TRAINING MODULE

on Regional Project Identification

Funded by Mekong-Republic of Korea Cooperation Fund

Location:
Mekong Institute, Khon Kaen, Thailand

Date: 14 – 18 August 2023

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Introduction

Background

Mekong Institute (MI) is an intergovernmental organization that promotes regional development, cooperation, and integration across the Mekong region by working closely with the governments of Cambodia, P.R. China, Lao PDR, Myanmar, Vietnam, and Thailand. To further advance sub regional cooperation, Republic of Korea established the Mekong–Republic of Korea Cooperation Fund (MKCF) in 2013 following the Han River Declaration in 2011.

The Mekong Korea Cooperation Fund is a mechanism that provides project grant to support regional initiatives fostering cooperation and integration in the Mekong region for shared benefits across five Mekong countries and the RoK. Projects could be initiated and led by a single organization in one country, with implementation encouraged to involve other Mekong countries. Regardless, projects are meant to fall under seven priority areas to address national issues as well as regional challenges.

Mekong Institute, as the Fund Coordinator of MKCF, has been tasked to announce, evaluate, and select project proposals prepared and submitted from the Mekong countries. MI also provides guidance to overall implementation, documentation of results, and outcomes sharing of these projects to integrate, replicate, and upscaling them into larger program interventions.

To boost the regional nature of MKCF projects and to realize the intended shared benefits through this funding mechanism, MI recognizes the need to enhance the institutional capabilities of the Mekong countries, particularly institutional networking and developing projects that address emerging transboundary issues. It is under this context that Mekong Institute is implementing a three-year project on **'Capacity Building on Regional Project Design, Implementation, Monitoring & Evaluation of MKCF projects'** (2023-2026) to enhance capacities of eligible partners under the MKCF program on whole project cycle management with systematic M&E to reinforce regional cooperation and integration among the Mekong countries and the RoK.

The Capacity Building Project of MKCF

One of the expected outcomes from the project are enhanced capacities of project managers and personnel to develop, implement, monitor, and evaluate regional development projects that achieve desired results within budgeted costs in the planned timeframe. Under this overarching goal, MI plans to conduct a ***Regional Project Identification Training*** to highlight critical analysis of regional issues and to design, plan, and develop projects that ultimately benefit Mekong region and promoting sub regional cooperation in seven priority sectors.

Moreover, the capacity building project will develop a web-based M&E system for effective project management and timely communication of project results. During the course of developing the capacities of project implementers in project design and planning, the regional project identification training will also help lay the foundation of this upcoming web interface of M&E

with focused introduction and discussion in project M&E to gauge and surface needs for better users' experience and participation.

Training Design

Objective

The objective of the Regional Project Identification training is to develop participants' capacity to identify and develop regional development projects that address issues of the seven priority sectors of the MKCF in the Mekong region.

To achieve the set objective, the training course will focus on developing projects underlining regional cooperation and addressing regional challenges including M&E design. The final outcome of the course will be regional projects (for each sector) developed by cross country participants groups in similar sectors.

Number and Target Participants

This course is designed for 30 project development and implementing professionals from six countries (Cambodia, Lao PDR, Myanmar, Viet Nam, Thailand (CLMVT), and RoK, Five participants for each country). The criteria of the participants are;

- Mid-level officials of organizations representing seven priority sectors of MKCF: (1) Culture and Tourism, (2) Human Resources Development, (3) Agriculture and Rural Development, (4) Infrastructure, (5) Information and Communication Technology (ICT), (6) Environment, and (7) Non-traditional Security Challenges;
- Master degree or equivalent in development studies, economics, management, environment, and other relevant disciplines
- At least 5 years' experience in implementation of projects, developing project proposals, evaluation of projects, etc
- Experience of working in Mekong/ASEAN countries specially in the development sectors is desirable
- Able to communicate (speak, understand, read and write) in English is essential;
- Committed to attend the entire training course;
- Interactive and participative at the training;
- Maintain effective coordination with the project team at MI.

Additionally, it is recommended that participants have over 5 years of experience working in one (or more) of the seven priority sectors and 3 years or more in international/regional cooperation

Duration

The training will take place in 5 consecutive days (i.e., one-week, Monday to Friday).

TRAINING MODULES

Module 1 Regional Development and Regional Project

Learning Objectives:

The trainees should be able to do the following:

- Have an overall view of regional development in the context of ongoing Mekong-RoK cooperation frameworks
- Understand new trends of development in Mekong region and main characteristics of regional projects
- Identify internal and external opportunities and challenges (SWOT) in seven priority areas

Overview: The context of Mekong region, including its development trends and cooperation needs, is the backbone of developing and implementing relevant projects that ultimately foster regional development and cooperation for the benefits of Mekong countries and their people. By taking a broad view of this context and recognizing this contextual background, projects that will be developed as interventions for change under the support of cooperation framework such as the Mekong-Republic of Korea, can be better aligned with overarching programmatic goals. It will also inform critical project design processes and activities such that project outcomes can contribute more directly and effectively towards regional needs and priorities.

Module 1:

Regional development and regional project
with reference to Mekong region and Mekong RoK Cooperation Plan of Action, KASI

- **Session 1.1** Mekong RoK Cooperation Plan of Action, Korea-ASEAN Solidarity Initiation (KASI)
  - Mekong-RoK cooperation framework including KASI and MKCF
  - Seven priority areas in the Mekong-RoK Cooperation Plan of Action (2021-2025)
- **Session 1.2** Trends of regional development in Mekong region and key features of regional projects
  - New and emerging trends affecting local and regional environment
  - Opportunities and challenges from external environment in seven priority areas
  - Characterization and examples of projects that facilitate regional cooperation and development
- **Session 1.3** MKCF M&E Concept

Module 2 Project Design – Problem identification, Goal Setting and Logical Framework

Learning Objectives:

The trainees should be able to do the following:

- Learn about problem analysis, objective setting, and logical framework and use each of the tools in project design for regional project development

Overview:
A main component of situation analysis is the needs or problems identification and analysis. Following an understanding of the broader context in the overarching program and the region, with/before roles of pertinent stakeholders defined, key issue(s) or problem(s) will be identified. The next step is to analyze the problem's underlying causes and their effects, in order to propose targeted interventions to address them. The process of analyzing problems is the mirror image of setting goals where current issues (negative) are reversed into future (positive) state deliberately. After setting up realistic goals within reasonable scope, project design will be completed with a clear logic of the intervention – usually depicted visually by a logical framework or theory of change.

Module 2:

Project Design – Problem identification, goal setting and logical framework

- **Session 2.1** Current Situation Analysis
  - Problem identification
  - Process of problem analysis and problem analysis diagram
- **Session 2.2** Future State Analysis/Solution Development
  - Solution development
  - Objective setting
  - Scoping of a project
- **Session 2.3** Project Intervention Logic & Results Analysis
  - Logical framework
  - Theory of Change

Module 3 Stakeholders Identification & Partnership Development

Learning Objectives:

The trainees should be able to do the following:

- Identify stakeholders in relations to an issue, objective, or a context
- Learn the process of identifying and analyzing stakeholders in project
- Assess stakeholder's interest and influence towards project and design partnership development and/or engagement strategies and actions throughout project cycle

Overview:
Project is the key responsibility of implementing agency/organization. But project concerns and can be affected by groups other than the main implementing body. These are called project stakeholders, and they will need to be involved one way or another throughout project design, implementation, and evaluation phases, to ensure perspectives, considerations, and capacities from groups with vested interest in the project can be incorporated and employed for achieving the set objectives. The engagement of stakeholders in projects is both science and art, where stakeholders' roles and motivations need to be analyzed rationally while the processes to apply findings from the analysis to bring in stakeholders (e.g., communication, facilitation, and consultation) is more of an art that requires creativity and flexibility.

Module 3:

Stakeholders Identification
& Partnership Development

- **Session 3.1** Stakeholder Identification & Analysis
  - Stakeholders in project and mapping, stakeholders identification under each sector
  - Key steps in stakeholder management
  - Various tools and techniques in stakeholder analysis process

- **Session 3.2** Partnership development/stakeholder engagement in design, implementation and evaluation
  - Stakeholder engagement in full project cycle
  - Types of engagement
  - Establishing new partnerships and/or leveraging existing partnerships with collaboration mapping tool

Module 4 Results-based Monitoring & Evaluation System

Learning Objectives:

The trainees should be able to do the following:

- Understand concepts and structure of results-based M&E system
- Apply learning of M&E system to sample MKCF project
- Identify and provide recommendations in areas to improve in developing and using a project M&E framework

Overview:

To ensure a project is implemented as designed and planned, with possible corrective actions during the course, project monitoring plays a key role as a cross-cutting theme of project management. Equally important though happening less often is evaluation that takes aim at tracking higher levels of project results, i.e., outcomes and impacts. Built upon levels of results formulated in project design phase, the results-based Monitoring and Evaluation (M&E) system makes the project alive and active with constant and periodic examining of project progress by collecting data against measurable indicators. A M&E framework illustrates the different elements of the system while an M&E plan is essential to develop and have from the onset of project to guide subsequent tasks in feeding information to the system.

Module 4: Results-based Monitoring & Evaluation System	■ **Session 4.1** – Key concepts of results-based M&E systems – M&E framework structure, results chain – Key elements and standards of an M&E system

Module 5 Developing a Regional Project with results-based M&E framework

Learning Objectives:

The trainees should be able to do the following:

- Obtain information about available resources to develop regional projects under MKCF
- Understand the structure and the requirement of concept paper under MKCF and assign resources and efforts to developing it
- Draft a concept for regional development and cooperation project with M&E framework and elaboration of various components of project design outputs

Overview:
This session puts learning into practice through development of an actual regional project concept. Before working into respective groups on this assignment, specific requirements including formats, assessment criteria, and other pertinent information of the MKCF call of concepts will be shared to guide trainees into shaping their concepts in a quality and conforming manner. At the same time, supportive resources that are available for project developers to access will be introduced to enhance exchanges and collaborations across sector, country, and projects.

Module 5:

Developing a Regional Project with results-based M&E framework

- **Session 5.1** Project design requirement and resources
  - MKCF project design (concept paper) requirement
  - Available resources
- **Session 5.2** Working in seven groups (for each priority sector)
  - Developing document of concept paper for regional project with outputs from previous modules, including stakeholder engagement and partnership development, problem identification, goal setting, logical framework, and results-based monitoring system

Module 6 Presentation of Regional Project Concept in seven sectors

Learning Objectives:

The trainees should be able to do the following:

- Develop and present regional project concept in seven sectors following MKCF's requirement

Overview:
The final product of the training, i.e., concept paper, will be packaged and presented to all participants and MKCF team for timely feedback and critique for possible improvement. While the finished concept is a testimony of learning for the participants, it is also an insightful demonstration of the capacity levels of project proponents and implementing agencies in developing regional projects under the context of interest.

Module 6: **Presentation of Regional Project Concept** in seven sectors	■ **Session 6.1** – Presentation of regional project concepts by 7 sectoral groups – Comments and suggestions to improve by resource persons, MKCF team, and other participants

CONTENTS FOR EACH SESSION

Module 1: Regional Development and Regional Project

Session 1.1: Mekong-RoK Cooperation Framework

Topics:
- Development and Cooperation in the Mekong Region
- Korea-ASEAN Solidarity Initiation (KASI)
- Mekong-RoK Cooperation Fund (MKCF)
- Seven priority sectors and indicative activities in the MKCF Plan of Action (2021-2025)
- Regional project characteristics

Summary: This session introduces the context – the Mekong region and cooperation mechanisms within the region, behind which projects will be developed for development and cooperation under the call of MKCF. Seven priority sectors under the MKCF Plan of Action (POA) 2021-2025 form the larger program objectives where each project under MKCF should contribute to and align with. Against this background, participants also begin to situate themselves under the roles and functions within their respective agency/organization and country context.

