the maximum skill and opportunities in the given circumstances.
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2.2 Identifying the overall objectives, specific objective and results

Figure 10. Objective tree with activities

- Persons with visual impairment participate in community life
- Full potentials of persons with LV developed
- Greater independence of persons with visual impairments from care takers
- Increased integration of Persons with disabilities in work force
- Comprehensive, accessible and affordable clinical and educational services for persons with LV developed
- Schools provide appropriate education for children with low vision
- Clinical services for persons with low vision developed
- Teachers trained to provide appropriate education for children with LV
- Curriculum at schools for blind children adapted to the needs of children with LV
- Awareness raised about the need to provide appropriate education/training for children with LV
- Inclusive education at mainstream schools provided
- Referral to other related services like vocational training not sufficiently developed
- LV training for clinical staff provided
- Eye units equipped
- National strategy for the prevention of blindness developed
- Training programmes at universities developed
- Additional support in class rooms for children with LV provided
- Schools provide appropriate education for children with low vision
- Teachers trained to provide appropriate education for children with LV
- Curriculum at schools for blind children adapted to the needs of children with LV
- Awareness raised about the need to provide appropriate education/training for children with LV
- Inclusive education at mainstream schools provided
- Referral to other related services like vocational training not sufficiently developed
- LV training for clinical staff provided
- Eye units equipped
- National strategy for the prevention of blindness developed
- Training programmes at universities developed
- Additional support in class rooms for children with LV provided
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From the objectives tree, we can now begin to formulate the overall objective, specific objective and results of the project. The overall objective can be found at the top level of the objective tree (Figure 5). These point you towards the intended impact you would like your project to have.

When defining the specific objective, you need to ask why the project is important to the primary target group and what the direct benefits of the project will be.

When formulating the results you should ask yourself whether the achievements of all the combined outputs will lead to the achievement of the purpose.

At this point you should also revisit the impact of your project and ask yourself:

- What long term consequences do the project activities imply?
- Are there possible unintended negative effects?
- If yes, how can we mitigate them?

---

**Impact, overall objective, specific objective, results**

The **impact** can be described as the long term effects (intended or unintended) of a project on its wider environment.

**Overall objective** explains how the project contributes towards the achievement of overarching goals, such as policy, sectoral/ regional/ organisational or departmental strategies. The overall objective defines the direction to which the single project contributes.

The **specific objective** is the specific objective of the project. It describes the tangible benefits of the project and addresses the core problem.

The **results** are achieved as a result of your project activities. The combined outputs will lead to the achievement of the purpose.
2.2.3 How do you identify what your project can and can’t do?

Once the hierarchy of objectives has been drafted, the planning team needs to decide on the scope of the project and ensure that it lies within the strategies and policy objectives of your organisation.

In order to decide on the scope of the project, the planning team needs to decide:

- whether all identified problems or opportunities should be addressed;
- which combination of interventions will bring about the required results in the most efficient way;
- what the most cost effective options are that can be sustained in the long term;
- what the assets and past experiences are that you can build the project on.

It is also vital to take existing national policies into account during this process to ensure the sustainability of the project.

Criteria that might be used for deciding on the scope of your project:

- relevance for the partner organisation;
- relevance to CBM mandate;
- availability of funds (size of budget available) and financial sustainability of the intervention;
- availability of expertise;
- existing assets of the implementing organisation;
- likelihood of achieving the objectives;
- lessons learned from previous projects or similar projects of other organisations;
- comparative advantage to other stakeholders;
- possibility to network and link up with existing interventions;
- economic return and cost effectiveness.

If you apply for funding from CBM, always bear in mind that CBM has a particular mandate and that all projects funded by CBM should relate to this, as well as its developmental and technical policies. In CBM, the Policy Department is responsible for the policy development in all mandates, towards which the overall objective of each CBM funded project must contribute. A CBM funded project would therefore need to
be aligned with CBM’s policy framework. The relevant policy papers can be obtained at the respective Regional Offices. The Regional Offices can assist you in aligning your project plans with CBM’s policy.

Let’s look at the hierarchy of objectives that we have already worked with. Figure 6 on page 16 is an elaborated version, where you can see what the decision regarding the scope of the project may look like.
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2.2 Identifying the overall objectives, specific objective and results
In this case we have decided not to address one possible objectives, the development of a National Plan for the Prevention of Blindness. A National Plan for the Prevention of Blindness could fuel the improvement of clinical eye services, including the improvement of clinical low vision services. However this would require more time and the collaboration with many more stakeholders. The development of a National Plan for the Prevention of Blindness could be lobbied for and supported by the implementing organisation, however the development, approval and implementation itself is out of the scope of the proposed project.

By deciding not to include one of the possible objectives, you have now decided on the scope of your project.

2.2.4 How do you transfer this information into the logical framework matrix?

At this point you can start filling in the logical framework matrix. The different levels that we identified in the hierarchy of objectives, and which are described by the overall objective, specific objective and results, also give a basic structure to the logical framework.
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2.3 Identifying the influencing factors and developing a risk mitigation strategy

All projects are based on certain assumptions or expectations. It is not possible to control the context and circumstances or environment in which the project takes place. It

In the following chapter we will only relate to selected number of results and activities of the logical framework to explain the planning logic.

![Figure 12. The Logframe with the project description](image-url)
Assumptions and risks

**Assumptions** are external factors, which can affect the progress or success of the project, but over which the project manager has no direct control. Assumptions are crucial for the undertaking of planned activities and the achievement of desired results.

**Risks** are threatening external or internal factors and events over which the project manager has not necessarily direct control and that could affect the progress and success of a project in a negative way.

Assumptions are formulated as a positive, as it is assumed that a certain thing will happen, while risks are formulated in a negative as they endanger the progress and success of your projects.

It is impossible to control all influencing factors to your project. Some of them could jeopardise the success of your project, so it is important that you are aware of these risks, and that you have considered a risk mitigation strategy.

You need to think of ways that you can monitor the risks to your project, and maybe even establish some kind of an early warning system. Once you have identified factors that might put the success of your project at risk and identified strategies for addressing them, you can prevent your project from failing.

For some of the more serious risks you may even need to think of an alternative plan. This could, for example, be the case where a project takes place in a politically unstable environment with security problems. In such a case you might need to consider developing measures such as an evacuation plan or an alternative project site to which the project can move in case the security situation deteriorates.

### 2.3.1 How do you know which assumptions and risks you should consider in the project plan? And how do you manage these?

To help you identify the assumptions that are relevant to your project’s success you need to ask the following questions:
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- Which external and internal factors might have an impact on the implementation of the project and the long term sustainability of benefits?
- Are these outside of the project manager’s control?

Assumptions are usually identified during the analysis phase, for example during the stakeholder or situation analysis. (Chapter 1, p. 28) If we take a look at the example of the establishment of affordable, accessible and comprehensive clinical and educational low vision services in the catchment area it might help to illustrate what is meant here with the consideration of influencing factors.

Figure 13. How do assumptions fit into the hierarchy of objectives?

The partner organisation cannot influence the interest, willingness and capability of other related institutions and organisations to establish active service networks and referral paths. Comprehensive service networks depend on the interest of all concerned parties to take a comprehensive approach towards disability. Likewise, if transport costs are not affordable for the target groups, service networks between institutions not located in the same city will not work.

When we described the situation analysis phase in Chapter 1, we came across some assumptions. We now need to look at analysing the importance and possible influence of the assumptions on the project. This is called testing of assumptions. For this you can use the flow chart in figure 9. If an assumption is very unlikely to hold true but may have a detrimental effect on the project’s success, the assumption should be classified as a risk.
The testing of assumptions can therefore be compared to a risk analysis. At this point a risk mitigation strategy can be developed by anticipating how you might be able to react in case of an assumption not holding true. This helps to minimise the impact of these potential risks by formulating a “plan B”.

**Figure 14. Testing of assumptions**

The assumptions can be tested against the following criteria in order to establish the feasibility of the project.

