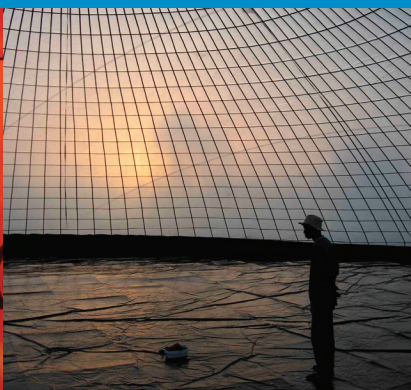
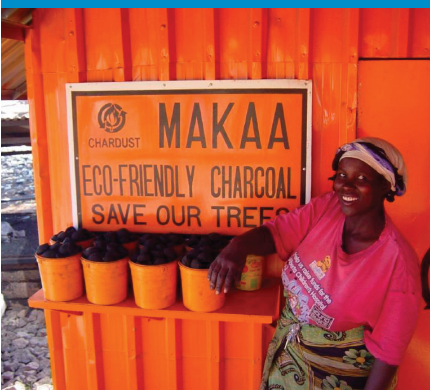




DEVELOPMENT MARKETPLACE GRANTEE TOOLKIT

Project Design, Monitoring
& Evaluation for Small
Innovative Projects



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1. INTRODUCTION TO THE TOOLKIT

1.1 The Development Marketplace

The Development Marketplace (DM) is a competitive grant program that identifies and supports field testing of innovative, early stage ideas with potential for high development impact. Administered by the World Bank, it attracts ideas from a range of innovators, including civil society groups, social entrepreneurs, academia and private sector. (Please see details at www.developmentmarketplace.org)

Various partners support competitions, held at the global, regional and country level. To date, the Development Marketplace has awarded over \$55 million for over 256 grants through its global competition, supporting projects through proof-of-concept phase. Using funding as a launching pad, projects often scale up or replicate elsewhere. Sometimes they win prestigious awards within the sphere of social entrepreneurship.

Global competitions are the keystone of the DM program. Held every 12-18 months, each global competition is initiated with an open call for proposals which draws in applications from a range of social innovators including civil society groups, entrepreneurs, and academia. Roughly 25-30 winners out of thousands of applications are selected through a rigorous juried merit-based process. Each winner receives a grant of up to \$200K to implement their project over two years.

How global and country/regional competitions differ on several fronts:

	Global	Regional & Country
Grant size	Up to \$200,000	\$10,000 to \$50,000, depending on country
Length of implementation	Up to two years	Up to one year
Competition theme	Sector-based (i.e. water and sanitation, health and nutrition, etc.)	Linked to World Bank country strategy
Objective	Identify and fund innovative projects with large potential for development impact	Identify and fund innovative projects that address country-specific development issues
Frequency of competition	Every 12 to 18 months	Six to nine countries per year
Location of Marketplace	Washington, DC	Country-specific
Event administrator	DM team in Washington, DC	World Bank country office

Three key reasons DM is an attractive vehicle for social entrepreneurs:

- DM is a proven mechanism to identify and fund early-stage development projects through a rigorous and transparent selection process that involves hundreds of sector experts.
- Almost all of the funding contributed by DM partners goes directly to the project teams because the World Bank covers the administrative costs of holding competitions, supervising the projects and managing the program.
- DM is an established launching pad for high quality, innovative ideas in development—a large number of DM winners go on to scale-up or replicate elsewhere, winning internationally recognized awards for social entrepreneurship.

PARTNERS

In recent years, DM forged partnerships with the Gates Foundation, Global Environment Facility, Google Foundation, MacArthur Foundation, UNAIDS and the Global Village Energy Project, among others to fund DM winners of global competitions. For country/regional marketplaces, numerous bi-lateral and multi-lateral aid agencies, embassies, local government organizations, research centers and large corporations have contributed to the Development Marketplace award pool.

In addition to funding projects, partners can participate in the upstream assessment process and be a member of the high-profile jury that selects the winners of a competition. Partners also often serve as keynote speakers in knowledge exchange forums at the Marketplace event held for the finalists of a competition.

1.2 Development Marketplace Advances in M&E Practice

The Development Marketplace is continually updating its systems to monitor and evaluate its project portfolio. Beginning with the 2005 competition, each global competition now focuses on a specific theme or sector. The homogeneity of the portfolio enhances the ability of the World Bank to assess the performance of the portfolio and to draw lessons learned specific for promoting innovation in a particular development sector. Another improvement since 2005 has been the increased attention paid by the World Bank to oversee project implementation and ensure good fiduciary management. Roles and responsibilities have also been clearly defined for WB sector specialist and DM staff who monitor the portfolio. Perhaps most important, winners from 2007 and beyond identify 1-3 key outcome indicators and associated targets that are used to assess the degree to which the project achieved its objective(s).