Key Words: Cooperation mechanism, regional cooperation, seven priority sectors, Plan of Action 2021-2025, regional project

Objectives: To get familiar with
- an overall view of regional development and cooperation in the context of ongoing Mekong-RoK cooperation frameworks
- the larger program (MKCF) objectives for projects to be developed to contribute to and align with

Outcomes: Participants will review and renew understanding of selected framework/strategies guiding and supporting regional development and cooperation in Mekong region, and remind themselves of their contribution with the roles and capacities to participate in them

Methods: Presentation delivered by MKCF (MI) team and RP; discussion facilitated by MKCF team and RP; personal reflection exercise

Materials: PPT, Photos, Flip charts (White board)

Contents:

– **Development and Cooperation in the Mekong Region**

The region of Mekong, comprises of five countries of Cambodia, Lao PDR, Myanmar, Thailand, and Vietnam, has come together in the last three decades and jointly made significant achievements in an array of sectors and brought economic growth through substantial efforts in fostering regional connection and integration.

Impressive outcomes have been made, including under the program supported by the Asian Development Bank[1], with "connectivity dramatically enhanced by close to 12,000 kilometers (km) of new or upgraded roads and about 700 km of railway lines. Nearly 3,000 megawatts of electricity generated, and over 2,600 km of transmission and distribution lines now provide electricity access to about 150,000 new households". The program also facilitates transport and trade flows, strengthen agriculture, develop urban areas, and promotes the GMS as a single tourist destination. Trade between GMS countries has grown from $25.6 billion in 2000 to $639.4 billion in 2020. Foreign direct investment into the GMS has averaged $26.9 billion a year between 2010 and 2019. Close to 80 million international tourists visited the region in 2019, generating receipts of $101 billion.2 The Program has reduced travel cost and time, as well as increased the movement of goods and people across land routes in the subregion, improved agriculture productivity, and created additional jobs. Furthermore, it has advanced community building through initiatives to check the spread of communicable diseases, protect the subregion's rich biodiversity, and mitigate the impacts of climate change. The Program has improved natural resource management of 2.6 million hectares in seven transboundary landscapes.

Nevertheless, the region is now faced with grave challenges, the worse since it has been united, brought on by the coronavirus disease (COVID-19). The global pandemic has negative impacted and jeopardized years of progresses made such as the above. It is a time as urgently as ever for the region to establish longer term collaboration and strengthen current joint forces to confront the structural damage incurred and in the path of steady recovery in all aspects from the pandemic.

- **Korea-ASEAN Solidarity Initiative (KASI)[2]**
  - The Republic of Korea views ASEAN as a key partner for building peace and shared prosperity in the Indo-Pacific, and in this context announced the Korea-ASEAN Solidarity Initiative (KASI) as a regional policy tailored to ASEAN with the framework of the Indo-Pacific Strategy. Also Korea would build on the existing solid partnerships spanning trade and socio-economic cooperation towards fostering a comprehensive and strategic partnership with ASEAN.
  - Other relevant information on this initiative

- **Mekong-RoK cooperation[2]**
  - Introduction of the Plan of Action (POA) 2021-2025) for the implementation of Mekong-Han River Declaration seven priority sectors

[1] The Greater Mekong Subregion Economic Cooperation Program Strategic Framework 2030, Asian Development Bank, September 2021
[2] The Mekong Institute website, www.mekonginstitute.org

- The Plan of Action (POA) 2021-2025 under the Mekong-RoK Cooperation framework between the five Mekong countries (Cambodia, Lao PDR, Myanmar, Thailand and Viet Nam) and the Republic of Korea (RoK) serves as the guideline for the Mekong countries and the RoK (the Partner countries) by setting specific goals and measures for the next five years (2021-2025) to build a Partnership for People, Prosperity and Peace, as proclaimed in the Mekong-Han River Declaration adopted at the first Mekong-RoK Summit, on 27 November 2019 in Busan, RoK.
- The seven priority areas under Plan of Action 2021-2025 are:
  - Culture and Tourism
  - Human Resource Development
  - Agriculture and Rural Development
  - Infrastructure
  - Information Communication Technology (ICT)
  - Environment
  - Non-traditional Security Challenges

– **Indicative Activities under seven sectors**

- Description of the seven sectors will be provided, explaining the key points and indicative activities along with examples of projects that contribute and align to the Plan of Action 2021-2025

– **Personal reflection exercise: alignment of competence, job functions and roles with regional context and sectors**

- Participants will draw on presentations given on regional development and program background to reflect on personal experience, competence and job mandates in relations to and in support to these efforts.
- The following competence model provides a loose guide to the reflection exercise:
  1. Technical – These are often referred to collectively as the ‘science’ behind project management. Can the project manager identify, select and employ the right tools and processes to ensure project management success?
  2. Leadership/Interpersonal – Often referred to collectively as the ‘art’ of project management. For example, how does the project manager communicate, inspire, and resolve conflict?
  3. Personal/Self-Management – The project manager’s ability to self-manage. For example, can the project manager effectively prioritize, manage time and organize work?
  4. Development Sector Specific – The ability to apply the technical, leadership/interpersonal and personal/self-management competencies in the context of development projects. For example, can the project manager identify, select and employ the right tools and processes that are unique and specific to the development sector?

• **Technical**
✓ Proactively manage scope
✓ Comprehensively identify the activities required for project success
✓ Manage the overall schedule to ensure work is on time
✓ Define and collect metrics to measure project progress
✓ Identify, track, manage and resolve project issues
✓ Proactively disseminate project information to all stakeholders
✓ Ensure that project deliverables are of acceptable quality
✓ Identify if and when changes need to occur and the impact of those changes on the project
✓ Plan and manage the budget and the expenditure of the project
• **Leadership/Inter-Personal**
✓ Vision the 'big picture' of a project within an organization portfolio
✓ Champion the project (promoting buy-in)
✓ Communicate vision – setting reasonable, challenging expectations
✓ Provide timely and helpful performance feedback to team members
✓ Facilitate a productive team environment
✓ Communicate proactively (verbal and written), including active listening
✓ Motivate team members to willingly follow direction and achieve goals
• **Personal/Self-Management**
✓ Organizational skills
✓ Attention to detail
✓ Ability to multi-task
✓ Logical thinking
✓ Analytical thinking
✓ Self-discipline
✓ Time management
• **Development-Specific**
✓ Understand development sector values and paradigms (or mode of operation)
✓ Understand the different stakeholders involved in development projects
✓ Understand and navigate complex development environments
✓ Work effectively with an array of implementing partners
✓ Cope with the unique pressures of development environments
✓ Exhibit cultural sensitivity

- Next, ask participants to write down the individual job descriptions of their positions and the function/mission of their agency/organization.
- The exercise outputs will be set aside for later reference and subsequent exercises.

Session 1.2: Trends of regional development in Mekong region and key features of regional projects

Topics:
- New and emerging trends affecting local and regional environment
- Opportunities and challenges from external environment in seven priority areas
- Characterization and examples of projects that facilitate regional cooperation and development

Summary: This session introduces the new and emerging trends affecting local (national) and regional environment, especially after the global pandemic, in order to link the broader context (regional situation) to national strategies and needs. Incorporating regional sectoral priorities identified from the overarching program of MKCF and Mekong-RoK cooperation (from session 1.1), this session will zoom in to analyzing opportunities and challenges under the seven sectors from a regional perspective. This session will also present examples of projects that illustrate and underline regional cooperation and development.

Key Words: Emerging trends, opportunities and challenges, regional projects

Objectives: To be able to
- Understand new trends of development in Mekong region
- Recognize the main characteristics of regional projects
- Identify internal and external opportunities and challenges in seven MKCF priority sectors

Outcomes: Participants will get familiar with emerging trends of regional development and draw linkage to national issues and priorities in seven priority area, analyze opportunities and challenges faced in seven sectors, as well as distinguish projects that advance regional development and cooperation goal

Methods: Presentation delivered by RP; group discussion and exercise, class gallery of regional projects

Materials: PPT, Photos, Video clips, Flip charts (White board)

Contents:

– **Trends of regional development**

As described in previous session on demand for continued and strengthened regional cooperation, the emerging trends in the Mekong region are underscored by the aftermath and road to recovery from the structural implications caused by the pandemic:

- risk of pandemics

- weaker global growth and the threat to free trade
- persistent pockets of poverty and increasing in-country inequality
- severe environmental challenges and threats from climate change, disaster events, and pollution
- technological change and digitalization
- evolving demographics
- rapid urbanization.

– **Group discussion**

- In groups, participants will discuss about specific challenges they can identify under the emerging trends presented, by giving examples and descriptions drawn from their own contexts.
- The groups will also be asked to add other emerging trends in regional development in the list.

– **Mapping of regional trends, national priorities and seven sectors of MKCF**

- From the last exercise, participants will be engaged in a mapping activity to draw linkage between regional trends and national priorities (known to the extent by the participants in their respective country agency/international organization's roles).
- Furthermore, the linkage will be extended to indicative objectives under the seven sectors of MKCF.
- The MI (MKCF) team and RF will join the groups in this exercise to facilitate and provide insights on the mapping.

– **Opportunities and Challenges of external environment (region, country, sector)**

- Based on above mapping exercise, groups will be divided according to regional trends, country priorities, or sectors. Participants are free to join any group based on their own preference and knowledge.
- A SWOT (Strengths, Weakness, Opportunities, and Challenges) analysis will be conducted with participants in each group brainstorm opportunities and challenges faced in the external environment.
- Strengths and weakness can be added after the brainstorming of opportunities and challenges from last session's personal reflection activity.
- Each group will present their SWOT outputs to the class.

– **Gallery of regional project examples**

- Selected sample projects for regional development and cooperation will be posted in the venue for participants to walk and view in a gallery format.
- After the gallery walk, participants will share their observations and findings related to the various features of a regional project. RP will facilitate the process and provide synthesis of key characteristics in the end.
- Key characteristics of regional project:
    - By implementing partners/agencies/organizations **(partnership in project implementation)**
    - By project activities **(other agencies/organizations take part in activities during project implementation)**
    - By beneficiaries **(beneficiaries are from more than one country)**
    - By objectives/goals **(clear indication and achievement of goals as outlined in regional priorities and programs)**

Session 1.3: MKCF M&E Concept

Topics:
- MKCF M&E framework

Summary: This session gives an introduction of the M&E framework designed for MKCF. More importantly, the framework illustrates the linkage between MKCF funded projects with the larger program of MKCF through seven sectoral outcomes and impacts.