- If an assumption is not important or will almost certainly be realised it should not be included in your project plan (logical framework matrix).
- If you identify an important assumption that is likely to hold true and that will influence the success of your project, you need to include it in your project plan (logical framework matrix).
- If you identify an important assumption, which is unlikely to happen, but if it does will result in fatal conditions, you may have to decide that the project is not feasible to be implemented. An assumption of latter type is a “killer” assumption for the successful implementation of your project.

You should now be able to complete the assumptions column in the logframe.
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<table>
<thead>
<tr>
<th>Overall Objective</th>
<th>Specific Objective</th>
<th>Results</th>
</tr>
</thead>
<tbody>
<tr>
<td>Avoidable blindness significantly decreased and the quality of life of people with visual impairment improved in country X</td>
<td>Improve quality of life of persons with LV through provision of affordable, accessible and comprehensive clinical and educational low vision services in the catchment area Y</td>
<td>1. Clinical low vision services in hospitals a, b and c in the catchment area Y established and operational</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. Education for children with LV provided at schools for blind children/mainstream school</td>
</tr>
<tr>
<td></td>
<td></td>
<td>3. Networks with other related services established</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Hospital management willing and able to provide additional staff; ability of patients to pay for service fees; Risk: brain drain of qualified staff</td>
</tr>
<tr>
<td></td>
<td></td>
<td>School management of mainstream schools supportive to inclusive education/further education of staff; Management of schools for blind children remain supportive to additional training for children with LV; supportive parents; Risk: brain drain</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Related services are interested to collaborate</td>
</tr>
<tr>
<td></td>
<td></td>
<td>The Ministry of Health and Education is supportive to the prevention of blindness and support the National Prevention of Blindness Plan</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Continued political and financial stability and policy support in country X during the implementation period; willingness of related service providers/DPOs to collaborate</td>
</tr>
</tbody>
</table>

### 2.4 Carrying out a risk analysis

A similar method that is often used is a risk analysis. This will also help you to identify, and prepare for, things that could go wrong during the project implementation. In risk
analysis you can identify where problems might occur, which problems concern you the most, and what actions you should take to prevent or contain them.

This section provides you with a structured guideline to help you focus on the most significant potential problems, take preventive action and develop a “plan B”. It is a step-by-step method for identifying what could go wrong when undertaking a project and actually planning actions for prevention and containment. Risk analysis is ideally conducted after you have planned the project activities and resource requirements for your project. However we describe it in the context of the analysis of assumptions here to provide an overview of this step in the planning process.

Caution!
Your project team members or contributors might label risk analysis as “pessimistic” or a “waste of time.” If this occurs, try these explanations:

1) Risk analysis is actually proactive because it seeks to remove problems from the future and

2) If you have the time to go back and fix things when they go wrong, you have time to prevent them now.

A risk analysis requires the following steps that can be as detailed or as cursory as you wish:

Step 1: Identify areas in the plan where you anticipate problems or where problems could most severely impact success

To complete the first step (areas of the plan where you anticipate problems), have your project plan available and ask the following questions about the project results and activities (please refer to activity and resource planning p. 89):

- Where do you anticipate problems?
- Where will problems impact the plan most in terms of time, cost, and performance?
- Which ones are on the critical path?
- Where is work most complex?
- Where will something new be attempted?
- Where will new employees be involved?
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- Where have you failed before?
- Where is responsibility shared or unclear?

Step 2: Identify the specific problems that could occur

Use your answers to target the activities you will analyse. Then identify specific problems that could occur in each activity. When thinking of what could go wrong, consider how the following could impact the successful completion of an activity:

- work setting of the project team or contributors;
- expectations, misunderstood goals, or pressure from others;
- incorrect information;
- poor estimates;
- poorly skilled staff;
- completing the action itself;
- design errors, changes in requirements, resourcing shortages, scheduling conflicts.

Develop a list of potential problems in a brainstorming session with your team members, so that you all get the full picture of the risk situation.

Figure 15. Risk analysis template

<table>
<thead>
<tr>
<th>Risk Analysis</th>
</tr>
</thead>
<tbody>
<tr>
<td>Aktivity</td>
</tr>
<tr>
<td>Identification and training of local clinicians</td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>

The benefit of this brainstormed list is that it gives you a good overview on how risky the activity is. However, it can become an extensive list making it difficult to find the time to take care of everything. The Probability and Seriousness Chart below can help you to focus on those problems that are very likely to happen or those problems that have a significant impact on the success of the project.
### Classify the probability and seriousness of the potential problems. This will help you focus on the risks that are most important. The extent to which you do this exercise depends on the time or resources you have available.

**Step 3: List the likely causes for these problems**

Next, consider one potential problem at a time and identify those that you will attempt to prevent. Choose potential problems that will have a serious impact on your plan in terms of meeting key objectives, satisfying stakeholders, conserving resources, ensuring safety, and are very likely to happen if you don’t take action. Don’t waste time and money preparing for trivial problems. For the serious and highly probable ones, ask yourself and your team, “What could cause this potential problem to occur?” Your answer will give you a list of likely causes. As the example shows, there may be more than one likely cause.

Develop a list of potential problems in a brainstorming session with your team members, so that you all get the full picture of the risk situation.

---

**Figure 16. Risk analysis template with probability and seriousness**

<table>
<thead>
<tr>
<th>Aktivity</th>
<th>List Potential Problems</th>
<th>Priority</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identification and training of local clinicians</td>
<td>No adequate candidate available</td>
<td>medium  high</td>
</tr>
<tr>
<td></td>
<td>No governmental funding secured</td>
<td>low  high</td>
</tr>
</tbody>
</table>

*P = Probability

*S = Seriousness
**Figure 17. Risk analysis template with likely causes**

<table>
<thead>
<tr>
<th>Aktivity</th>
<th>List Potential Problems</th>
<th>Priority P*</th>
<th>S**</th>
<th>Identify Likely Causes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identification and training of local clinicians</td>
<td>No adequate candidate available</td>
<td>medium</td>
<td>high</td>
<td>unattractive location</td>
</tr>
<tr>
<td></td>
<td>No governmental funding secured</td>
<td>low</td>
<td>high</td>
<td>unclear expectations</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>no national training available</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>low priority in the government</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>just verbal agreement</td>
</tr>
</tbody>
</table>

*P = Probability  **S = Seriousness

**Note**

When considering likely causes, make sure you include what is likely to cause the problem and how it will cause the problem. Doing so will point to how you can prevent the problem. For example, one likely cause of a warehouse fire could be that solvents are not stored correctly. Storing them properly in the future could prevent another fire.

**Step 4: Plan actions that will prevent the likely causes from occurring**

Consider each likely cause one by one. Fill the next column of your table with preventive actions – actions taken to prevent each likely cause. For example, if you identify a potential problem as “no governmental funding secured” and a likely cause as “just verbal agreement”, one preventive action could be “sign a Memorandum of Understanding”.

As the example in figure 14 shows, there may be more than one preventive action.