Most recently in 2008 the Development Marketplace contracted an independent third party evaluator to assess the DM's M&E systems and procedures. Based on the recommendations elaborated in the consultant's report, the DM has developed two additional products to support a program that is results driven and is geared toward producing

PREVIOUS GLOBAL COMPETITIONS

DM2008 – Sustainable Agriculture

Over 1,700 proposals with 22 winning projects sharing an award pool of \$4.1 million

DM2007 - Health, Nutrition and Population

Over 2,800 proposals with 22 winning projects sharing an award pool of \$4 million.

DM2006 - Water Supply, Sanitation and Energy

Over 2,600 proposals with 30 winning projects sharing an award pool of \$5 million.

DM2005 - Livelihoods in a Sustainable Environment

Over 2,600 proposals with 31 winning projects sharing an award pool of \$4 million.

DM2003 - Services for the Poor

Over 2,700 proposals with 47 winners sharing an award pool of \$6.5 million.

DM2002 - Searching for Solutions: Empowering and Investing in the Poor

Over 2,400 entries with 39 winners sharing an award pool of \$4.5 million.

DM2000 - Searching for Solutions: Governance, Judiciary, and Vulnerability Reduction

The first global DM produced 43 winners sharing an award pool of \$5 million.

tangible results that can be scaled up and replicated if successful. The two products are this Toolkit which has been developed for use by grantees and an Operations Manual which outlines internal processes and procedures for the DM team to streamline administration of grant funding.

1.3 Why Monitoring and Evaluation is important.

Monitoring and evaluation (M&E) are important management tasks in the cycle of continuous improvement. The overall purpose is to undertake appropriate measurement and assessment of performance in order to more effectively manage the achievement of results. Results-oriented monitoring and evaluation can enhance learning and ensure informed decision-making and support transparency and accountability.

The purpose of the M&E toolkit is to guide project teams in results-oriented implementation and reporting. Guidance on developing appropriate performance indicators to measure project results are an integral element of the toolkit. The toolkit provides instructions and guidelines to grantees to monitor and report on project implementation progress, to evaluate project outcomes and to strengthen the ability of the DM to conduct an external third-party cohort evaluation to assess the overall performance of the portfolio by year. This Toolkit is a key component of the DM's efforts to support results-based implementation of innovative projects in its portfolio.

The M&E Toolkit offers practical information for project implementation teams to learn DM expectations for project monitoring and evaluation and to develop their own Monitoring and Evaluation Plans.

The primary audience for the M&E Toolkit is the grantees, who will work in coordination with WB Project Supervisors to design, monitor, implement and evaluate DM funded projects. The toolkit is written for people with a variety of backgrounds and experiences. It is designed to be user friendly and to focus on the practical applications of monitoring and evaluation in the Development Marketplace context. It is hoped that the concepts and guidance contained in it are useful to the grantees in other settings.

1.5 What it contains

The M&E toolkit presents a selection of good practices and provides instructions and guidelines to grantees to monitor and report on project implementation progress and to self-evaluate project outcomes. The Toolkit will guide project teams to:

- Develop and update objectives – **Section 3**
- Recognize and spell out the assumptions that the project needs to manage factors outside its control – **Section 4**
- Measure progress and capture success – **Section 5**
- Develop a Monitoring Plan that meets grant requirements, progress report needs and contributes to solid project management – **Section 6**
- Complete a Stakeholder Communications Strategy – **Section 7**

1.4 How the Toolkit Works

- For each section we will present the ideas and definitions that explain elements of project planning, monitoring, implementation and evaluation and give practical examples.
- Some sections also provide samples and templates for you to use to complete that part of the monitoring and evaluation work.
- The contents of the toolkit are based on DM's experience to date in working with grantees, the basic requirements of the grant as spelled out in your grant agreement and best practices in monitoring, reporting and evaluation for grants of this size and duration.
- We hope that the ideas will also be useful to grantees that have practice using monitoring and evaluation in grants management as well as those who are doing it for the first time.

- Build an Evaluation Plan that can contribute findings to the Implementation Completion Report at the end of the project – **Section 8**
- Use project data and other information to plan for the future in a Sustainability Plan – **Section 9**.