Key Words: M&E Framework, outcomes, impacts, planning, implementation, monitoring and evaluation of projects, MKCF projects

Objectives: To be able to
- Understand the concept and components in the MKCF M&E framework
- Recognize the relationship between MKCF funded projects and MKCF program

Outcomes: Participants will learn about the setup and substances of MKCF M&E and identify its connection with and implication for individual MKCF funded projects

Methods: Presentation delivered by MKCF (MI) team and RP; discussion facilitated by MKCF team and RP; personal reflection exercise

Materials: PPT, Flip charts (White board)

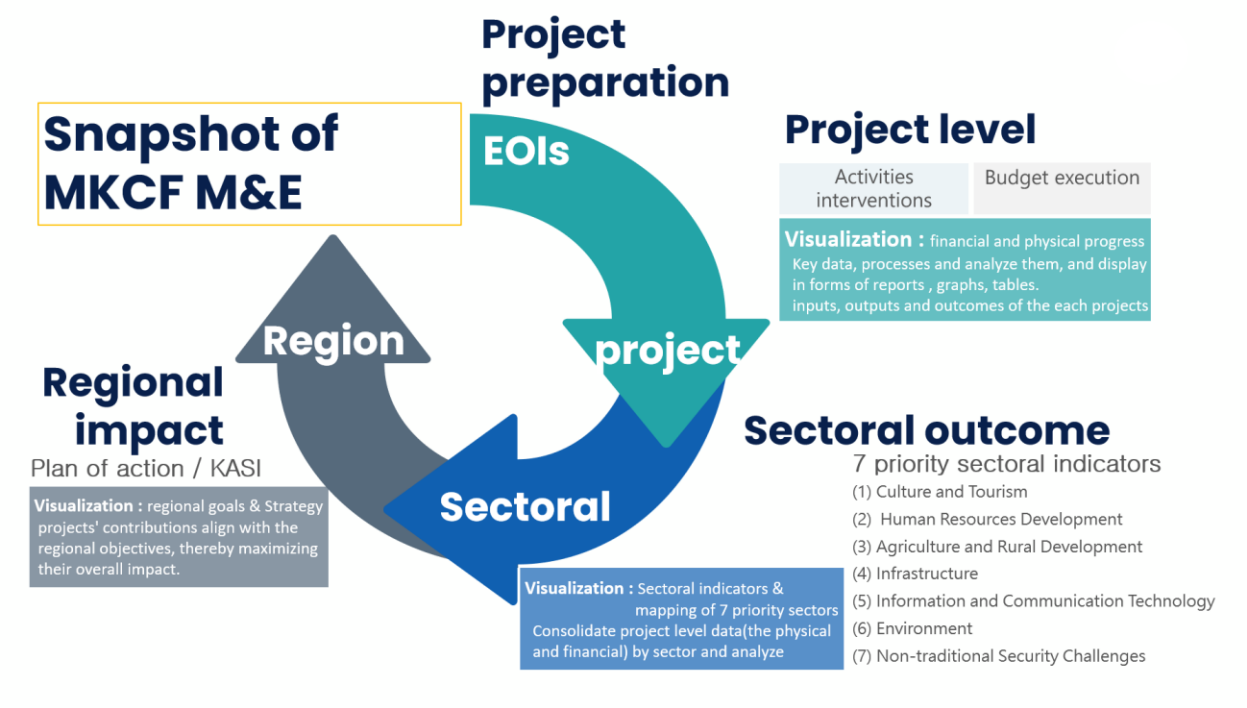
Contents:

– Background and Objectives of MKCF M&E

A well-functioned M&E is necessary to improve effective program management and accountability. Considering previously M&E of each MKCF funded projects and grants are managed in a separate way, MKCF program will put a system in place to collect proposals and initiate projects, to track real-time progress of different projects and grants in an integrated manner. The holistic system of M&E can also synchronize the currently varying standards of monitoring, data management and reporting that are used and based on different projects.

The MKCF M&E will ensure timely and reliable M&E and streamline result-based management throughout MKCF projects. Moreover, it will support program implementation with accurate, evidence-based reporting and improve program performance. In addition, it will contribute to regional learning and knowledge sharing, uphold accountability and compliance as per donor requirements.

– **The MKCF M&E Framwork**



– **Discussion**

- Participants will be asked the following questions for discussion and reflection, based on :
  - What challenges do you see or have when reporting activities implemented and outcomes reached in your project?
  - What can be improved in collecting and managing data for your project?

Module 2: Problem Analysis, Goal Setting, Logical Framework

Session 2.1: Problem Analysis

Topics:	• What is Problem Analysis • Process of Problem Analysis and Process Analysis Diagram
Summary:	This session introduces one of the two parts of situation analysis for a project conducted either before or following stakeholder analysis, i.e., problem identification and analysis. The necessary steps in the problem analysis process will be presented and practiced by using a problem analysis diagram
Key Words:	Problem identification, analysis, problem analysis diagram
Objectives:	To be able to Identify and analyze problems for project design
Outcomes:	Participants will learn the process of problem analysis and how to use problem analysis diagram to describe the causes and effects of the core problem that the project will be designed to address
Methods:	Presentation delivered by RP; group work
Materials:	PPT, Flip charts (White board), markers, color papers, scissors, tape
Contents:	

– What is Problem Analysis

Problem analysis is one of the two diagnostic processes in situation analysis. A thorough problem analysis provides an understanding of the main problems and binding constraints (e.g., economic, cultural, sociopolitical, environmental, and gender equality related) surrounding the issue or issues the project will address; and the causes of the main problems and their effects on the lives of people (including women and men of all ages, ability, socioeconomic status, and ethnicity); communities; and organizations. Once completed, a good problem analysis informs a relevant project design and provides a clear rationale for why it is important to invest in the project.

– The Process of problem analysis

- Problem analysis should be undertaken in a participatory manner, in consultation with key stakeholders identified during the stakeholder analysis (Module 2). Furthermore, stakeholder analysis should continue during the problem analysis stage.

- A good problem analysis incorporates data and information from different sources. Start with any research and data that already exist, including studies and analyses of the

issue, and documentation from previous projects addressing the same or a similar issue, especially evaluation studies. Refer also to key strategic frameworks such as the ADB country partnership strategy, national development strategies and plans, and national and subnational sector strategies and plans. Complement and validate this document-based information with information collected directly from key stakeholders and subject matter experts via interviews, meetings, and/or focus groups, and from site observations by the project team.

– **Step 1: Identify an initial set of problems surrounding the issue**

- Brainstorm a few problems related to the issue, drawing on documented data and information and inputs from key stakeholders.
- When stating a problem, ensure the following:
  (i) State the problem as a negative condition or reality, not in terms of specific things being unavailable or the solution being absent.
  (ii) Be specific and clear. For example, "rural road maintenance by district road authorities does not meet national quality standards" is better than "poor quality of maintenance."
  (iii) Ensure ownership by a stakeholder or group. Problem identification focuses on what is happening and to whom. This should involve discussions about whether particular groups are affected more than others. A good problem statement is described from the perspective of those it affects.

– **Step 2: Identify direct causes**

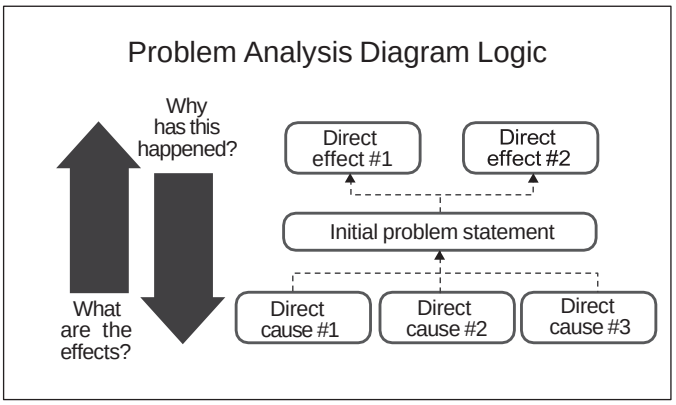
- Identify the major causes of each problem by asking "what causes this to happen?" It is often helpful to think in terms of categories of causes, such as policy constraints, institutional constraints, capacity weaknesses, or social or cultural norms.
- Repeat to identify more direct causes as problems and asking, "why has this happened?" Place the direct causes of each of these problems below. Continue to drill down until the analysis is exhausted and specific root causes are identified. The number of problems shown in the diagram is not restricted and will vary based on the nature and complexity of the issue being analyzed.

– **Step 3: Identify direct effects**

- Starting from the problems at the top of the problem analysis diagram, identify the direct effects by asking the question, "What are the effects of this problem?" for each problem statement. Formulate the answer as a problem statement and place it above the problem statement it is linked to.
- Continue to specify effects until the final effects are reached.

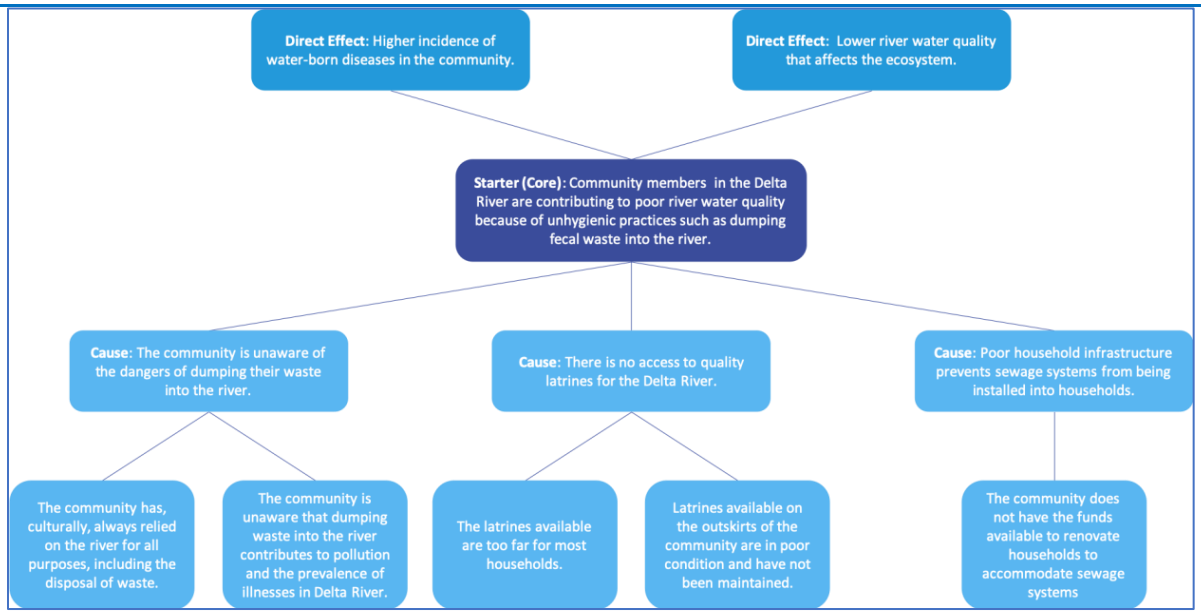
– Step 4: Review and refine

- Refine the problem analysis diagram by reviewing the interrelationships between each problem statement. To check the logic, ask the question, "Why does this occur?"



If there are two or more causes combining to produce an effect, they are placed at the same level in the diagram. Cause-effect arrows are used to connect the levels of the problem analysis diagram.

– Example of a problem analysis diagram



Group work on problem analysis:

1. Participants will discuss as a group to analyze a specific problem and develop the problem analysis diagram
2. The diagram will be used for subsequent sessions and development into a concept note.

Session 2.2: Future State Analysis/Solution Development

Topics:
- Developing solution for problem identified
- Goal setting
- Considerations on scoping the project

Summary: This session introduces the process of developing solution to address problem identified and analyzed, which constitutes the goal of a project or intervention. The session also provides considerations on defining the project scope as a range of outcomes can be possible to tackle a specific issue but there are certainly constraints (internal and external) of achieving every single one of the desired results.