**Step 5: Plan actions that will serve as a contingency in case the problems do occur**

Finally, redirect your attention back to the potential problems. What if this potential problem occurred despite your efforts to prevent it? What would you do to minimise the damage? Your answers to these questions become Plan B – actions you’ll prepare now but will only use if the potential problem occurs. As the example shows, there may be more than one contingent action.
### Chapter II: The project planning process

#### 2.4 Carrying out a risk analysis

**Figure 18. Risk analysis template with “plan B”**

<table>
<thead>
<tr>
<th>Aktivity</th>
<th>List Potential Problems</th>
<th>Priority</th>
<th>Identify Likely Causes</th>
<th>Take Preventive Action</th>
<th>Plan B</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identification and training of local clinicians</td>
<td>No adequate candidate available</td>
<td>medium</td>
<td>unattractive location</td>
<td>not possible</td>
<td>provide incentive/top up</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>unclear expectations</td>
<td></td>
<td>extended recruitment, clear job profile</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>no national training available</td>
<td>not possible</td>
<td>offer training by external expert</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>low priority in the government</td>
<td>alternative funding sources</td>
<td></td>
</tr>
<tr>
<td></td>
<td>No governmental funding secured</td>
<td>low</td>
<td>just verbal agreement</td>
<td>memorandum of understanding</td>
<td>alternative funding sources</td>
</tr>
</tbody>
</table>

*P = Probability  **S = Seriousness

Record the plan B actions and make sure you add a trigger for each one in this column. A **trigger** warns you that the potential problem has occurred, and if necessary, initiates the plan B. For example, if you are planning to train a local clinician, and you identify your potential problem as “no adequate candidate available,” one contingent action might be “extend the search to other regions.” Your trigger might be “search unsuccessful for 2 months” (see p. 87, figure 19 for the risk assessment with identified triggers).

**Note**

Being specific is essential when thinking about the damage that could be caused by a potential problem. It will allow you to focus on the most appropriate contingent action to take. Ask, “If this [potential problem] occurs, what is likely to happen?” Record your answers as a list of **likely effects**, and then set contingent action(s) for each likely effect. Doing this will give you a greater number of actions you can prepare for should the potential problem occur.

It is also possible to have several triggers for the same potential problem. In this case, each trigger would start a different plan B, depending on the actual timing and severity of the problem. For example, being two days behind schedule three weeks into the project might trigger a different response than being one week behind schedule with only one week prior to the scheduled finish date.
2.4 Carrying out a risk analysis

### Risk Analysis

<table>
<thead>
<tr>
<th>Activity</th>
<th>List Potential Problems</th>
<th>Priority P*</th>
<th>S**</th>
<th>Identify Likely Causes</th>
<th>Take Preventive Action</th>
<th>Plan B</th>
<th>Identify Triggers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identification and training of local clinicians</td>
<td>No adequate candidate available</td>
<td>medium</td>
<td>high</td>
<td>unattractive location</td>
<td>not possible</td>
<td>provide incentive/top up</td>
<td>no adequate candidate for 3 months</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>unclear expectations</td>
<td>clear job description</td>
<td>extended recruitment, clear job profile</td>
<td>no adequate candidate for 1 months</td>
</tr>
<tr>
<td>No governmental funding secured</td>
<td>low</td>
<td>high</td>
<td>low priority in the government</td>
<td>advocacy for low vision services in the local government</td>
<td>offer training by external expert</td>
<td>non availability of national training</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>just verbal agreement</td>
<td>memorandum of understanding</td>
<td>government not ready to sign the memorandum</td>
<td></td>
</tr>
</tbody>
</table>

*P = Probability **S = Seriousness

**Figure 19. Risk analysis template with identified triggers**
Chapter II: The project planning process

Step 6: Modify your project plan to include those actions

The final step of a risk analysis is just as important as the previous ones – transforming your thinking into action. Modify your project plan by adding preventive actions, plan B’s, and triggers as activities. Treat them as you would any other activities, including the primary resources responsible, a start and finish date, and performance expectations. If necessary, change the activity schedule and resource requirements to reflect the additional work. If this increases the overall budget, it must be justified in terms of reduced risk and agreed to by the stakeholders.

Caution
Once the danger of the potential problem has passed, remove the preparations you’ve made for the plan B. Keeping these actions in place when they are no longer required may lead to unnecessary cost or additional problems.

Preventing problems, and being ready to fight them if they do occur, will give you a greater chance to complete your project on-time, within budget, and with acceptable performance.

The more you know…
It’s not always necessary to conduct a full risk analysis, carefully carrying out and documenting all six steps. Depending on the nature of your project, you can use a full risk analysis (complex, high impact projects) or short-version risk analysis thinking (simple, less important projects). Use enough Potential Problem Analysis to reduce project risks to acceptable levels. Depending on the consequences of late completion, or even complete project failure, more analysis and preventive and contingent actions may be needed.

For short-version risk analysis, ask questions like:

- What could go wrong?
- What would cause it to go wrong?
- What can I do to stop it from going wrong?
- What will I do if it does go wrong?
Chapter II: The project planning process

Considering the answers (and what you can do to prepare for them) will help protect the action you’re about to take. A quick risk analysis can also be useful as you move from planning into implementation, especially if a change outside your control comes to your attention. For example, you suddenly learn that a key employee will be absent for 6 weeks. By quickly jotting down potential problems, you may find that actions like immediate reallocation of key people are necessary.

You may feel there’s not enough good information to do a risk analysis. However, keep in mind you’re constantly taking what you have learned in the past to predict the future. There’s always a temptation to include contingency funds in the budget to deal with problems that you didn’t anticipate. This can be effective, but only if you have a good understanding of the reasons for doing so. For example, some organisations tack on a standard percentage of the project budget for contingencies (such as 10% or 15%), no matter what the project aims at achieving.

However, what happens when the time comes to allocate contingency funds? How will you know how much to allocate, given that there may be overruns further along in the project? By assessing risks for each activity and calculating a contingency amount based on this analysis, you’ll have a better idea of how much total contingency money you’ll need and how much can be allocated for each potential problem. If there is an early need for project funds in an area you identified as low risk, you’ll know you have to be cautious in your expenditure.

2.5 Identifying, scheduling and costing activities

At this point in the project planning process you know exactly what you want to achieve. You have developed your project’s overall objective, specific objective and the results you want to realise. You can now start developing a plan that identifies project activities, responsibilities, the dependencies that exist between them, their logical sequence, the duration that is necessary to implement the activities and assign responsibilities for each activity. You now need to make your project plan tangible and draw up the steps for implementation.

The tool to present the results of these planning steps is the activity schedule. Each activity will also have the resource requirements attached to it. Always ensure that sufficient resources (human or material) are available for the timely implementation of your project activities. The tool to present the resource and cost planning is the resource schedule.
Chapter II: The project planning process

In this section we will take you through the process of breaking down your project plan one step at a time. We will start by identifying all the activities and take you right through to the identification of resource requirements.

Caution
Bear in mind that planning may not be a straight sequential process. The planning team may need to review and revise plans based upon the availability of resources for the project (quantity, timing, quality, experience).

To realistically plan and resource project activities, it is also essential to include staff members with the relevant expertise during the whole planning exercise. This helps motivate people and ensure transparency.

Step 1: Identify all activities that are necessary to implement your project

In order to identify the main activities of your project you need to ask which activities should be undertaken to achieve the aimed for results. You then need to break these down to individual sub-activities and tasks for which you can identify responsibilities, resource requirements, duration and dependencies so that they can act as the basis for costing, planning, monitoring and control.

We suggest the following two steps to identify your project activities:

a) List the main activities for each project result from the objectives tree

b) Break-down each main activity into sub-activities and sub-activities into tasks to a manageable level (task level). The issue at this point is to find the appropriate level of detail so that the plan is neither too general nor too detailed. The break down of activities can be finalised once the planner is able to describe duration, resource requirements, responsibilities and dependencies.

Using the example you already know, it is possible to identify some activities related to the results as outlined in the mind-map on page 91.
Figure 20. Mind-map of activity breakdown

- Identifying, scheduling and costing activities

Promotion of the inclusion of optometry in governmental eye units within the vision 2020 initiative to develop a National Plan for the Prevention of Blindness

Establishment of clinical low vision services in hospitals a, b, c

- Further training of local clinicians
- Acquisition of equipment
- Acquisition of administrative/financial/legal agreements
- Establishment of physical infrastructure

- Identification of suitable candidates
- Identification of external trainers
- Organisation of training workshops
- Certification of trainees

- Identification/contacting of key authorities
- Communication of the specific objective to key authorities
- Development of a common vision and plan for the establishment of clinical low vision services in governmental eye units
- Development of a Memorandum of Understanding and acquisition of administrative, financial and legal agreements

Assessment of existing equipment and identification of additional needs

- Researching of suppliers, tendering and ordering of equipment

Identification of suitable facilities in hospital a, b, c

- Identification of renovation and constructing needs
- Tendering of construction/renovation
- Completion of the renovation of facilities
Chapter II: The project planning process

The result of this exercise can then be transferred into an activity list. The quality of this activity list can have a significant impact on the project results. An activity list serves as a reminder for the coming planning steps and will be used in Step 3 in the planning process (see on page 94) Many projects fail because not enough time was invested in this exercise and/or representatives of staff members with the relevant expertise did not participate in it. The consequence of an incomplete activity list is that during implementation insufficient resources are available, responsibilities are unclear, and dependencies are not identified. The following steps need to be taken to complete your activity schedule.