This Toolkit is designed to:

- Allow grantees to build on objectives and ideas in their grant proposal to develop a project Monitoring and Evaluation Plan.
- Build experience in basic monitoring, reporting and evaluation principles and best practices.
- Help grantees link progress reports and other milestones to a clear path to success for their programs.
- Give project oversight a roadmap to use in evaluating project progress and reviewing achievements.
- Help grantees think about what they want to be able to achieve with their program after DM funding.

Let's get started!



2. WHAT IS MONITORING AND EVALUATION?

In this section we lay out some concepts we are using in the toolkit. In doing so, we know many of you have worked with these ideas before in a number of settings and we want to be clear about what we mean.

2.1 Why do monitoring?

Monitoring represents an on-going activity to track project progress against planned tasks. It aims at providing regular oversight of activity implementation in terms of input delivery, work schedules, targeted outputs, etc. Through such routine data gathering, analysis and reporting, project monitoring aims at:

- Providing project management, staff and other stakeholders with information on progress towards achieving project objectives. In this regard, monitoring represents a continuous assessment of project implementation in relation to project plans, resources, infrastructure, and use of services by project beneficiaries.
- Providing regular feedback to enhance the ongoing learning experience and to improve the planning process and effectiveness of interventions.
- Increasing project accountability with donors and other stakeholders.
- Enabling managers and staff to identify and reinforce initial positive project results, strengths and successes. Monitoring also alerts managers to actual and potential project weaknesses, problems and shortcomings before it is too late. This provides managers the opportunity to make timely adjustments and corrective actions.
- Checking on conditions or situations of a target group, and changes brought about by project activities. In this regard, monitoring assists project management to check whether the project continues to be relevant to the target group and whether project assumptions are still valid.
- Monitoring actions must be undertaken throughout the lifetime of the project. Effective monitoring needs adequate planning, baseline data (if the intervention is new sometimes the baseline is zero), indicators of performance, and results and actions such as field visits, stakeholder meetings, documentation of project activities, regular reporting, etc. Project monitoring is normally carried out by project management, staff and other stakeholders.

2.2 How does it fit with reporting?

- When we prepare reports, we use information collected during monitoring.
- If we are keeping track of our spending and results as we go, reporting becomes more routine and not merely an exercise in compliance to outside funders.
- We can reduce time preparing reports if we have a monitoring plan in place and can use it to collect information on a regular basis.
- We collect information that can be compared over time to show progress or take corrective action when we encounter obstacles.

2.3 What is evaluation?

Project evaluation represents a systematic and objective assessment of ongoing or completed projects in terms of design, implementation and results. In addition, evaluations usually deal with strategic issues such as project

relevance, effectiveness, efficiency (expected and unexpected), in the light of specified objectives, as well as project impact and sustainability. There are many reasons for conducting an evaluation, including:

- Providing managers with information regarding project performance. Project plans might change during the implementation process. Evaluations can verify if the program is really running as originally planned. In addition, they provide signs of project strengths and weaknesses, and therefore, enable managers to improve future planning, delivery of services and decision-making.
- Assisting managers to carry out a thorough review and re-thinking about their projects in terms of their goals and objectives, and means to achieve them.
- Generating detailed information about project implementation process and results. Such information can be used for public relations, fundraising, promotion of services in the community, as well as identifying possibilities for project replication.
- Improving the learning process. Evaluations often document and explain the causes as to why activities succeeded or failed. Such documentation can help in making future activities more relevant and effective.

As in monitoring, evaluation activities must be planned at the project level. In **Section 8**, we will look at how to use evaluation in your projects.

2.4 What kinds of evaluation will we use?

Evaluation comes in several kinds:

- those we do for ourselves
- those that are done by outsiders in collaboration with us
- those that compare our grant to others that have similar objectives or themes
- those that collect lessons learned while trying to achieve results

2.5 When do we do evaluations?

Timing of evaluation is important.

We do **mid-term or interim evaluations** so that we can fix things before the project is over. Then we can use the findings from the mid-term or interim evaluations to plan and do more of the activities that bring success while we still have time.

Final project evaluations can be done before the end of a project so that its findings on results can be included in any final reports such as the Implementation Completion Report. They can also be completed after the project is finished to inform future, similar projects. This type of evaluation aims at learning about the total project results and applying it to future work.

Evaluations whether mid-term or final can be self-evaluations done by the project team with stakeholder input and participation or by an independent third party evaluator.