Key Words: Future state analysis, Objective tree, project scope

Objectives: To be able to
- Formulate clear objectives from problems identified and analyzed for a project
- Understand the criteria in scoping of a project

Outcomes: Participants will set project objectives to address a specific problem in the context of interest

Methods: Presentation delivered by RP; class exercise

Materials: PPT, Flip charts (White board), markers, color papers, scissors, tape

Contents:

– **Solution Development**

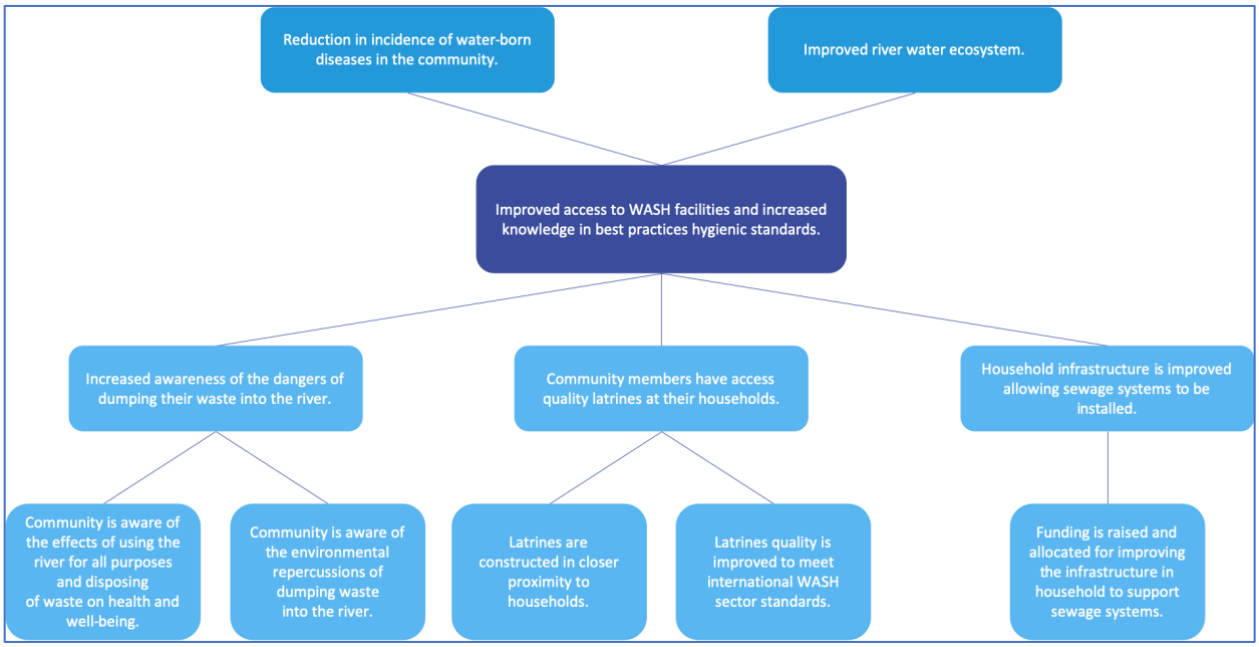
- The findings of a thorough situation analysis (align with country/region context and priorities, stakeholders and problem analysis) are the foundation from which the project team can develop the right solutions to achieve the desired development results.
- Moving from situation analysis to solution development involves identifying and analyzing desired results and scoping a package of effective solutions that is realistically implementable given the resources available.
- Like problem analysis, these steps should be undertaken in a participatory manner, in consultation with key stakeholders identified during the stakeholder analysis.

– **Goal setting by objective tree**

- Once a problem tree (analysis diagram) is completed, the next step is to develop an objectives tree that begins to identify the potential interventions that could take place to “fix” what is broken in the problem tree.
- In its simplest form, the objectives tree is a mirror image of the problem tree – where each statement in the problem tree is transformed into a positive objective statement.

While the problem tree displays cause and effect relationships, the objective tree shows the "means-to-end' relationships.

- Using the previous example, the objective tree diagram follows:



- At this point, the project should consider two critical strategic questions:
  - Which elements of the objectives tree will be included in the project intervention?
  - Which elements will not be included in the scope of the project?

– **Considerations in future state analysis**

- In practice, future state analysis might identify a broad array of potential interventions for a project, it is seldom the case that an organization can implement all the activities outlined in the future state analysis.
- At this point, the project team should consider the components described in the following table when determining which intervention(s) to pursue and what will be in scope and what will be out of scope.

Category	Guiding Questions
Needs Prioritization	What needs received the highest level of emphasis during the assessment/analysis? Addressing which needs would appear to have the highest potential for impact?
External Program Considerations	Who else is working in the proposed area of intervention? What are their program strengths? What existing activities complement the objectives tree analysis?

Appropriateness	Is the proposed approach acceptable to the target population and key stakeholder groups? For example, would a reproductive health program be appropriate and consistent with religious and cultural norms?
Institutional Capacity	What are your organization's strengths? What are your implementing partner capacity levels?
Resource Availability	Is funding available? Is there potential for growth? What opportunities exist to leverage resources?
Cost-Effectiveness	Is the rate of return for the investment acceptable?
Technical Feasibility and Sustainability	Can the proposed work be realistically accomplished? Can the work of the project be sustained and maintained over time?
Internal Program Considerations	What are the strategic priorities for your organization in the region? Country? Other? What are the program strengths of your organization? What priorities does your organization have with regard to geography? Beneficiaries? Other?
Portfolio Considerations	Does the project 'fit' within the larger portfolio of projects in the organization?

Group work on goal setting:

1. Participants will refer to and build upon the problem analysis diagram from last session to develop an objective tree
2. The objective tree will inform the next session in results analysis

Session 2.3: Logical Framework and Theory of Change

Topics:
- Logical Framework as project intervention logic
- Theory of Change

Summary: This session gives a detailed overview of the logic of a project premised on systematic analysis of stakeholders, problems, and objective setting. The logical framework is used to illustrate and present the connection between different levels of results, and how they can be achieved from one level to the next through measuring the change and taking into consideration of external factors called assumptions.

Key Words: Project intervention logic, logical framework, logical framework model, result chains, assumptions, indicators, means of verification, theory of change

Objectives: To be able to
- Understand project logic and elements of logical framework
- Present project results at different levels

Outcomes: Participants will learn how to formulate a project logical framework

Methods: Presentation delivered by RP; individual exercise

Materials: PPT, Flip charts (White board), markers, color papers, scissors, tape

Contents:

– Project Intervention Logic: Logical Framework

- Once the intervention to pursue has been identified, it is time to outline how it will lead to the outcomes desired. This is where **logical framework** comes into play.
- The **logical framework** identifies and communicates the logical relationships in a project by tracking the vertical and horizontal reasoning that connects the levels of the matrix. The relationship between the elements on each level of the logical framework illustrates the vertical logic that will result in the achievement of the project's ultimate goal.

– Basic Logical Framework Model (4-level)

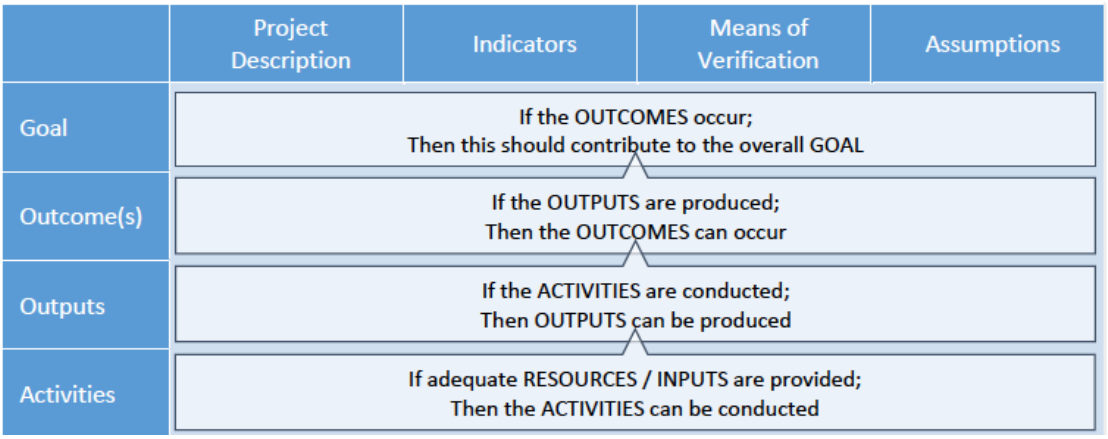
- While there are many versions of project logical frameworks, below describes a basic four-level logical framework model that includes the following deliverables:

1. **Activities** are actions taken through which inputs (financial, human, technical, material and time resources) are mobilized to produce the deliverables (training, constructing, etc.) of a project for which staff can be held accountable and which, when aggregated, produce outputs.

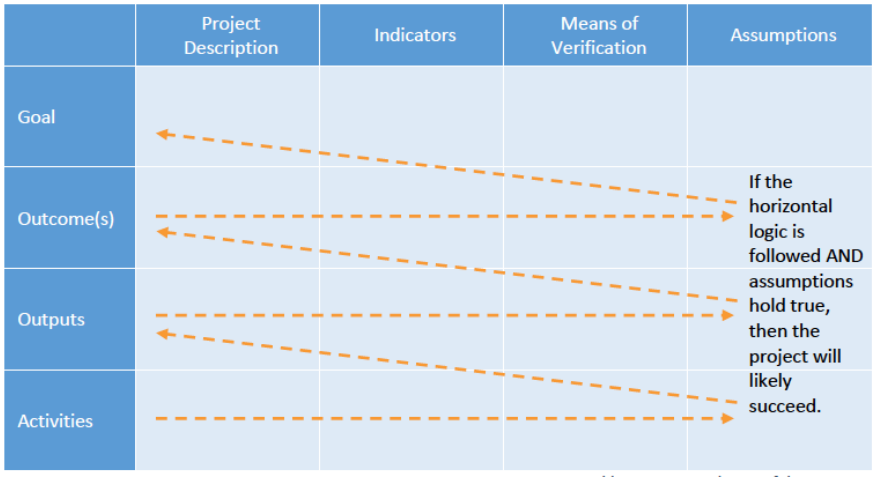
2. **Outputs** are tangible and non-tangible deliverables resulting from project activities. They include products, goods, services and changes (e.g., people trained with increased knowledge and skill; quality roads built) that aggregate and contribute to outcomes.
3. **Outcomes** are what the project expects to accomplish at the beneficiary level (e.g., use of knowledge and skills in actual practice over time; transportation of goods on constructed roads over time) and contribute to population-level changes (reduced malnutrition, improved incomes, improved yields, etc.) that aggregate and help bring about accomplishment of goals and impact over time.
4. **Goals** are the highest-level desired end results or impacts (transformation, sustainability, livelihood, well-being, etc.) to which the project contributes (the ultimate objective in many logical frameworks). An example of this would be a sector-level goal or program level outcome.

– **Vertical Logic: Chain of results**

- Most of the undertakings and control in project management lie in the activity and output levels. Logical framework ensures that if **vertical logic is sound** and your horizontal logic (to be discussed later) remains, the project outcome will be achieved.
- This intervention logic builds upon the work you did in the **Future State analysis** in that it provides a direct line from the selected intervention to contributing to the core problem.