**Step 2: Clarify dependencies and sequence**

All identified tasks must be linked to help you identify the order in which the tasks should be accomplished:

- **a. Dependencies** –
  - check whether the activity is dependent on the completion of another activity, or whether it can be started independently

- **b. Sequence** –
  - check the order in which related activities should be implemented

At this stage we recommend that the planning team develops a network diagram to provide a visual display of the dependencies and sequence of activities.

Steps for the development of a network diagram:

- List all activities (See Step 1).
- Identify whether activities are sequential or parallel. If activities are sequential, show which activities they depend on.
- Map out activities in their sequential order from start to finish in such a way that tasks are carried out in the required sequence. Use squares for activities and arrows to indicate the sequential order of tasks.
- Estimate the start, completion dates and the duration of each task.
- Identify the critical path.

You need to estimate the duration of each activity and decide on start and completion dates, in order to define the activity schedule. To give realistic estimates, the planning exercise needs to be carried out involving staff members and experts/professionals who have the necessary technical knowledge and expertise to carry out specific activities in the project.
Chapter II: The project planning process

Underestimation of time required can arise from:

- omission of essential activities and sub-activities;
- failure in the time planning;
- resource competition (scheduling the same person or piece of equipment to do two or more things at once);
- desire to impress with rapid results;
- time pressure.

Figure 21. Network diagram

In this example, the critical path is the one with boxes marked in **deep purple**.

Please note, that the critical path is organic. It can change during implementation. The slack time of each activity is defined as the difference between the current path and the critical one.

The critical path

The critical path is the longest path through your network diagram and describes the shortest possible duration of the project. **All activities on this path have zero time available for any delays (slack time).** This means that a delay on one of these activities automatically implies a delay for the whole project.
### Chapter II: The project planning process

#### Figure 22. Mind-map of activity breakdown

<table>
<thead>
<tr>
<th>Result</th>
<th>Activity</th>
<th>Unit/Responsible Person</th>
<th>Completion Date by Month</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1</td>
<td>Acquisition of administrative/financial/legal requirements</td>
<td>PM* LV Specialist Admin</td>
<td>M1 M2 M3 M4 M5 M6 M7 M8 M9 M10 M11 M12</td>
</tr>
<tr>
<td></td>
<td>1.1.1 Identification/contacting of key authorities and communication of the specific objective</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1.1.2 Development of a common Vision and Plan for the establishment of clinical low vision services in gov. units</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1.1.3 Development of a MoU and acquisition of administrative, financial and legal agreements</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.2</td>
<td>Acquisition of equipment</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1.2.1 Assessment of the existing medical equipment and identification of additional needs</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1.2.2 Research of suppliers and ordering equipment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.3</td>
<td>Establishment of the physical infrastructure</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1.3.1 Identification of suitable facilities in hospital a, b, c</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1.3.2 Identification of renovation and construction needs</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1.3.3 Tendering of construction/removal</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1.3.4 Renovations/construction completed</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.4</td>
<td>Further training of local clinicians</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1.4.1 Identification of suitable candidates</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1.4.2 Identification of suitable external trainer</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1.4.3 Development of a training curriculum</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1.4.4 Organisation/conducting of training workshops</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1.4.5 Certification of trainees</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1.4.6 Development/revision of job descriptions</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.5</td>
<td>Promotion of the inclusion of optometry in governmental eye units within the Vision 2020 initiative to develop a National Plan for the Prevention of Blindness</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1.5.1 Contacting of the national committee for the development of a national Plan for the Prevention of Blindness</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1.5.2 Lobbying for the inclusion of optometry in the national plan by proving success stories, facts and figures</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1.5.3 Provision of professional support to the national committee for the inclusion of optometry within the National Plan for the Prevention of Blindness</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Chapter II: The project planning process

Why do you need to develop a network diagram? What are the advantages?

- The development of a network diagram forces the project team to bring the project activities into a logical sequence, showing the dependencies between single activities and sub-activities.
- Risks along the critical path become visual and the team can identify activities to mitigate the risk of implementation delay.
- The development of a network diagram highlights to team members the importance of their activities with respect to the timely completion of the project.

Step 3: Summarise scheduling of main activities

After specifying the timing of the individual sub-activities that make up the main activities, an overall schedule of the start-up, duration and completion of all main activities should be completed. For this you can use the proposed activity schedule format on the next page.
Chapter II: The project planning process

Step 4: Define milestones

Milestones describe key phases (and their timing) within the project that provides a measure of progress and the targets for the project team to aim at. They set the time-frame, and provide the basis by which the project implementation is monitored and managed. In other words: Milestones are the completion dates of key activities or indicate dates when important decisions should be made. An example to illustrate a project milestone is “Low vision teaching and resource material available by 20th September 2006.”

Note

Some milestones in a project may determine whether the project can move forward on or not. You should identify these key milestones within your project plan and mark them as such in the activity schedule. Make sure that the implementation will not continue until these key milestones are reached. Resource mobilisation and disbursement of funds therefore need to be handled with some flexibility. If key milestones have not been achieved on time, review the activity schedule and check whether you can meet the other milestones on time. If necessary, change the activity schedule without affecting the timely implementation of the whole project.

Step 5: Define knowledge and skill requirements

The planning team needs to identify the necessary knowledge and skills for each task. At this point you can check whether the necessary expertise is already available or if it has to be recruited or developed internally.

Step 6: Allocate tasks among the project staff

By allocating tasks, responsibilities for their fulfilment are clearly identified. Before tasks are delegated, the requirements for the achievement of each task must be clarified. Once you have identified the main responsibilities inherent in a task, you can start assigning the person responsible in the activity schedule.

Step 7: Estimate time requirements for team members

This step requires a realistic estimate of the time that will be required for each of the allocated tasks and a check whether there are overlaps between individual tasks as-
assigned to project staff. Where the project staff member is assigned to two parallel tasks and it is found that this is not manageable, the timing and sequencing of tasks should be reviewed or work re-distributed.

**Step 8: Visualise the activity schedule**

To graphically visualise the start and end dates of each activity as well as mapping dependencies, it is useful to develop an activity schedule (see figure 23). An activity schedule communicates project task schedules and other information quickly and efficiently at a glance.