We do **independent evaluations** with people who were not responsible for project success in order to compare sets of projects and their results. These evaluations help the DM learn not only about what projects achieved and how they compare to each other, but what overall lessons can be learned to improve the program for both the grantees and the Development Marketplace team at the World Bank. These are called Cohort Evaluations and are done one year after project closure.

Sometimes evaluations are done on one aspect of a project only so that specific action can be applied or results compared. These can include topics such as outreach strategies or other special components of a project.

Item	Monitoring	Evaluation
Frequency	Periodic, regular	Mid-term, final, special
Main action	Keeping track/oversight	Assessment and learning
Basic purpose	Improving efficiency Adjusting work plan to achieve results	Improve effectiveness, impact, future programming
Focus	Results to date, targets, milestones	Effectiveness, strategies, impact, cost-effectiveness
Information sources	Routine systems, field observations, progress reports, rapid assessments	Same plus surveys/studies
Undertaken by	Project managers Community workers Community (beneficiaries) Supervisors Funders	Program managers Supervisors Funders External evaluators Community (beneficiaries)

Adapted from: UNICEF, A UNICEF Guide for Monitoring and Evaluation: Making a Difference? New York, 1991, p.3.

2.6 Challenges for innovation grants

The Development Marketplace seeks to foster innovation in the projects that it funds. This focus presents challenges and opportunities in monitoring and evaluation that must be included in planning.

While projects are operating, we therefore seek to find out not only **how** things worked but **why**.

We will want to know if you were able to achieve the innovation and what factors worked to help the innovation succeed or fail. These questions will be included both in the self-evaluation that we recommend you do at project end and in the assumptions that we recommend you include in your development of project objectives.

2.7 How does it fit together?

Beginning in the next section we will lay out the steps to complete the basic deliverables tied to the withdrawal schedule in your grant agreement. The chart below lays out the steps, tools, timing and corresponding withdrawal schedule items they produce.

Deliverables Covered by the Toolkit

Roadmap for Project Implementation and Deliverables:

Steps	Tools	Reporting Period	Withdrawal Schedule items	Section in Toolkit
Update objective from proposal Identify assumptions Finalize indicators to measure progress	<ul style="list-style-type: none"> • Results Chart • Project Proposal 	0	Finalization of withdrawal schedule in grant agreement	3, 4, 5
Develop monitoring plan	<ul style="list-style-type: none"> • Monitoring Tracking Chart • Monitoring Plan Template 	1	Monitoring plan	6
Complete Stakeholder Communications Strategy	<ul style="list-style-type: none"> • Stakeholder Communications Strategy Guidelines 	1	Stakeholder Communications Strategy	7
Prepare Evaluation Plan	Evaluation Plan checklist	2	Evaluation Plan	8
Prepare Sustainability Plan	Sustainability Checklist	3	Sustainability Plan	9



3. UPDATING OBJECTIVES

In this section we make sure that your objectives accurately represent what you want to do in your project. You will need to refer to the objectives in your Project Proposal. This will form the basis for refining your objectives. The indicators for measuring achievement of objectives is captured in the Withdrawal Schedule that is a part of your grant agreement. See *Annexes for to view the templates of the Project Proposal and, Withdrawal Schedule.*

Using your project proposal, look for all your objective statements. We recommend that you use four levels of objectives to plan and monitor your project. You may have more in your proposal if you wish but focusing on these four will help us track progress together in an organized way that we can all understand.

The levels used are:

- Project development objective
- Outputs (things you complete)
- Activities(things you do)
- Inputs (resources needed)

We are going to define and develop each level and then put them together in a Results Chart that can help you track milestones for reporting. Each section has examples based on a fictitious water project that seeks to expand the use of water cisterns made of local pottery and installed on household rooftops. These cisterns are commercially made by local artisans and are purchased by the target households.

3.1 The Project Development Objective (PDO)

This is the intended or planned result of your project. The Project Development Objective (PDO) is important because:

- It helps us think about the **end results** easily.
- It **helps us explain to others** what we are doing without listing all our activities at once.
- It is **more than a sum of the parts** of the project.
- If we choose to develop a Results Chart, the PDO forms the most important part.

Some examples:

- 4500 people in village X use water from solar irrigation by the end of year 2.
- 50 artisans in region X are producing and selling at least 500 family water storage devices by end of year 2.
- 10 villages are using and maintaining the improved water hand pumps at all their wells by project end.

The PDO is a picture of how you see the success of your project.