– **Horizontal Logic: Assumptions**



- Having defined the project goal, outcomes, outputs, and activities, the next question is "What could potentially interfere with the project's vertical logic? (usually outside the project's control)' At each level of the logical framework, there are **external factors** that may affect the success of the project, these are the assumptions.
- **Assumptions** complete the horizontal logic of the logical frame and must remain true in order for the activities to lead to the outputs and the outputs to lead to the outcomes. An assumption is a hypothesis about necessary conditions, both internal and external, identified in a design to ensure that the presumed cause-effect relationships function as expected and that planned activities will produce expected results.
- **Examples of assumptions:**

Objective	Assumption
Outcome: Increased economic empowerment of farmers through improved barley crop yields.	
Output: Farmers provided with quality barley seeds to plant.	Weather conditions remain favorable for seed germination. There are no droughts or floods.

Objective	Assumption
Outcome: Improved nutrition for the most vulnerable children.	
Output: Children are provided with 3 nutritionally complete meals per day.	There are no underlying health conditions preventing children from absorbing the nutrients in the 3 complete meals per day.

- It is important to really think about the assumptions in the logical frame. If these conditions do not hold true, the success of your project will be compromised.
- Assumptions are usually **positively phrased and are directly related to your project activities, outputs, outcomes, and goal.** The assumptions are also a great way to start thinking about the risks in your project. Think of them as an **"if-AND-then"** relationship. If we complete our outputs AND our assumptions hold true, then we will achieve our outcomes.

Individual exercise on results chain:

1. From the previously formed project objective, practice formulating a chain of results including activities, outputs, outcomes and impacts.
2. Think and write down at least two assumptions connecting the horizontal logic of any part of the result chain

– An illustration of a Project Logical Framework

	Description	Indicators	Means of Verification	Assumptions
Goal	To improve the quality of river water in the Delta River.	% reduction in the presence of pollutants in the Delta River.	Water Quality Tests	No need for assumptions at this level
Outcome(s)	Improved access to quality latrines for the Delta River community.	% increase in the use of latrines by the end of the project in comparison with before the project. % of community members who express satisfaction with the distance, quality, and condition of the latrines by the end of the project.	Survey Data Focus Group Discussions with Community	There are no additional sources of pollution in the Delta River. Latrines are maintained by the municipality to ensure they continue to function at the highest quality possible.
Outputs	1.1. Quality latrines are constructed 1.2. Local municipality trained on the maintenance of the latrine. 1.3. Delta River community advocates trained on value and use of latrines.	1.1. # of latrines constructed within 50 meters of households by the end of phase 2 of the project. 1.2. # of municipality staff trained on who demonstrate knowledge of technical maintenance of the latrines by the end of the project. 1.3. # of community advocates trained on and demonstrate knowledge of the usage and value of latrines by the end of phase 1.	1.1. Engineering survey data 1.2. Training attendance sheets and pre / post assessment 1.3. Training attendance sheet and pre / post assessment.	1.1. Access to the latrines and awareness of benefits will ensure that the community uses the latrines. 1.2. Municipality staff remain in their position and transfer the knowledge of maintenance to new staff members. 1.3. Community advocates have enough power and influence to convince the community to use the latrines.
Activities	1.1.1. Latrine specifications and locations are confirmed in coordination with the engineering team. 1.1.2. Build the latrine cap and structure. 1.1.3. Install the latrine structure and conduct a quality check.	Inputs: Latrine construction materials, WASH engineer, training curricula on latrine maintenance, advocacy materials		

– Indicators: "Measure" of Change & Means of Verification (How to Measure)

- An indicator is a quantitative or qualitative measure used to describe change. For the indicator to measure change, it must have a baseline (a measure or description of

current performance of the entity and/or a comparator) as an initial reference point. Baselines must be defined at or near the beginning of a project. Performance during project implementation is measured against a target (the improvements, change or achievement expected to happen during project implementation), taking into account the baseline.

- Indicators depict the extent to which a project is accomplishing its planned inputs, outputs, outcomes and goals. They communicate in specific, measurable terms the performance to be achieved at each level of change. Indicators also help to remove vague and imprecise statements about what can be expected from project interventions.
- The following table provides guidelines for indicator development at each of the logical framework levels.

Elements	**Indicator Guidelines**
Goal – _The ultimate objective or highest-end result or impact to which the project contributes	Indicators are longer-term impacts that are not specific to a single project. Rather, they are program, subsector, or sector objectives to which several other projects and variables will also contribute. Examples: transformation, sustainability, livelihood, and well-being.
Outcomes – _What the project expects to accomplish at the beneficiary level that aggregates and help bring about accomplishment of goals and impact over time	Indicators at this level are crucial but can be more difficult to determine. Change is sought among extended beneficiaries, target populations, collaborating institutions and local partners. Examples: use of knowledge and skills in actual practice over time; increased access, reduced malnutrition, improved incomes, and improved yields.
Outputs – _The tangible deliverables resulting from project activities and which are largely under project managements control – _that aggregate and contribute to outcomes	Indicators at this level are easier to specify than at the outcome level because they represent tangible goods and services to be delivered by the project. All outputs have to be accomplished by the end of the project's implementation period and according to the schedule included in the project plan. Examples: people trained with increased knowledge and skill; quality roads built, goods delivered and services performed.
Activities – _The actions taken through which inputs are mobilized to produce deliverables for which staff can be held accountable – _and which, when aggregated, produce outputs.	Not all organizations develop indicators at the activity level. Indicators at this level are almost directly related to the description of the activity itself. Examples include: staff activities, actual expenditures compared to budget, use of equipment, training components and construction components.

- Performance Indicators should be SMART:
  - **S**pecific – Indicators must be specific and focus on the change that is expected at each level. What or who is changing?
  - **M**easurable – The indicator must be quantifiable and measurable. Can the indicator be assessed objectively and independently?
    Quantity – the expected numerical representations of what is to be achieved;
    Quality – the narrative or pictorial description of the expected achievements;
    Location – the geographic boundary of the expected achievements.
  - **A**chievable – Indicators must be attainable within the constraints of the project triangle (budget/resources, time/budget, and scope/quality).
  - **R**elevant – Indicators must accurately measure the change the project aspires to generate. Does the indicator practical and cost-effectively measure the outputs, outcomes, and/or goal?
  - **T**ime-bound – The indicator should identify a specific time and date. By when will the indicator be achieved? Can the indicator be achieved within the established timeframe?

- Means of Verification (MOV) are the sources from where we get the information to measure our indicators. Means of verification should be cost-effective and should directly measure the indicators. The best advice for indicators and MOV is to keep it simple. The more complex the indicator, the more complex (and subsequently, challenging to measure) the MOV.

– Theory of Change

Theory of Change (ToC) generally refers to mapping the pathways of change by starting from the highest-level results statements, working backward step-by-step to identify what needs to change before the situation described in the level above can be achieved or occur. It fills the gaps between what the project does and how these lead to the desired goals. Some reminders when preparing theory of change:

- Review and refine the cause-and-effect pathways ensuring there are no leaps in logic between statements.
- In each results statement, make sure to name the stakeholders involved and their changed behavior, performance, or situation.
- Often, we tend to focus on what the project must do to create the desired change. This trap of jumping to project activities should be avoided because it prematurely narrows creativity in project design down to the familiar menu of activities.
- To avoid the activities focused trap: the results statements must be changed statements. They should not say what the project is doing. For example, avoid a statement like “train staff in organization X”; instead use “staff of organization X have improved knowledge of Y topic.” This approach spurs innovation by encouraging teams to brainstorm various strategies for bringing about the desired changes.

Module 3: Stakeholders Identification and Partnership Development

Session 3.1: Stakeholder Identification & Analysis

Topics:
- Stakeholders in project, stakeholders identification under seven sectors
- Importance of stakeholders analysis
- Key steps in stakeholder analysis
- Various tools and techniques in stakeholder analysis process

Summary: This session introduces the concept and importance of stakeholders in project and how to identify and assess their roles affecting or affected by the project to ensure project goals and outcomes can be achieved as designed and planned. This session covers the key processes and activities including various tools and techniques in stakeholder analysis.

Key Words: Key stakeholders, stakeholder identification, stakeholder analysis process, analysis tools

Objectives: To be able to
- Identify stakeholders in relations to an issue, objective, and context
- Learn the process of identifying and analyzing stakeholders in project
- Assess stakeholder's interest and influence towards project

Outcomes: Participants will learn how to identify and assess stakeholders from the perspective of an issue or project for subsequent management and engagement throughout project cycle

Methods: Presentation delivered by RP; class exercise and practice of using tools

Materials: PPT, Flip charts (White board), markers, color papers, scissors, tape

Contents:

- **Stakeholders in project**

Stakeholders play an important role in projects and can make or break our interventions despite how well-designed and intended they are. Ideally, all stakeholders (intended beneficiaries and other parties) should be involved in a participatory process to determine the range of existing problems and decide which of them the project should address. The stakeholders should also be involved in determining the solutions the project will deliver and the targets the project should achieve.

At the beginning of a project, or the project design phase, we will start the comprehensive assessment of who the project stakeholders are, their power and influence, and explore ways to engage them. The stakeholder analysis will be a launching point for a management and engagement strategy that is developed and implemented in later phases of the project.

- **Importance of stakeholders analysis**

Experience shows that when stakeholders are overlooked or misunderstood in the project, or their interests are poorly engaged or excluded during a project, it can often result in unexpected and undesirable outcomes. Projects that take the time to identify and understand stakeholders through a group process, benefit from:

- A clearer understanding of the individuals, groups and institutions that will be affected by and should benefit from project activities;
- A better indication of the capacities of these stakeholders;
- A more informed understanding of who could influence and contribute to the planning and implementation of the project
- A more committed group of project stakeholders to implementing a design they helped create.

- **Key steps in stakeholder analysis**

Stakeholder analysis is a diagnostic process that enables the project team, working closely with project stakeholders, to identify key stakeholders, including intermediaries and intended beneficiaries, their relationships to each other, and their level of interest. As it is best to have project stakeholders to join this process, this should be the first step when preparing any project.

Step 1: Stakeholder Identification (pertinent to MKCF seven sectors)

First step of the stakeholder analysis process is identifying stakeholders. All projects involve several key stakeholders who are defined as the agencies, organizations, groups, or individuals that have a direct or indirect interest in the project and the development problems it seeks to address. Stakeholders can also be those who may affect, be affected, or perceive to be affected by a decision, activity, or result of the project. In general, stakeholders may be categorized as government, civil society (including citizens and CSOs), and the private sector.

Based on the issue(s) the project will address (***namely under the seven sectors of MKCF***), consider the potential geographic areas and beneficiaries that the project could assist. The project could consider, for example, the issues of transport in rural areas, elderly care, or urban air quality. Identify ***all the stakeholders involved in the issue(s)***, grouping them by

category (e.g., intended beneficiary groups, public sector organizations, CSOs, advocacy groups, private companies, and development partner agencies).

Be sure to distinguish among the different subsections of the stakeholder group as relevant to the context. Specifically, it is important to identify marginalized groups and subgroups; for example, an elderly population may need to be differentiated by socioeconomic status, ethnicity, and/or gender.

To help with identifying the vast array of stakeholders related to your project, these are categories of stakeholders:

Primary Stakeholders –

- Who stands to be directly affected by the program, either positively or negatively?
- Whose approval or input is needed before a program can move forward?