**Steps for the development of an activity schedule:**

- List all the activities along the vertical axis on a spreadsheet.
- Draw a timeline across the horizontal axis indicating the implementation period of the project.
- Map activities as bars that span the duration of the task (start and end date), considering the previously identified sequential and parallel order of tasks (see critical path and network diagram).
- Map milestones as dots on the spreadsheet.
- Link sequential activities with arrows to indicate dependencies.
Chapter II: The project planning process

Figure 23. Complete activity schedule (both pages 98, 99)

<table>
<thead>
<tr>
<th>Result</th>
<th>Activity</th>
<th>Unit/Responsible Person</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1</td>
<td>Acquisition of administrative/financial/legal requirements</td>
<td>PM*, LV Specialist, Administrator</td>
</tr>
<tr>
<td>1.1.1</td>
<td>Identification/contacting of key authorities and communication of the specific objective</td>
<td>✓</td>
</tr>
<tr>
<td>1.1.2</td>
<td>Development of a common Vision and Plan for the establishment of clinical low vision services in gov. units</td>
<td>✓</td>
</tr>
<tr>
<td>1.1.3</td>
<td>Development of a MoU and acquisition of administrative, financial and legal agreements</td>
<td>✓</td>
</tr>
<tr>
<td>1.2</td>
<td>Acquisition of equipment</td>
<td></td>
</tr>
<tr>
<td>1.2.1</td>
<td>Assessment of the existing medical equipment and identification of additional needs</td>
<td>✓</td>
</tr>
<tr>
<td>1.2.2</td>
<td>Research of suppliers and ordering equipment</td>
<td>✓</td>
</tr>
<tr>
<td>1.3</td>
<td>Establishment of the physical infrastructure</td>
<td></td>
</tr>
<tr>
<td>1.3.1</td>
<td>Identification of suitable facilities in hospitals a, b, c</td>
<td>✓</td>
</tr>
<tr>
<td>1.3.2</td>
<td>Identification of renovation and construction needs</td>
<td>✓</td>
</tr>
<tr>
<td>1.3.3</td>
<td>Tendering of construction/renovation</td>
<td>✓</td>
</tr>
<tr>
<td>1.3.4</td>
<td>Renovations/construction completed</td>
<td>✓</td>
</tr>
<tr>
<td>1.4</td>
<td>Further training of local clinicians</td>
<td></td>
</tr>
<tr>
<td>1.4.1</td>
<td>Identification of suitable candidates</td>
<td>✓</td>
</tr>
<tr>
<td>1.4.2</td>
<td>Identification of suitable external trainer</td>
<td>✓</td>
</tr>
<tr>
<td>1.4.3</td>
<td>Development of a training curriculum</td>
<td>✓</td>
</tr>
<tr>
<td>1.4.4</td>
<td>Organisation/conducting of training workshops</td>
<td>✓</td>
</tr>
<tr>
<td>1.4.5</td>
<td>Certification of trainees</td>
<td>✓</td>
</tr>
<tr>
<td>1.4.6</td>
<td>Development/revision of job descriptions</td>
<td>✓</td>
</tr>
<tr>
<td>1.5</td>
<td>Promotion of the inclusion of optometry in governmental eye units within the Vision 2020 initiative to develop a National Plan for the Prevention of Blindness</td>
<td></td>
</tr>
<tr>
<td>1.5.1</td>
<td>Contacting of the national committee for the development of a national Plan for the Prevention of Blindness</td>
<td>✓</td>
</tr>
<tr>
<td>1.5.2</td>
<td>Lobbying for the inclusion of optometry in the national plan by proving success stories, facts and figures</td>
<td>✓</td>
</tr>
<tr>
<td>1.5.3</td>
<td>Provision of professional support to the national committee for the inclusion of optometry within the National Plan for the Prevention of Blindness</td>
<td>✓</td>
</tr>
</tbody>
</table>
### Chapter II: The project planning process

#### 2.5 Identifying, scheduling and costing activities

<table>
<thead>
<tr>
<th>Activity</th>
<th>Month</th>
<th>Time Required (Person Days)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1.1 Identification/contacting of key authorities and communication of the specific objective</td>
<td>March</td>
<td>2 days</td>
</tr>
<tr>
<td>1.1.2 Development of a common Vision and Plan for the establishment of clinical low vision services in gov. units</td>
<td></td>
<td>1 day</td>
</tr>
<tr>
<td>1.1.3 Development of a MoU and acquisition of administrative, financial and legal agreements</td>
<td></td>
<td>6 days</td>
</tr>
<tr>
<td>1.2.1 Assessment of the existing medical equipment and identification of additional needs</td>
<td>June</td>
<td>10 days</td>
</tr>
<tr>
<td>1.2.2 Research of suppliers and ordering equipment</td>
<td></td>
<td>14 days</td>
</tr>
<tr>
<td>1.3.1 Identification of suitable facilities in hospital a, b, c</td>
<td>September</td>
<td>14 days</td>
</tr>
<tr>
<td>1.3.2 Identification of renovation and construction needs</td>
<td></td>
<td>5 month</td>
</tr>
<tr>
<td>1.3.3 Tendering of construction/renovation</td>
<td>November</td>
<td>10 days</td>
</tr>
<tr>
<td>1.3.4 Renovations/construction completed</td>
<td></td>
<td>28 days</td>
</tr>
<tr>
<td>1.4.1 Identification of suitable candidates</td>
<td>November</td>
<td>10 days</td>
</tr>
<tr>
<td>1.4.2 Identification of suitable external trainer</td>
<td></td>
<td>5 month</td>
</tr>
<tr>
<td>1.4.3 Development of a training curriculum</td>
<td></td>
<td>5 days</td>
</tr>
<tr>
<td>1.4.4 Organisation/conducting of training workshops</td>
<td></td>
<td>10 days</td>
</tr>
<tr>
<td>1.4.5 Certification of trainees</td>
<td></td>
<td>5 days</td>
</tr>
<tr>
<td>1.4.6 Development/revision of job descriptions</td>
<td></td>
<td>14 days</td>
</tr>
<tr>
<td>1.5.1 Contacting of the national committee for the development of a national Plan for the Prevention of Blindness</td>
<td></td>
<td>10 days</td>
</tr>
<tr>
<td>1.5.2 Lobbing for the inclusion of optometry in the national plan by proving success stories, facts and figures</td>
<td></td>
<td>12 days</td>
</tr>
<tr>
<td>1.5.3 Provision of professional support to the national committee for the inclusion of optometry within the National Plan for the Prevention of Blindness</td>
<td></td>
<td>10 days</td>
</tr>
</tbody>
</table>

### Table: Activity Schedule

<table>
<thead>
<tr>
<th>Milestones</th>
<th>Month</th>
<th>Time Required (Person Days)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Admin/financial/legal requirements achieves</td>
<td>March</td>
<td>2 days</td>
</tr>
<tr>
<td>Equipment delivered</td>
<td>June</td>
<td>10 days</td>
</tr>
<tr>
<td>Physical infrastructure available</td>
<td>September</td>
<td>5 month</td>
</tr>
<tr>
<td>Trainees certified</td>
<td>September</td>
<td>10 days</td>
</tr>
<tr>
<td>Optometry as part of the National Plan for the Prevention of Blindness</td>
<td>December</td>
<td>14 days</td>
</tr>
</tbody>
</table>
The activity schedule is a very useful tool to support the ongoing monitoring of the implementation of your project (see Chapter 3: Monitoring and Implementation) as due dates for the delivery of tasks become clearly and immediately visible. The project manager can easily follow up the implementation of the project; foresee consequences if tasks are delayed and take preventive measures or amend the project plan if necessary. We recommend that you also include dates for periodic reporting as well as evaluation of the project.

**Step 9: Identification of resource requirements and cost**

Resource planning is one of the key steps in project planning and management. Insufficient resource planning is the most frequently named reason for problems during the implementation of a project.

**Resources and costs resource**

- **Resources** are physical and non-physical inputs that are necessary to carry out the planned activities and manage the project (e.g. human or material resources).

- **Costs** are the translation of all the identified resources into financial terms. To be able to translate tasks into costs, tasks need to be defined sufficiently.

For each scheduled task, resources and costs need to be calculated during the planning phase to confirm that sufficient resources and funds are allocated to the project. Scheduling of resources refers to human resources, equipment, facilities and materials. This step also includes the assessment of the availability of resources. Consulting and planning with experienced project staff is essential to avoid miscalculations at the initial stage. Once the required resources have been identified, they are translated into financial terms to assess the costs of the project.

**Caution**

It is important to ensure that critical path activities have all the required resources, and that resource costs are provided for. Therefore you need to review the critical path of your project once you have allocated resources to tasks and change the planning if necessary.
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Resource planning/scheduling is a critical step to cross check whether the objectives of the project are achievable. If you find that you do not have sufficient financial, material and human resources available and you are not able to gain additional support for them, you will have to revise the project objectives and scale them down to a more realistic level.