It should clearly identify the people served by the innovation as well as the place where it can be observed. ***The more specific it is the better.***

The PDO has these qualities: it describes the expected benefits of a project for the primary target population (or institution). People being directly served should be identified. For instance: X families in village Y are using potable water from the new filtering source by the end of the project.

The Results Chart can help us organize our objectives, measures, information sources for measures and assumptions about risk all in one place.

Results Chart Template

Objectives	Measures/Indicators	Information Source	Assumptions
PDO			
Outputs			
Activities			
Inputs			

We have already talked about the first objective in the chart, the PDO. Let's look at the others now. We will look at outputs next. As we build our sample chart, only a few examples for each level are given for instructional purposes. A complete Results Chart for the sample project is found at the end of the section.

3.2 Outputs

Outputs are results that contribute to the PDO.

- They are stated as completed actions. For example:
 - 20 potters trained in water pot construction by end of year 1
 - Acceptable cost of water pot market tested in target villages
 - 20 test families selected to install water pots by end of year 1
 - 30 additional families purchase and install water pots by end of year 2
 - Credit program makes loans to families that want water pots but cannot afford them by end of year 1.
 - Loans for water pots are repaid to credit source in 18 months.
- Taken together all the outputs are enough to achieve the PDO. Each one is necessary but by itself it is not enough. The whole set are needed to produce the PDO.
- Outputs clearly show what the activities add up to. You can easily see the link between an activity and an output.

3.3 Activities

Activities are work items that contribute to project outputs. They sound like an item on a list of things to do, not like a result.

For instance, for this output: *30 additional families purchase and install water pots by end of year 2*

You might have these sample activities:

- Potential water pot purchasers identified by 18 months.
- Potters begin construction of water pots
- Families that need credit for purchase of pots apply for it.
- Installation of water pots begins

The list of all the activities needed for an output can also be used to develop a project work plan. You can list each activity and put who will do it and when it should be completed in a list that can become a work plan.

3.4 Inputs

Inputs are the resources (both in funds and person days) needed to complete each activity. If you look at each activity, you can calculate how much it will cost and use that to fill out your budget template for your grant. This helps reduce the guessing as to project costs since it is based on actual planned activities that are linked to the project's planned results.

Let's look at our **Results Chart** again:

Objectives	Measures/Indicators	Information sources	Assumptions
PDO: 50 artisans produce 500 improved water pots used by families in village X by year 2			
Outputs: 1. 20 potters trained in water pot construction by end of year 1. 2. Acceptable cost of water pot market tested in target villages etc			
Activities: 1.1 Potter training program designed. 1.2 Potters for training selected, etc.			
Inputs1: Training costs Market survey costs for target villages, etc.			

The input box is linked to your budget estimates and should contain the main categories of expenditures in your budget template for your grant. The only part that applies to monitoring would be putting in some costs for collecting information and a self-evaluation in the budget.

3.5 The final test of objectives

We will look at measurement of objectives in **Section 5** of the toolkit and we may decide clarify our objectives based on whether we can easily measure them.

For now, we should be able to look at our objectives and see the **results chain**:

- PDO should be the highest objective the project will achieve in the 2 years.
- Outputs should explain how we will achieve the PDO and are stated as completed actions.
- Activities for each output should be clearly laid out in our planning.
- Inputs needed for each activity should be calculated.

To sum up,

1. **If** we provide the inputs and manage them well, **then** we can achieve the activities in our work plan.
2. **If** we complete the activities, then we should be able to produce the outputs or results the project needs.
3. **If** we produce all the outputs on time and with the desired results, **then** we should reach our PDO, our desired result and the final success of the program.

This is called a Results Chain

But wait, what could go wrong? Let's see in **Section 4**.



4. RECOGNIZING ASSUMPTIONS AND MANAGING FACTORS WE CANNOT CONTROL

In any project there are factors that we cannot control that will affect project success. In this section we will look at the project design to see if it is based on realistic assumptions. What are the key factors that could diminish the project and what steps can be taken to mitigate these? These would include items such as: weather, political stability in the place the project is located, security for participants in the project and project staff, financial fluctuations, supply chain problems, etc.

Some examples:

- Drought could lower water tables;
- Local or national elections could change key players that currently support the project;
- Fighting or popular unrest in the target area that makes daily activities difficult;
- Difficulty getting key inputs like petrol in remote areas;
- Changes in international currency values affect cost of imports.