Secondary Stakeholders –

- Who stands to be indirectly affected by the program, either positively or negatively?

Tertiary Stakeholders –

- Who is not directly or indirectly affected but can have significant impact (either positive or negative) on the program by influencing others?

Step 2: Stakeholder interests and concerns

Determine the interests of ***each group with reference to each issue*** (e.g., elderly care, youth skills development, disabled inclusion). Record how and why they are involved, the level of intensity of their interests and concerns, their expectations, and their potential to benefit or suffer as a result of any changes to the context or situation surrounding the issue.

Some questions to ask: What might they gain or lose through the project? What are the stakeholders' expectations (both positive and/or negative)? What are potential roles for stakeholders? What capacities do they hold? Are they supporters or blockers?

Step 3: Stakeholder problem

Determine ***which problems each group perceives are surrounding each issue*** (e.g., What are the problems associated with elderly care?). Record clear problem statements that describe the effects on those affected (e.g., for the issue of transport in rural areas, the problem should be stated as "travel is long, uncomfortable, and expensive" [correct]; rather than "no road maintenance system" [incorrect]).

Step 4: Stakeholder resources

Identify the resources—financial and nonfinancial—each group has put, or could raise, toward each issue. This includes resources to support or prevent change. Formal organizations have both financial and nonfinancial resources, while population and civil society groups have predominantly nonfinancial resources. These can include labor, political influence, votes, readiness to strike, and public pressure.

Step 5: Stakeholder mandates

List the mandates or formal authority that stakeholders must carry out in a particular function, as appropriate. Generally, population groups, such as low-income groups, farmers, and women, do not have mandates.

– **Various tools in stakeholders analysis**

There are various tools to support project teams in conducting this process. Below are several examples.

I. A simple stakeholder analysis table[3], which is useful for compiling and communicating the information for each step.

Figure 11: Stakeholder Analysis Table Template

Stakeholder (i)	Stakeholder's Interest (ii)	Perceived Problems (iii)	Resources (iv)	Mandate (v)

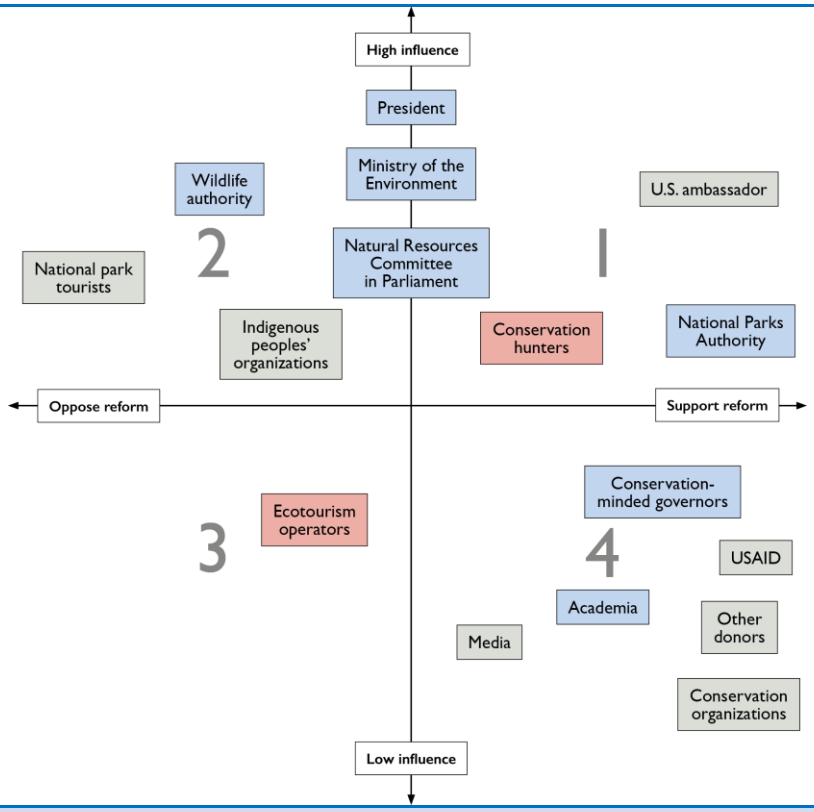
II. Stakeholder Analysis Map[4]

A stakeholder analysis map can be used to visualize how stakeholders compare in terms of their influence and interest in a given program. The horizontal axis is used to define the stakeholder's position regarding an issue.

Below figure shows an example of a stakeholder analysis map. The horizontal axis represents support of or opposition to a strategic approach and the vertical axis represents the level of influence of the stakeholder. Blue boxes designate government actor; pink boxes designate private sector actors; grey boxes designate other stakeholders.

[3] Guidelines for preparing and using a design and monitoring framework, Asian Development Bank, October 2020, available under the license available under the Creative Commons Attribution 3.0 IGO license (CC BY 3.0 IGO) https://creativecommons.org/licenses/by/3.0/igo/

[4] Best Practices for Stakeholder Engagement in Biodiversity Programming, USAID, September 2018



III. Venn Diagram[5]

Venn Diagrams are created to analyze and illustrate the nature of relationships between key stakeholder groups. A Venn Diagram is developed from the perspective of a single project stakeholder (or a group of project stakeholders). Each circle in the diagram identifies a stakeholder involved in the project.

The size of the circle used can help indicate the relative power/influence of each stakeholder, while the spatial separation is used to indicate the relative strength or weakness of the working relationship / interaction between different groups/organizations. Venn diagrams are commonly used as a participatory planning tool with target groups to help them profile their concept of such relationships.

IV. Stakeholder Analysis Matrix[3]

The Stakeholder Analysis Matrix uses the outcomes from the Venn Diagram (or other stakeholder influence mapping tools) to further identify, elaborate and communicate the interests, capacity and potential actions of project stakeholders. Unlike the Venn Diagram, the matrix allows a further narrative that provides additional data concerning stakeholders, their interests, their influence and potential actions to address the stakeholder interests.

[5] **Project DPro Guide** Project Management for Development Professionals Guide (PMD Pro). 2nd Edition, March 2020, licensed under the Creative Commons Attribution NonCommercial 4.0 International License. http://creativecommons.org/licenses/by-nc/4.0/

The Stakeholder Analysis Matrix is a living document that should be updated at specific points throughout the project. Decision gates are a great opportunity to get the project team together to reassess the stakeholders and ensure that they are being communicated and engaged with at an appropriate level.

Group Practice of using stakeholder analysis tools:

1. Participants will be divided into groups (according to sector/country)
2. Each group will select one of the introduced tools for stakeholder analysis
3. The group will first identify all relevant stakeholders on an agreed issue/context, then perform analysis on the identified stakeholders, and present the discussed results to the plenary.
4. Participants will be asked to reflect on their experience in the stakeholder analysis process to surface questions/concerns and facilitate peer learning across groups

Session 3.2: Partnership Development and Stakeholders Engagement in Design, Implementation, and Evaluation

Topics:
- Stakeholder analysis and engagement in full project cycle
- Types of engagement
- Establishing new partnerships and/or leveraging existing partnerships with collaboration mapping tool

Summary: This session discusses managing and engaging stakeholders for full project cycle, as well as types of engagement that can be deployed according to the relationship, capacity, and influence of different stakeholders. The session will take the results from the analysis of stakeholders (Session 2.1) and illustrate how they can be used to develop stakeholder engagement or partnership development strategy/plan for the project.

Key Words: Stakeholder, engagement, partnership development, full project cycle, collaboration

Objectives: To be able to
- Understand stakeholder engagement and different mechanisms of engagement throughout the project
- Design partnership development and/or engagement strategies and actions throughout project cycle

Outcomes: Participants will learn why and what is stakeholder engagement, how to develop partnership and/or engagement plan for an issue or project based on stakeholder analysis

Methods: Presentation delivered by RP; class exercise

Materials: PPT, Flip charts (White board), markers, color papers, scissors, tape

Contents:

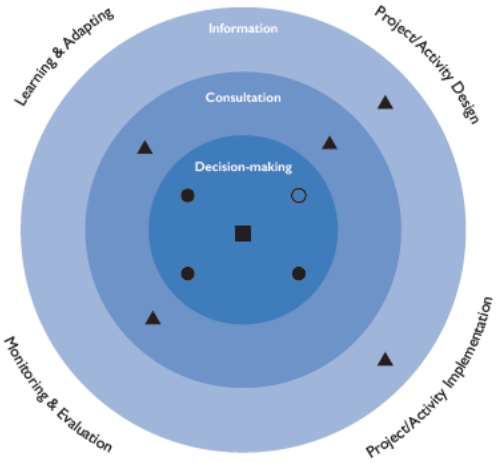
– Stakeholder analysis and engagement in full project cycle

Stakeholder engagement is the process of ***including stakeholders in an action or decision-making process***. Stakeholder engagement can bring to light the issues that matter most to those affected by a programming decision and ensures that stakeholders are represented in decision-making. Stakeholder engagement can provide program implementers with a range of viewpoints and perspectives, as well as valuable knowledge about the local social and ecological systems, which can lead to more robust program design and implementation and more sustainable outcomes.

1. Stakeholder Identification (Design)
2. Stakeholder Analysis (Design)
3. Stakeholder Engagement (Project Setup)

4. Stakeholder Communications (Project Planning)
5. Revision and Analysis (Continuously)

Stakeholder analysis and engagement should continue throughout the project cycle because it fulfills different functions at different stages. During problem identification, it serves to identify important and influential stakeholders and draws attention to how to involve them in the analytical and planning process. During project formulation, it guides design decisions and the analysis of assumptions and risks. During project implementation, it helps develop strategies to keep stakeholders informed, track their changing circumstances and interests, and plan their possible involvement during implementation.



– **Types of engagement**

Engagement ranges from stakeholders merely receiving information about an initiative to full collaborative partnerships. Different groups of stakeholders can engage in different ways through the various stages of the Program Cycle. Stakeholder engagement can be viewed along an intensity continuum, with activities generally grouped as follows:

Informing & Communicating – Participants are informed about what has already been decided or what action has been or will be taken.

Consulting – Stakeholders are consulted on preferences for alternatives, decisions, or actions in which other actors make the final decision. This can include participation in exchange for material incentives or in response to contractual obligations.

Decision-Making – Collaborative, two-way communication, and effective partnering with stakeholders in all relevant activities and phases of the decision-making process, including identifying the problem, consultation, gathering information, formulating alternatives and exploring their potential consequences, implementation, and evaluation.

- **Stakeholder Engagement Plan**

Developing and implementing a stakeholder engagement plan is about engaging the right stakeholders at the right time. While this is an ongoing activity, it requires planning and adjustment throughout the project and is not something that can be done ad hoc. Establishing a stakeholder engagement strategy during the project startup phase provides clarity on how stakeholders will be involved in various project activities and what their involvement and engagement will be. Doing this in the beginning will ensure participation and the engagement of stakeholders during subsequent phases.

- Example of a stakeholder engagement Plan:

Stakeholder	**Role in Activity**	**Interest in Activity**	**Engagement**	**Follow-up**
Who is the stakeholder?	What will they do in this activity?	What is their interest in participating in this activity?	How will we engage them to ensure their participation?	What kind of feedback and follow-up is required?
Local Municipality Official	Provide an opening speech for the project launch.	Participation will provide exposure for the municipality and official and demonstrate that they are interested in providing support for projects that will help the community.	Coordinate and communicate about the project purpose through an official letter followed by a meeting to request buy-in and participation in the launch.	Send an official thank you letter and include their role in the activity in the official press release. Have a follow-up meeting with official(s) to answer any questions and request their engagement in future activities.