Note
Central to good resource and cost planning is also the planning for long term financial sustainability (this is also referred to in Chapter 3). If your organisation receives external funding from CBM or other donors, you need to develop appropriate income strategies to gradually replace external funding and thus reduce financial dependency from donor agencies where possible without diverting the attention to the main target group.

Step 10: Summarising the main activities and resource requirements in the logframe

Once you have developed the activity and resource schedule, include the key activities with the respective resource requirements and costs in the logframe. Ensure that for every output, main activities are identified. The main activities usually coincide with the milestones you have identified previous.

The logframe on page 102 illustrates how planned activities, resources and costs are summarised in the logframe.

Note
The logframe only summarises the costs for each activity. Project partner will have to provide a full project budget as part of the project plan. The logframe is no substitute for a project budget but serves as an overview of the planned activities and corresponding resources/inputs and costs.
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### 2.5 Identifying, scheduling and costing activities

<table>
<thead>
<tr>
<th>Overall Objective</th>
<th>Project Description/Narrative</th>
<th>Indicators</th>
<th>Source of Verification</th>
<th>Assumptions &amp; Risks</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Avoidable blindness significantly decreased and the quality of life of people with visual impairment improved in country X</td>
<td></td>
<td></td>
<td>The Ministry of Health and Education is supportive to the prevention of blindness and support the National Prevention of Blindness Plan</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Specific Objective</th>
<th>Project Description/Narrative</th>
<th>Indicators</th>
<th>Source of Verification</th>
<th>Assumptions &amp; Risks</th>
</tr>
</thead>
<tbody>
<tr>
<td>Improve quality of life of persons with LV through provision of affordable, accessible and comprehensive clinical and educational LV services in the catchment area Y</td>
<td></td>
<td></td>
<td></td>
<td>Continued political and financial stability and policy support in country X during the implementation period; willingness of related service providers/DPOs to collaborate</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Results</th>
<th>Project Description/Narrative</th>
<th>Indicators</th>
<th>Source of Verification</th>
<th>Assumptions &amp; Risks</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1. Clinical low vision services in hospitals a, b and c in the catchment area Y established and operational</td>
<td>2. etc.</td>
<td></td>
<td>Hospital management willing and able to provide additional staff; ability of patients to pay for service fees; Risk: brain drain of qualified staff etc.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Activity</th>
<th>Resources / Inputs</th>
<th>Costs</th>
<th>Assumptions &amp; Risks</th>
</tr>
</thead>
<tbody>
<tr>
<td>Activity 1</td>
<td>1.1 Acquisition of administrative / legal and financial agreements</td>
<td>-</td>
<td>Timely acquisition of agreements</td>
</tr>
<tr>
<td></td>
<td>1.2 Acquisition of equipment</td>
<td>3 auto refractometers, 8 portable LV assessment kits, 1 computer</td>
<td>10.000 USD</td>
</tr>
<tr>
<td></td>
<td>1.3 Establishment of infrastructure for LV unit</td>
<td>Rennovation of buildings</td>
<td>40.000 USD</td>
</tr>
<tr>
<td></td>
<td>1.4 Training of 8 local clinicians</td>
<td>Training fees, training materials</td>
<td>20.000 USD</td>
</tr>
<tr>
<td></td>
<td>1.5 Promotion of the inclusion of optometry in govt. eye units within the National Vision 2020 Plan</td>
<td>Information materials</td>
<td>2.000 USD</td>
</tr>
<tr>
<td></td>
<td>1.6 Establishment of a poor patient fund and cost recovery scheme</td>
<td>-</td>
<td>10.000 USD per hospital per year</td>
</tr>
</tbody>
</table>

| Activity 2 | |
| Activity 3 | |
2.6 Identifying and setting indicators

Once clear objectives and plans of action have been identified, the next step is to establish a set of indicators, or ways of measuring that progress is being achieved. The process of selecting indicators is described below in general terms only.

Caution
It is often difficult and costly to measure actions and results. Therefore make sure that the indicators you identify for your project are easily measurable and significant.

2.6.1 Why do you need to identify indicators for your project’s objectives and results?

It is essential that indicators are set at the outset of a project, since the process of collecting information about indicators has to be incorporated into the way the project is designed. Indicators can be used to monitor the progress of your project, detect problems at an early stage during the implementation and aid the project team in the identification of problem resolution.

2.6.2 What are indicators?

Indicators describe situations (e.g. the satisfaction with a service, type of utilisation of equipment), performance (e.g. the number of students who successfully completed a vocational training course) or measure resources (e.g. the utilisation of resource material by the enrolled students). Before you go into the actual development of your indicators you need to be aware that there are different types of indicators.

2.6.3 What are the different types of indicators?

1) Direct and Indirect Indicators
Indicators can be classified as either direct or indirect. Direct indicators are used for objectives that relate to changes that are directly observable. This is usually at the results and activity level of your project plan. Direct indicators are usually a more precise, comprehensive and operational restatement of the respective objective. Indirect indicators may be used instead of, or in addition to, direct indicators.
They are used when the achievement of your objective is not directly observable like for example “quality of life”, “institutional capacity” or “organisational development” or if the direct measurement of the achievement of your objective is very costly or sensitive. For indirect indicators you need to establish a set of sub-indicators to measure the achievement of your project’s objective. For example the indicator “quality of life” is composed of indicators giving information about the relationship of an individual with family and friends, emotional well-being, health status, material well-being, integration into the workforce, integration into the local community, personal safety and the quality of the environment.

2) **Quantitative and qualitative indicator**

With **quantitative indicators** we aim to look at quantitative measurements, such as:

- Growth rates: e.g. the growth rate of clients assisted over a certain period of time.
- The implementation of activity output: e.g. the number of resource material distributed, the number of assistive devices distributed, etc.
- The frequency of activities: e.g. the frequency of meetings.

With **qualitative indicators** we look at qualitative measurements of the project’s level of implementation. Indicators thus make phenomena which are not directly measurable visual.

Qualitative indicators may look at things such as:

- the level of participation of stakeholder groups
- stakeholder opinions and satisfaction: e.g. Clients satisfaction
- decision making ability
- attitudinal change: e.g. the increased satisfaction with services provided
- the ability to self-monitor
- behavioural changes
- awareness levels
- quality of life changes.

**Caution**

When you develop your indicators you should identify only the essential and most appropriate indicators that will measure the success of your project. Bear in mind that data collection is expensive and time consuming and data may not always be available.
When you start filling in your logframe, you need to develop indicators for all levels (overall objective, specific objective, results).

3) Indicators at the planning level (logframe)

Depending on the level of your project plan the following types of indicators, can be identified:

**Input indicators:** indicating the achievement of deployed resources and their disbursement (e.g. investments like financial means in EUR, or person days). Input indicators in the logical framework matrix are inserted at the level of activities. They are a way of showing what means are needed for the completion of the activity and measure the efficiency of the implementation of project activities.

**Output indicators:** indicating concrete, substantial results of a project activity (results like the length of a constructed road, number of trained personnel, and number of conducted trainings). Output indicators in the logical framework matrix can be found at the same level as the project’s results and measure their effectiveness towards achieving the project purpose.

**Outcome indicators:** relate to the direct benefit achieved by the implementation of objectives (benefit for the people who took part in training or the benefit for the trainers themselves). Outcome indicators in the logical framework matrix should relate both to the project’s results as well as the specific objective. They measure the relevance of the achievement of the project objective towards achieving the overall objective.

**Impact indicators:** measure the impact that exceeds the effects and benefits achieved beyond the objectives and target group of the project. Impact indicators measure the unintended effects and long term impact of a project (e.g. on the environment, on other trained people but who have not participated in the training of the project). Impact indicators relate to the overall objective of your project and therefore are entered at the same level in the logical framework matrix. Remember that impacts although considered to be long term, may become obvious early in the project and that impact needs to be considered from early in the project.
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Note

Do not develop indicators unnecessarily where suitable information may already exist. Check the organisational or national statistics first. If they are meaningful for your project, chose these before adding new indicators.