These factors should be identified and tracked during the project to be sure that they are still manageable. We cannot assume that they will have no effect. They should NOT include items that we have control over. ***Items on our activity list are things that we have control over.***

4.1 Identifying Assumptions

To determine assumptions that you have already made, look at the **risk section** of your proposal and pull out factors that you already identified.

1. Think about:
 - Whose support is critical to the success of this project?
 - What changes in knowledge, attitudes, and behavior will need to occur among various stakeholders?
 - What could affect these?
2. Next look at your objectives in the Results Chart and list things that could affect the PDO, outputs and activities.
3. After you have made a list, assess whether the likelihood of its occurrence is high or low. For example:

Potential Assumptions	Under your control? Yes/no
1. Security in target area remains good.	1. No, but likelihood good so far
2. Manager to work in project area can be found.	2. Yes. Not hired yet, however.
3. Rainfall is adequate for water collection.	3. No. Predictions for next 2 years good.
4. Potters can be found to work for the project.	4. Maybe if incentives are good. (Need to check)
5. Sufficient families can afford water pots.	5. Yes. Family income already verified.
6. Credit organization is ready to partner.	6. Yes. Letter of commitment in hand

Which assumptions need to be added to the Results Chart? **Anything that you do not control but that can impact success.** In this case: rainfall, security, credit organization continued willingness to partner. The other factors must be checked or they may make for project delays or less success.

In the **Results Chart** assumptions are inserted at the level of the objective they impact:

Objectives	Measures/Indicators	Sources	Assumptions
PDO: 50 artisans produce 500 improved water pots used by families in village X by year 2			<ul style="list-style-type: none"> • Rainfall is adequate for water collection • Security in target area remains good.
Outputs: 1. 20 potters trained in water pot construction by end of year 1. 2. Acceptable cost of water pot market tested in target villages 3. Credit program operating and serving potential family water pot purchasers			<ul style="list-style-type: none"> • Credit organization is ready to partner.
Activities: 1.1 Potter training program designed. 1.2 Potters for training selected, etc.			
Inputs: Training costs Market survey costs for target villages, etc			

You should look at PDO and outputs primarily and make sure that you have thought of all the factors that can affect those objectives' success. It is usually assumed that activities and inputs are completely under the control of the project team and are therefore less likely to have assumptions that can affect results. For instance, you should be able to complete activities with the expertise and resources that you planned for the project. Personnel and funds should be available at project start.

4.2 When are assumptions "killer" assumptions?

Some factors are so important that they can seriously impede results. We call these "killer" assumptions. These happen when:

- They are under our control but we have not addressed them yet, e.g. finding a manager for the site;
- We assume we have more resources than we have in hand;
- We assume positive conditions when all signs point to problems: security, no local government support, history of drought or flood;
- Basic success factors are unknown and necessary preliminary studies have not been done, i.e. knowledge of income of people to either buy services or goods, knowledge of labor availability, etc.

Experience has shown that grantees who do not manage these kinds of factors or completely identify assumptions for project achievement. Many experience delays and sometimes do not reach all their objectives.

4.3 What should we do about assumptions once they are in chart?

Look at them at least every 6 months to see if they have changed or are affecting progress.

- Report any changes or additions to assumptions both positive or negative in your progress report or in discussion with your project supervisor.
- Add activities to your work program to handle any assumptions that crop up that are under your control.

To sum up, taking the time to investigate your assumptions and include them in your Results Chart or planning. This can really help you maintain direction of your project and make sure that your objectives can actually be achieved.

Now on to measuring progress on objectives and capturing success.



5. MEASURING PROGRESS AND CAPTURING SUCCESS

If our objectives are clear and targeted, measuring progress and capturing success is straightforward. If not, we may need to revise objectives. The first product we must produce prior to grant signature is the **Withdrawal Schedule**. An example can be found in Annex 3. The **Withdrawal Schedule** is in the Disbursement Letter and is a component of the Grant Agreement Package. It serves as the framework for outlining project outputs and outcomes that work towards the PDO with targets to demonstrate achievement of project objectives. To define these we need to understand what good measures or indicators contain.

5.1 What makes a good measure?

A good measure captures something important about the objective. These measures are commonly called **indicators**. In our example the **PDO** is: *50 artisans in region X are producing and selling at least 500 family water storage devices by end of year 2.*

Outcome Indicators

An outcome indicator measures what has been achieved as the result of the outputs (e.g. extent to which those trained are effectively using new skills).

To determine good outcome indicators we need to look at each part of the objective:

- *50 artisans produce and sell water storage devices*
- *500 families use the device by year 2.*

Do we know what to count?