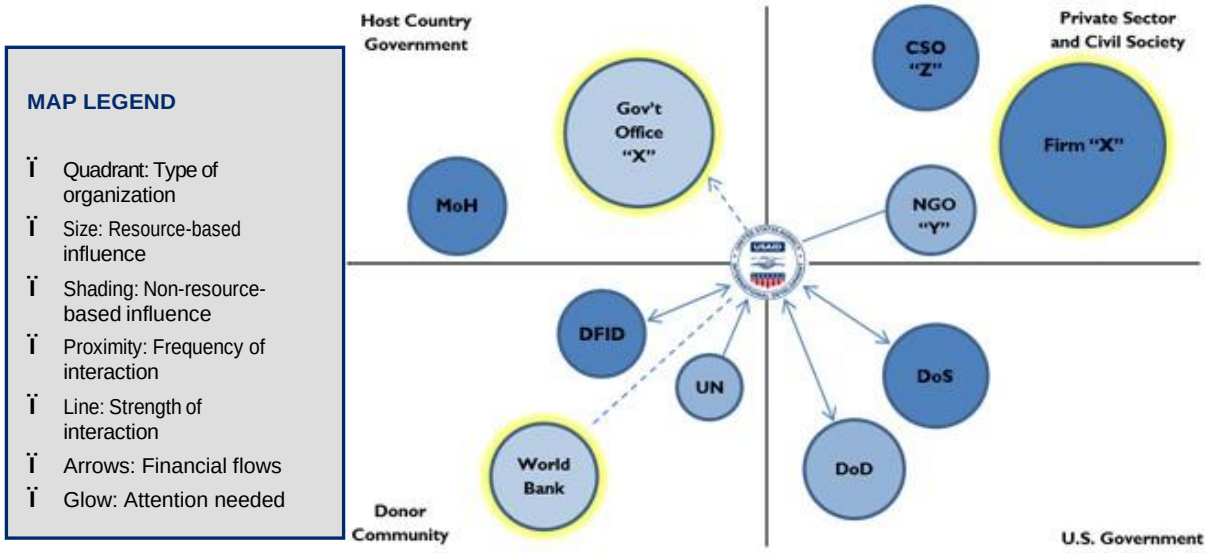
- **New partnerships and/or strengthening existing ones**

Assessing relationships can help project implementing partners identify opportunities to leverage current relationships or establish new ones to identify or advance project objectives. Two questions to ask and discuss before developing and engaging in partnerships:

1. Take stock of the current relationship – Who have we worked with in the past on similar or related topics?
2. Identifying potential new partners – Who else is already engaged on this issue?

Based on frequency of interactions and interaction characteristics of the identified partners, the **Collaboration Mapping Tool**[6] can be used and a map drawn to provide a visual result that can serve as a baseline, target-setter, and reminder of agreed-upon strategic priorities throughout implementation. Having the collaboration map printed and displayed encourages a focus on strategic use of project staff time and effort. Collaboration maps can also help coordinate efforts among various partners.

– **Drawing the collaboration map**[4]



Frequency of interaction: **determine the current status of the relationship between each potential collaborator and the project. Take each potential collaborator and score them according to how much interaction currently takes place with the project. These scores should be selected based on an open discussion among project team to share each person's perspectives. It is possible that each person has unique information that would change how they would rank the current interaction with stakeholders. Have each participating team member rank each of the potential collaborators on a 10-point scale according to the following:**

1–2 = No Interaction
3–4 = Rare
5–6 = Intermittent
7–8 = Regular

[6] Collaboration Mapping: A Facilitation Guide, USAID Learning, Evaluation, and Research Office in the Bureau of Policy, Planning, and Learning, 2015

9–10 = Constant and Consistent

Average team members' rankings for an overall score for each stakeholder and discuss the average result as a group to allow for any adjustments or to address any disagreements. On the map, this will be represented by the relative proximity of each stakeholder circle to the center—the CLOSER to the center, the more interaction/closer the current relationship. Discuss the visual representation with the group to make sure everyone understands and agrees with the results.

Interaction characteristics: **Next, for each potential collaborator, determine strength and quality of the relationship. As a team, discuss the following questions:**

- Who has the relationship with X?
- Does the relationship rely on just one contact (at either the project implementing agency or the other stakeholder)? If that key person leaves on either end, does the circle (i.e., relationship) begin to move away from the implementing agency?
- How many people do we interact with at X?
- Are communication channels with X open and is communication frank and honest?

On the map, this will be represented by a line connecting the stakeholder's circle to the center. A SOLID line represents a strong relationship that could withstand staff turnover or political changes, and a DOTTED line represents a weak relationship that relies on only one main contact on either side or a potentially tenuous relationship.

Financial exchange: Sometimes, there may be value in representing whether or not there is a financial element to the relationship between the project and the stakeholder. If so, in what direction is the financial exchange? Is the project implementing agency providing funds to this actor, receiving funds from them, or jointly investing in programming?

On the map, this will be represented by the directional arrows on the line connecting the stakeholder circle to the center. If there is no financial exchange, leave the line without arrows. If the project is funding the stakeholder, add an arrow pointing toward the stakeholder's circle. If the project is receiving funds from this stakeholder, add an arrow pointing toward the center circle. If the project is jointly investing in programming with the stakeholder, add arrows on both ends of the line.

Determine resource-based influence: The next step is to rank each potential collaborator or stakeholder according to the level of resource-based influence (financial and human) they have over the achievement of the objective. This influence is defined strictly in terms of direct resources, i.e., how much money, time, and staff this stakeholder already invests or potentially has to invest in the desired outcome. The LARGER the circle, the greater the stakeholder's resource-based influence on this particular objective.

Determine non-resource-based influence: Then, take each potential collaborator and rank them according to how much non-resource-based influence the stakeholder has over the

achievement of the objective. Non-resource-based influence can include political power, traditional and/or social media voice, name recognition, membership size, access to other resources, leadership in key working groups, etc. The DARKER the circle, the more non-resource-based influence this stakeholder has on this particular objective.

Discussion:

Do our relationships with these stakeholders need to be strengthened? Which ones? Either really big circles or really dark circles that are not close to the center circle (project objective) should be a big concern; these actors have a lot of influence, and we are likely not interacting with them sufficiently.

Group discussion and exercise of partnership development/strengthening:

1. Participants will join different group that represents a specific sector
2. Each group will decide on a key issue under the chosen sector
3. Based on known context and stakeholders, as well as other possible researched information in the allowed time, participants will draw a collaboration map focusing on listing and analyzing potential and existing partners
4. Discuss among members of the group to reach consensus of deciding the various features of the map
5. Share the map with plenary and present any challenges faced in the process as a group

Module 4: Results-based Monitoring and Evaluation System

Session 4.1: Concepts, structure, and key elements of formulating results-based M&E system

Topics:
- Concepts of results-based M&E system
- Structure of results (results chain)
- Key elements and standards of M&E system (framework and plan)

Summary: This session will cover the cross-cutting theme of monitoring and evaluation system for projects with example of design and monitoring framework (developed and used by Asian Development Bank), discussion of the results chain in detail, and introduction of the key elements and standards in performing monitoring and evaluation on a project.

Key Words: Design and monitoring framework, results chain, monitoring and evaluation

Objectives: To be able to
- Understand the concept of M&E and its relationship with other components of project
- Differentiate levels of results and link them to the M&E system
- Know the contents of M&E framework and plan

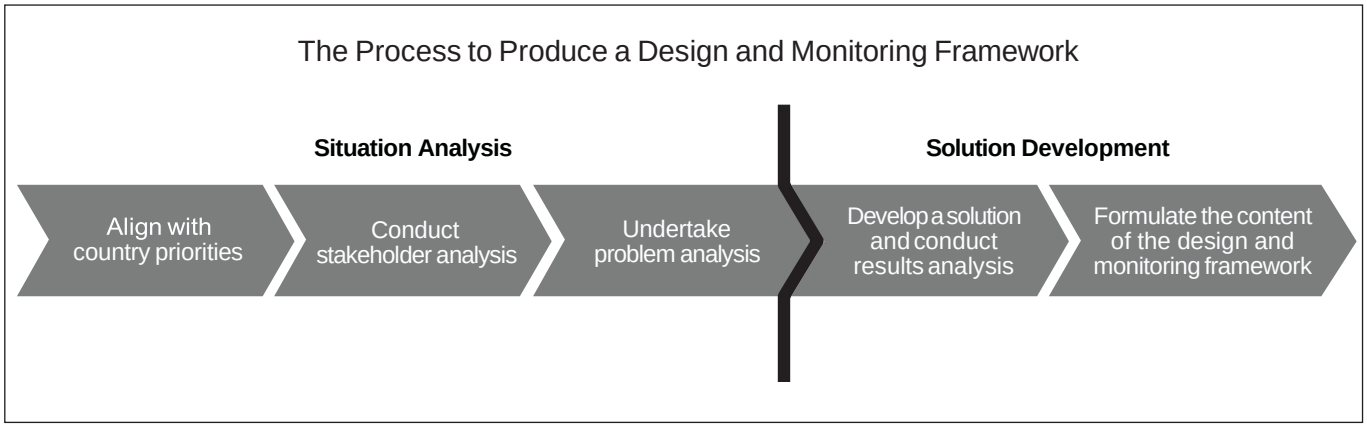
Outcomes: Participants will learn how to monitor and evaluate a project using logical framework by targeting different results level to track, improve, and assess project achievements.

Methods: Presentation delivered by RP; group discussion and practice

Materials: PPT, project document (EOI) of sample MKCF projects, Flip charts (White board), markers, color papers, scissors, tape

Contents:

– **Design and Monitoring Framework** *(from Asian Development Bank)*



– Results Chain of M&E System

- The primary purpose of a project is to achieve results that meet people's and/or organizations' needs.
- A results chain consists of a series of expected achievements, or positive changes, linked by causality.
- The results chain is a continuum from inputs to activities to outputs, and to outcomes.
- Outputs are defined as goods, services, or products delivered by the project, while outcomes are the immediate and direct benefits of the use or application of the outputs.
- The differences of the results are shown in the following table.

Table 1: Differences between Results Levels

Results Level	Relationship to Project	Source of Result	Timing of Achievements	Control by Project or Beneficiaries	Accountability	Changes during Project Implementation
Impact (not part of results chain)	Aligned with project outcome	Higher-level documents, e.g., national, sector, subnational, or regional plans or strategies	Usually post project	Outside beneficiary control	No direct project accountability	Should not change, although additional impact statements can be added to reflect alignment with a new strategy or plan introduced after project approval
Outcome (part of the DMF results chain)	Directly influenced by project	Needs of beneficiaries	Target level achieved by end of first full year of operation following physical completion, or before financial closure of project	Within the control of beneficiaries	Project accountable for outcome achievement Project success (effectiveness) measured against outcome targets	Major change in scope if there is a material change in the outcome
Output (part of the DMF results chain)	Produced or delivered by project	Project deliverables	By physical completion	Within control of project, given inputs, risks, and critical assumptions	Project accountable for outputs	Minor change in scope if no effect on the outcome

DMF = design and monitoring framework.