Where regular statistics are insufficient to monitor the project implementation, add additional indicators in the monitoring system to ensure that crucial developments are followed up during the implementation.

2.6.4 How do I identify the indicators for my project’s overall objective, specific objective, results and activities?

In the context of project planning, indicators are instrumental in describing overall project objective, specific objective and results in operationally measurable terms and are formulated in response to the question “How do we know whether what has been planned is actually happening or has happened? How do we verify success?”

Before you actually start developing the indicators that measure the achievement of your project’s specific objective, results and activities please keep in mind that your indicators should be:

- Specific – clear, simple, single items of information
- Measurable – items that can be reliably quantified
- Achievable – data that is easily and cost effectively gathered and available for the duration of your project’s implementation
- Realistic / Relevant - to the overall objective, specific objective, results and activities
- Time-bound – the data can be collected and analysed quickly enough to be useful in activity management

In short: Indicators need to be SMART.

We suggest that you follow the following guiding structure while formulating your indicators:

- **Who** (target groups to which the indicator is applied)?
- **What** (quantity of the “product” of your intervention/ quality of the results of your intervention)?
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- When (time when you plan measure the indicator)?
- Where?

Of course it is not enough just to look at formulating indicators in order to verify success. You need to go one step further and consider where you can get information on whether or not your indicators have been achieved. Indicators may be meaningful/significant; however collecting the information may be too laborious and expensive to access regularly during the monitoring process. To check and ensure that the information is accessible for your purpose you need to identify the sources of verification. If you find that the indicator is only measurable with great difficulty, think about a more suitable indicator to measure the achievement of the project results, specific objective and overall objective. In the logical framework matrix the sources of verification related to each indicator should be entered at the corresponding level.
Let’s have another look at our example of the establishment of affordable, accessible comprehensive clinical and educational low vision services in the catchment areas Y:

Figure 24. Indicators and sources of verification in a completed logframe

<table>
<thead>
<tr>
<th>Project Description/ Narrative</th>
<th>Indicators</th>
<th>Source of Verification</th>
<th>Assumptions &amp; Risks</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Overall Objective</strong></td>
<td>Avoidable blindness significantly decreased and the quality of life of people with visual impairment improved in country X</td>
<td>Avoidable blindness decreased by 40% by 2015; school enrolment of children with VI increased by 35% by 2015; 70% of children with VI complete primary school education by 2020 in country X.</td>
<td>National health statistics National education statistics</td>
</tr>
</tbody>
</table>
| **Specific Objective**        | Improve quality of life of persons with LV through provision of affordable, accessible and comprehensive clinical and educational low vision services in the catchment area Y | - Approximately 4000 eye patients benefit from LV services per year.  
- Approximately 300 students benefit from more specialised education per year  
- Approximately 8000 people benefit indirectly from clinical and educational services provided | Project statistics project reports school records clinical statistics | Continued political and financial stability and policy support in country X during the implementation period; willingness of related service providers/DPOs to collaborate |
| **Results**                   | 1. Clinical low vision services in hospitals a, b and c in the catchment area Y established and operational | 1.1 Equipment obtained by Mar 08  
1.2 Low vision unit infrastructure established in hospitals a,b,c by Feb 08 in catchment area Y  
1.3 8 clinicians trained in LV by Feb 08  
1.5 Plans presented at National Prevention of Blindness Planning meeting presented by May 08  
1.6 Poor patient fund at all hospitals by Feb 08 etc. | Documentation of agreements Invoices of equipment and project visit Certification of completed training Report from NPB Meeting | Hospital management willing and able to provide additional staff; ability of patients to pay for service fees; Risk: brain drain of qualified staff |
### Next steps to be taken after the identification of indicators

Once the planning team has identified the relevant indicators to measure the achievement of the outputs (output indicators), specific objective (outcome indicators) and the overall objective (impact indicators), monitoring of their development becomes an important part of the implementation phase. Dates and responsibility for regular monitoring activities should therefore be included in the project plan to ensure that responsibility for data collection, analysis and evaluation of monitoring information is assigned already at the outset of the project implantation.
2.7 Baselines: the basis for identifying and measuring the achievements of your project’s objectives

2.7.1 What is a baseline study?

A baseline study is a descriptive cross-sectoral survey that provides quantitative and qualitative information on the current status of a particular situation. It aims to quantify the distribution of certain variables in a geographic area or population at a given point in time. Baseline studies involve a systematic collection and presentation of data to give a clear picture of a particular situation at the beginning of a project or even before, related to the following questions: What? Who? Where? When? Why? How?

Baseline studies generate information e.g. on the level of service provision, geographic distribution as well as their quality, size, characteristics and distribution of your target group, existing relevant stakeholders, their policies, interlinkages and collaboration, awareness, knowledge, attitudes and practices. In short: baselines provide all essential quantitative and qualitative information about your projects target area at the beginning of your project relevant to the monitoring and evaluation of your project’s objectives.

2.7.2 Why do you need to do a baseline study?

- A baseline provides you with the minimum information required to measure the key aspects of the degree and quality of changes during your project implementation. They provide the information to assess how well the project objectives have been achieved.
- A baseline fills the data gaps identified at the beginning of the project implementation which are essential for the ongoing monitoring of the project.
- Due to their statistical nature, baseline studies can often convince and provide justification for the initiation of a specific project or programme.
- Results of baseline studies might galvanise the people to action. If the findings are positive, it can be shown that the partner organisation is already doing a good job. If the results are negative, this can also serve as a catalyst for discussion on the most appropriate means for action in project and programme change.
- Baselines are used to shape a project/programme strategy, sharpening objectives and action to be taken.
- A baseline should meet the needs and interests of your key stakeholders.
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2.7.3 When should you do a baseline study?

You should only conduct a baseline once you have identified what information is required for monitoring and evaluating the project’s implementation. This way you ensure that only the essential information will be collected. Anything more than this is likely to be a waste of time, effort and resources. Once you have identified and gained the essential data, you can then replicate data collection during monitoring and evaluation.

Baseline data is usually the data required for evaluating the indicators identified in your log-frame.

A baseline is not warranted in a small, short term project. Before you do a baseline you need to assess its feasibility both in terms of material and human resourcing and in terms of timing and duration. Do not choose indicators for your baseline that will increase costs and time demands and reduce the likelihood that people will continue collecting them.

2.8 Considering impact – the shift from activity oriented thinking to long term changes

2.8.1 What is impact?

The term impact refers to the totality of all long-term effects of project initiatives on people, organisations, societies and physical environment brought about by a project or policy. The effects can be positive or negative, intended or unintended.

When you think about impact, you take the point of view of your target groups or other primary stakeholders and assess your project and its long-term effects on them (e.g. attitude, skill, knowledge, behaviour) and their environment. Studying the impact of your intervention, you need to look at the entire range of effects of your project, including those that were unforeseen, those that occur in the long term and those that affect people outside the target group.

Looking at impact takes you beyond the level of outputs. Your project may deliver good results but how are they used and what changes will they bring about in the long run?
Impact is always somehow compounded by many different factors. Project managers cannot be fully accountable for the impact of their projects. From looking at impact much can be learned for future interventions.

### 2.8.2 Why do you need to know about impact?

All projects operate in complex social, institutional and environmental systems. Any intervention has an influence on its immediate and wider environment. In general when we plan projects we tend to be pre-occupied with our intentions and run into the danger of neglecting the perspective of our target group and the impact we have on them when starting a project. We therefore need to take all significant consequences of a new project on its environment into account. Thinking about impact forces the planning team to take and consider the perspective of the stakeholders (user-oriented perspective).

### 2.8.3 When do you measure impact?

The type of impact that you should consider or measure depends on the project cycle phase you are in.