- *Artisans, water pots, families using them.*

Do we know when?

- *By year 2.*

Do we want to add a skill level?

- *Artisans that completed quality training course to become master potters producing x pots a year*

The only thing that may need definition is artisans.

Output Indicators

What about outputs? *They also need to measure quantity, quality and time.* An output indicator measures what we have delivered as a result of project activities (e.g. number of people trained).

Some examples:

Output: 20 potters trained in water pot construction by end of year 1

Quantity: 20
 Quality: Water pots that meet quality standards (minimum size, no leaks)
 Time: End of first project year

Output: 50 village families consulted on range of price that is acceptable to them for the next year.

Quantity: 50
 Quality: Price range defined by unit.
 Time: Completed by end of first 6 months or earlier.

Each output has to have at least one indicator. It should include quantity, quality and time (QQT). Outputs do not share indicators. Each one has its own set, crafted to measure what is important about the output. If outputs are using the same indicators, then they might not really be separate results.

Now that we have defined measures, how do we know how much was achieved during the project? We determine the starting point for each indicator and where we will get the information to prove it.

5.2 Baselines and Information Sources

Some results are ongoing and we are adding to them, so we need to know our starting point. This is especially true if our innovation is expanding access to a basic good or service.

If this is the first time anyone ever worked on the problem in the location of the project, then you have a starting point of zero and all project achievements are additional. (You can determine this in consultation with your project supervisor.)

We do not pretend our project was the first thing that ever happened in the target area. We find out. So for our example we would need to know:

- How many people already have water pots collecting rainwater on their houses in the target villages? If the answer is none, then the answer is zero and everything we do to achieve the PDO will be a project result.
- Are there trained potters already there or are we starting from the beginning? How many potters were already making rain collection pots of some kind, not the improved one we are promoting?
- Do we know if all the information we need to actually count things in our indicator is available through the project? If not, we need to plan and budget to do so. We also need to know how old the source of information is. When did someone last count this? Did they count the families in the same way that we are going to?
- If we rely on local government or other projects' data that are very old, how accurate can we be about our success? There is a balance between the perfect measure that is too costly to collect and one that gives us information and is readily available.
- We need to be clear in our monitoring plan what information we are using, its source and age and how we are getting it. Let's fill in our chart and look at it again.

Tip: At the output level of the chart, we tie the indicators to the number of the output so the reader does not get confused. Output 1 has measures 1.1, 1.2, 1.3 etc as needed. This makes managing the chart easier

Objectives	Measures/Indicators	Sources	Assumptions
PDO: 50 artisans produce 500 improved water pots used by families in village X by year 2	<ul style="list-style-type: none"> • 50 artisans produce pots that meet quality standards by end of year2 • 500 families using new water storage devices at end of year 2 	<ul style="list-style-type: none"> • Artisan production and sale records • Visual survey of families with water pots installed (Baselines before project)	Rainfall is adequate for water collection
Outputs: 1. 20 potters trained in water pot construction by end of year 1 2. Acceptable cost of water pot market tested in target villages	1.1. Number of trainings held year 1 1.2 Number of potters trained year 1 2.1 Price range of pots in sample 2.2 Numbers of pots on backorder	1. 1 Training records lists 2.1 Surveys of families in target audience (No baselines needed for these outputs)	Credit organization ready to partner for life of project
Activities	Completed activities described in progress reports	<ul style="list-style-type: none"> • Project records • Site visit by Project Supervisor and Report 	
Inputs	<ul style="list-style-type: none"> • Budget with updates 	<ul style="list-style-type: none"> • Project records • Site visit by Project Supervisor and Report 	

5.3 Completing the Results Chart and Informing the Withdrawal schedule

You can take the chart above and expand it to include the PDO, and all outputs, activities and inputs for your project as captured in your winning proposal. *The first 3 columns (Objectives, Indicators, Sources) form the basis for the Monitoring plan that we develop next. They are also used later in making an Evaluation Plan.*

You can review the outputs, measures and activities to be sure that you have all major milestones covered in the withdrawal schedule. Ideally it should contain major outputs with a selected number of measures and a few key activities that contribute to outputs. You will be deciding this in consultation with your project supervisor. The assumptions should be monitored and reported on in the progress reports as needed. They may also need to be examined in the evaluation that you do for yourselves at project end. The bottom two rows of the chart can be used to begin an implementation or work plan to use to manage results.