Source: ADB, Design and Monitoring Framework

Outputs

- Include major products and deliverables of the project.
- Ensure that together, outputs will be sufficient to achieve the outcome, given the risks and assumptions.
- Include an output for each set of activities, except project management activities, which do not produce an output.

- Phrase outputs in the past tense as already achieved, e.g., “rural roads constructed in the southern districts.”
- Include a word signifying completion (e.g., constructed, rehabilitated, established, implemented, improved) in the statement.

Outcomes

- Include only one outcome statement describing the immediate and direct benefits from using or applying outputs.
- Phrase the outcome in the past tense as already achieved, e.g., “increased mobility of rural residents.” The statement must include at least one change word (e.g., increased, improved, enhanced).
- Do not include any cause-and-effect links.
- Outcome statements should not use the words “through,” “by,” or “in order to,” because these words imply cause-and-effect links, e.g., corporate performance improved through capacity building, graduation rates increased by reducing dropouts, crop yields improved in order to increase farmer income.

Impacts

- The project’s results chain is aligned with impact statements, which are sourced from the most relevant strategic document(s), usually a government national, sector, subnational, or regional plan or strategy, before the project is conceptualized.
- The impact level in the design and monitoring framework is separated from the results chain to show that its purpose is alignment, not performance measurement.
- The DMF does not include performance indicators or targets to measure impact statements.
- Impacts are long-term in nature and are expected to occur sometime after project closing.

Table 2: Example Results Statements for Operations in Common Areas

Results Level	Urban Transport	Energy Generation	Urban Water Supply	Training of Technical and Vocational Education and Training Teachers	Financial Intermediation
Impact (Long-term end goal, not part of results chain)	Jobs and economic activity increased	Health, education, jobs, and economic activity increased	Waterborne diseases reduced	Workforce skills and productivity increased	Employment in small and medium-sized enterprises increased
Outcome (Immediate and direct benefit of output use)	Travel convenience, safety, and affordability for women and men improved	Consumption of electricity in remote communities increased	Consumption of clean, treated water increased	Quality of technical and vocational education and training (TVET) delivery enhanced	Economically viable small and medium-sized enterprises, managed by women and men, increased
Output (Provided or delivered)	Urban rail system constructed Institutional capacity of Department of Transport strengthened	Off-grid solar energy installations constructed Capacity of residents in remote communities to use and maintain solar energy installations enhanced	Water distribution and treatment facilities in urban areas rehabilitated Institutional capacity of water utility service provider strengthened	TVET teacher knowledge and skills improved Quality and relevance of TVET curriculum improved Technical training institutes upgraded	Financing to microfinance beneficiaries, including women, through intermediaries increased

Source: ADB, Design and Monitoring Framework

– **Monitoring**

- **Monitoring tracks the operational work of the project**. It answers questions like: "Have activities been completed as planned?" "Have outputs been produced as anticipated?" "Is the work of the project progressing as projected?" "What is the difference between what we had planned and what is actually taking place?"
- Project monitoring informs the project manager where the project performance is in terms of money, time, risk, quality, and other areas of project progress.
- Monitoring takes place at the activity and output levels and is done continuously throughout the project to monitor and update progress, to identify delays in schedule or any issues that need to be addressed or escalated to the project governance structure.

– **Evaluation**

- **Project Evaluation focuses on tracking progress at the higher levels** of the logical framework – i.e., project outcomes. Evaluations tend to explore questions like, "Is the project successful at achieving its outcomes?" "Is the project contributing to its ultimate goal?"
- Evaluation data is collected and analyzed less frequently and often requires a more formal intervention (often by technical advisors or external evaluators) to show project results.

- Gathering and analyzing information to determine: Progress toward delivery of activities/outputs; and contributing to achievement of outcomes/goals.
- To measure project effectiveness
- To determine whether outcomes have been achieved
- To learn how well things are being done
- To learn lessons for future improvement

– The Monitoring and Evaluation (M&E) Framework

- The M&E framework is based upon the information in the logical framework and should directly relate to your indicators, activities, and outputs. Other things to consider are the frequencies in which the monitoring will be done, the capacity of the team doing the monitoring, and the tools (surveys, FGD, etc.) that will be used to collect the data.
- The monitoring plan should include the process that will be used to monitor and update the progress of activities against the plan and any reporting requirements.
- A standard M&E plan should include basic elements such as:
    - Indicator Performance Tracking Table (example shown below):

Activities	Performance Indicators	Output/ Outcome	Baseline & Target	Data Source	Data Dis-aggregation	Frequency of Meas.

    - Performance Monitoring Plan
    - Feedback Mechanisms
    - Evaluation Plan (see below) and Statements of Work

Objectives	Expected Outcomes	Indicators (Qualitative/ Quantitative)	Sources of Data	Methods & Tools	Tasks (Responsibilities)

- Sample M&E Framework (Plan)

Objectives	Activities	Expected Outputs or Outcomes	Indicators (Qualitative/ Quantitative)	Sources of Data	Methods & Tools	Fre-quency	M&E Tasks
1. To conduct environmental protection activities on specific topics in selected schools	1. Select schools in seriously environmental deteriorated regions or those that have great desire to conduct environmental protection	1. 10% of the schools participated in the project selected to undertake activities focused on specific themes 2. Good outcomes achieved through the collaborative activities of the schools and project; Teachers and students are more	1. 10% of the schools participated in the project took part in the activities of specific topics 2. Students are able to initiate discussions on their own on specific environmental topics				

	activities in specific topics as implementation sites 2. Integrate existing situation of schools and previous activities conducted by volunteers to come up with specific topics for the activities 3. Allocate required resources (human, materials, financial) for the specific-themed activities 4. Select and delegate environmental protection experts in different fields to conduct representative activities 5. Follow up on implementing subsequent work after activities complete	familiar with the environmental issues under the specific topics 3. Activities help the schools to broaden the scope and further promote environmental education 4. Forming of a team of professional experts providing support and guidance to the schools to enhance existing environmental education efforts 5. A group of environmental education teachers fostered to become the core team to organize and implement environmental education activities in schools in the future 6. These activities of specific themes become models in the region and are referenced and learned by other schools	3. Students apply what they learned from the specific activities and behave accordingly 4. Students are able to design and implement the extracurricular activities under the specific themes 5. Teachers and students' capacities in organizing similar environmental education activities increased; 6. At least one local training materials developed each year 7. At least one public speaking organized each year 8. At least one training of school teachers conducted each year				

- Regardless of the ultimate format a project employs to establish its plan for MEAL, as a minimum standard, every monitoring system should abide by the six essential elements of indicators, schedule and budget, staff and partners, full data cycle, data management, and linking to the next level.

Essential elements of monitoring system	Minimum standard to abide
Indicators	Clearly defined Baselined Systematically measured
Schedule and budget	Time and money are allocated for monitoring tasks Schedule processes for data collection, review, summary, analysis, and feedback
Staff/partners	Clearly identified monitoring responsibilities Competencies Plan monitoring activities with the stakeholders Build capacity of stakeholders on participatory monitoring systems Use participatory monitoring techniques Gather and verify monitoring data Process monitoring data
A full data cycle	Including a full cycle for managing monitoring data: **1. Collection; 2. Review; 3. Summary; 4. Analysis; 5. Feedback**
Data management	Procedures exist and are used to ensure integrity of data and proper storage of data
Link to the next level	The project monitoring system is linked to the next level of the organization's program or portfolio

Group practice: Developing a M&E system for sample project

1. Logical framework of a sample MKCF project will be shared to participants in groups
2. The groups will develop an M&E Framework from the logical framework of the sample project, with support from MI staff (MEL and MKCF team)
3. One person from each group will act as observer and report his/her observations of the process to the plenary at the end of the exercise

Module 5: Developing a Regional Project with Results-based M&E System

Session 5.1: Project design (concept paper) requirements and resources

Topics:
- Project Concept requirement under MKCF
- Selection criteria
- Available resources to develop projects

Summary: This session will inform participants on specific requirements of MKCF funding mechanism and selection criteria. Past project EOIs will be presented as case and analyzed to identify strengths and alignment to MKCF project. Available resources to support project proponents in developing concepts contributing to MKCF priority sectors' activities and regional priorities will also be shared.

Key Words: Expression of Interest, concept note

Objectives: To be able to
- Understand the structure and requirement of concept paper under MKCF
- Obtain information about available resources to develop regional project

Outcomes: Participants will familiarize with MKCF call for concept requirement and know where to seek assistance in developing their concepts

Methods: Presentation by MKCF team, case studies

Materials: PPT, MKCF management manual, MKCF EOI assessment template, Flip charts (White board), markers

Contents:

– **Formats of Expression of Interest (EOI)**
- MKCF EOI template and specific requirements will be presented
- Open questions session for participants

– **MKCF Assessment Criteria**
- The assessment template of EOI will be shared, highlighting gaps and areas to focus on EOI
- Previous EOIs (selected and not selected) will be used as case studies to help better understanding of MKCF requirements and priorities

Case studies and testimonials:
- Previously selected MKCF concepts and their strengths
- Non-selected MKCF concepts and their major gaps

Session 5.2: Group work on project concept development

Topics:	• Expression of Interest (Concept paper)
Summary:	This session will be a group work session for participants to work in groups (under various sectors) to draft a concept based on exercises and learning from other sessions in this training
Key Words:	Concept paper, project design processes and outputs
Objectives:	To be able to • Elaborate various components of project design outputs • Compile the outputs into a draft concept paper
Outcomes:	Participants will learn how to connect different components of project design processes and draft a concept for regional development and cooperation project with M&E framework
Methods:	Group work and consultations with RP and MI staff
Materials:	MKCF EOI template, Flip charts (White board), markers
Contents:	

– Elaboration of project design components

- Problem statement will be extracted from problem analysis process and results statements gathered from objective tree to formulate and complete the logical framework with proposed activities
- Stakeholder analysis done and engagement plan developed will be taken from Session 3.1 and Session 3.2
- Other parameters needed in the Monitoring and Evaluation Framework will be added to finalize the M&E system for the project

– Formulation of concept paper and prepare presentation

- Using MKCF EOI template, groups compile products and outputs into a coherent and concise document
- Groups prepare presentation based on concept developed for plenary review and discussion
- RP and MKCF team will provide support and advice in the process as needed

Module 6: Presentation of Regional Project Concept

Session 6.1: Presentation of regional project concepts in 7 sectors

Topics:
- Expression of Interest (Concept paper)

Summary: This session will be a presentation session for each sectoral group to present their concept paper to the plenary, with feedback and questions from other participants, and comments and suggestions for improvement made by MI team and RP.

Key Words: Concept paper, critique, feedback

Objectives: To be able to
- Develop and present regional project concept in seven sectors following MKCF's requirement

Outcomes: Participants will learn how to work with others from different countries/sectors/agencies to develop regional project concept for MKCF funding mechanism

Methods: Group presentations with RP and MI staff, open discussion

Materials: PPT, other materials prepared by groups on their concepts

Contents:

– Presentation of regional project concepts by 7 sectoral groups

- Each group presents their concept (20 minutes) by methods of their choice, followed by questions and feedback from other participants/groups (10 mins).

– Comments and suggestions/discussions

- RP and MKCF team provide critiques, comments and suggestions to each group (15 mins).
- In-depth and open discussion of the concept paper if necessary for better understanding and clarification of concepts and learning points.

Date of finalization: 11 July 2023