**Note**

It is recommended that you consider impact at the project planning stage.

1) **Planning phase**

When you are in the planning phase you are only able to take the expected positive and negative impact of your project into account. You need to closely consult with the relevant stakeholders and outside experts and assess the expected impact of the project. If your target groups and other stakeholders confirm the positive impacts, your project can be justified.

If you detect expected negative impacts of your project during your assessment, you need to reconsider the feasibility of your project plan and see whether you accept them as an affordable and necessary evil or whether you need to develop a “plan B”. Don’t take expected negative impacts too lightly. By ignoring them you may compromise the success of your project in the long run.
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How do you consider impact in your project plan?

Here are a number of questions that will help you to include impact into your planning:

- What are the intended positive and negative effects of the intervention on people, institutions and the physical environment?
- How will the intervention affect the well-being of the different stakeholder groups?
- What do target groups and other stakeholders affected by the intervention perceive to be the effects of the intervention on themselves?
- What is the impact of the intervention on your organisation? To what extent and how does the intervention contribute to capacity development and the strengthening of your organisation?
- Can you measure the expected changes during/after the project?
- What data is needed?
- Can you consider this data, if you do a baseline (reference baseline, p. 110)?

2) Implementation phase

Impact monitoring considers the project impact during implementation. Project impact monitoring information seeks to establish the impact of the activities at defined points throughout the project. This allows the project manager to respond to negative impacts and build on the positive. Impact monitoring follows up the impact indicators established during the planning phase, at the same time monitoring new and unexpected developments resulting from the implementation of project activities. Impact monitoring thus compares indicators formulated at the objectives level with information gained during the implementation of activities. Impact monitoring information feeds directly into measuring impact of the whole project during the evaluation phase.

Which questions need to be answered when measuring positive and negative expected and unexpected impact during the implementation?

Here are a number of questions that will help you to monitor the impact of your project:

- How do the expected positive and negative effects of the intervention on people, institutions and the physical environment develop during the implementation?
Does the intervention affect the well being of the different stakeholder groups? How?

- Are there any unexpected positive or negative effects of the intervention on people, institutions and the physical environment? What are they? Can you take preventive action, reacting to the negative developments during the implementation? Which? If not, are the unexpected negative developments acceptable or do you need to develop a „plan B“ or even terminate the project?
- What do target groups and other stakeholders affected by the intervention perceive to be effects of the intervention on themselves? Do they confirm the assumptions during the planning phase or are they different?
- Do you see any impact of the intervention on your organisation or other institutions?
- Does the intervention build up the capacity of your organisation or other institutions?
- Are these changes attributable to the project?
- Are there other influencing factors that are not attributable to the implementation of the project activities? Which?

3) Evaluation phase

The evaluation phase, especially when you are doing ex-post evaluations (see also Chapter 4), is the time when you need to evaluate the positive and negative unexpected effects of your project on the target group, other stakeholders and their environment. During an evaluation you need to assess whether the changes that have occurred were actually caused by your project or by other factors outside of your project. In evaluations we can look at immediate impact but even more interestingly we can also look at long-term impact. Five years after the end of your project – what positive intended changes still remain?

Which questions need to be answered when measuring positive and negative expected and unexpected impact post project?

Here are a number of questions that will help you to evaluate the long-term effects of your project:

- What were the intended positive and negative effects of the intervention on people, institutions and the physical environment?
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- What is the impact of the intervention on the organisation or other organisations that manages the project?
- To what extent can changes that have occurred during the project implementation be identified and measured?
- To what extent can the identified changes be attributed to the project?

**Note**

We recommend that you identify impact indicators at the project planning stage, and monitor their development regularly. For large programmes and projects, we recommend you conduct an impact evaluation to review long term positive and negative effects.
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2.9 Reviewing the project design against cross cutting questions and quality criteria

Before you finish your project planning, you need to check that you have considered some of the CBM cross cutting issues. A useful checklist is outlined below:

Check list of cross cutting issues

- How do you consider gender issues in your planning?
- How will your project link with other organisations/service providers/man date fields?
- How have you considered environmental issues in your project plan?
- How does the project take the local socio-cultural norms and attitudes into account?
- How will the project promote more equitable distribution of access and benefits of services?
- In which way does your project contribute to the integration of people with disabilities in societies?
- How does your project promote child protection?
- How did you use participation in your planning?
- Are the technologies you have introduced into the project appropriate to the local context?
- Have you considered national policies and poverty reduction strategies in your project plan?
- What are the benefits/services that will last beyond the end of the project?
- How have you considered potential negative side effects your project?
- What evidence do you have that your organisation has sufficient resources to provide services in the long term?
- Have you planned an evaluation at the end of the project implementation?
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2.10 The final step – testing the logic of the project plan and logframe

2.10.1 How to you test the logic of your planning and identify gaps?

Once you have completed the logframe, it is important that you check the logic behind your planning and see whether there are still gaps in your project plan. This is very easy if you follow the “if – then” principle while checking the content of the logical framework:

- IF you undertake all activities AND the assumptions hold true, THEN you will create the results
- IF you create the results AND the assumptions hold true, THEN you will achieve the project specific objective
- IF you achieve the specific objective AND the assumptions hold true, THEN you will contribute to the overall objective

In case you have identified gaps, you need to rethink your planning and add those components to ensure that your project plan is stringent.

The figure below illustrates the logic of the logframe.

Figure 25. Testing the logframe
Guideline for developing a logframe

- The project needs to have one clear overall objective
- The overall objective is outside the management responsibility. Your project contributes to coming closer to the achievement of the overall objective
- The specific objective of your project needs to be concise and clearly stated
- The results need to contribute to the achievement of the specific objective
- The activities are the action strategy for achieving the project results
- The logframe should be simple and no longer than 2-3 pages. Detailed background information is included in the project plan and activity and resource schedule
- The logframe is a living document that need to be reviewed during the project implementation on a regular basis and adapted in case of a change of strategies in the project planning
- Indicators you define should measure the achievement of the results, specific objective and overall objective of your project should be easy to collect and not mean extra effort and costs to the project team.
- Indicators should be SMART (Specific, Measurable, Achievable, Realistic/Relevant and Timebound) answering to the questions who/what (quantity/quality)/when and where?

2.11 Some essential things to remember

This final section summarises some of the essential components you have just read about to help you in during the project planning process. We recommend that you:

- Use the problem tree/analysis as a basis for the identification of your project overall objective, specific objective and results.
- Remember that you can’t do everything. Therefore, you should consider your expertise, resources, mandate and activities of other stakeholders in the project catchment area.
- Think about measuring success at the start of your project. Therefore think about the most essential indicators.
- Should be realistic in you planning and not spread yourself too thinly.
- Are not alone in this process. There are no silly questions, and you should ask those who will actually be affected and/or implement the project activities for their input.
You can use the planning checklist below to remind you of some of the most important things to do in the project planning process.

**Project planning checklist**

- ✔ Have you referred to your pre-project analysis findings before embarking on project planning?
- ✔ Who are the stakeholders you need to involve in the planning of the project?
- ✔ What is the overall objective to which the project contributes?
- ✔ What is the specific objective of the project?
- ✔ What are the results of the projects to realise the specific objective of the projects?
- ✔ Is the project strategy relevant to the target group?
- ✔ What is the expected positive and negative impact of your project?
- ✔ Have you considered assumptions?
- ✔ What are the activities to achieve the project results?
- ✔ What are the major milestones during the project implementation?
- ✔ Which indicators prove the successful implementation of the project?
- ✔ How often will you collect the information, and where will you find it?
- ✔ Have you consider the quality criteria and cross cutting issues outlined on p.116?
- ✔ Did you check the internal logical of the project plan once again, ensuring that there are no gaps?
Chapter II: The project planning process

Recommended reading and reference list

Project cycle management


Logical framework


Chapter II: The project planning process

Monitoring and evaluation