Objectives	Measures/Indicators	Sources	Assumptions
PDO: 50 artisans produce 500 improved water pots used by families in village X by year 2	<ul style="list-style-type: none"> • 50 artisans produce pots that meet quality standards by end of year2 • 500 families using new water storage devices at end of year 2 	<ul style="list-style-type: none"> • Artisan production and sale records • Visual survey of families with water pots installed (Baselines before project)	Rainfall is adequate for water collection
Outputs: 1.20 potters trained in water pot construction by end of year 1 2.Acceptable cost of water pot market tested in target villages	1.1 Number of trainings held year 1 1.2 Number of potters trained year 1 2.1 Price range of pots in sample 2.2 Numbers of pots on backorder	1.1 Training records lists 2.1 Surveys of families in target audience (No baselines needed for these outputs)	Credit organization ready to partner for life of project
Activities: 1.1 Potter training program designed. 1.2 Potters for training selected, etc. 2.1 Survey of acceptable pot costs completed 2.2 Availability of credit from partner organization determined	Activities described in progress reports	<ul style="list-style-type: none"> • Project records • Site visit by Project Supervisor and Report 	
Inputs: Training costs Market survey costs for target villages, etc Personnel	Budget with updates	<ul style="list-style-type: none"> • Project records • Site visit by Project Supervisor and Report 	

We have completed the section on measuring and can now begin constructing our Monitoring Plan



6. DEVELOPING A MONITORING PLAN

In this section we will build the Monitoring Plan using the concepts we have been exploring already. You will need your proposal, your grant agreement and your Withdrawal Schedule. If you have completed a Results Chart, it can be helpful to use in completing the plan in an organized way.

You may want to refer to **Section 1** to review some of the basic concepts before you begin.

6.1 Why do we Prepare a Monitoring Plan?

The plan allows you to put all your major reporting requirements in one place. It contributes to good project management by assuring that comparable data will be collected on a regular and timely basis. Monitoring promotes the collection of comparable information by which to judge project accomplishments. It helps project teams clarify what impact a project is expected to have and how this will be achieved – *this facilitates better planning and budgeting.*

The Monitoring Plan shows how progress and impact will be assessed – *to facilitate better implementation and reporting.* It outlines how the necessary information for tracking progress and impact will be gathered – *this facilitates marketing success to build political and public support.* It helps explain the reasons for success and failure of project activities and how they serve to contribute to the PDO or how to improve future action.

Our Monitoring Plan has two major parts: the Monitoring Tracking Chart and the Monitoring Plan Outline.

6.2 Monitoring Tracking Chart

On the next page you will see a model template for the Monitoring Tracking Chart.

You will need to refer to your withdrawal schedule, milestones from your grant agreement and the Results Chart if you completed one.

Look at the chart as you follow the instructions for filling it in. See Annex 4 for the Monitoring Tracking Chart template. Each heading is explained below.

1. **Milestones:** Start with the PDO and then add all the deliverables from your withdrawal schedule in the grant agreement
2. **Indicators:** Make sure that you have 2-3 outcome indicators for the PDO and at least 3-5 output indicators for each Project Period.
3. **Data sources:** For each measure, identify where you will get the information to complete it (project files, additional surveys, interviews, government data, etc)
4. **Baseline:** If the measure is new, it will not need a baseline. But if you are measuring something that is ongoing that started before your project (e.g. families accessing wells, attending clinics, etc) you will need to determine what the starting point is for your work. This is the baseline against which you will measure your progress. **For example:** If you are adding 500 families to the number who have access to water, it can be measured as 500 against zero at

the start or 500 more than the information you have available on how many people have water pots already in the target area.

5. **Method of collection:** Be as specific as you can. Will you do an informal survey? Collect data from enterprises?

6. **How often:** Annually for the PDO (twice during project), more often for the outputs (every 6 months). If you know dates or month in project, say so (e.g. month 4, month 16, etc)

7. **How will you analyze:** Will you compare information from baseline and next measurement? Will you add up all the data and separate by gender if it service delivery? Will you review reports and pull out information? Will you look for major interview results?

8. **Who is responsible** for reporting: If it is not the project team leader, please state the function of the person, not their name (e.g. project accountant, field supervisor, etc)

9. **What form will the information be presented in:** If you are doing a separate report besides your progress report, make that clear, otherwise state the progress report number or date.

10. **Date submitted:** This should track with your Withdrawl Schedule, progress report schedule and Implementation Completion Report requirements. You should put a planned date and then update with actual dates as you submit them to keep the plan current.

11. **Comments:** This is where you should explain any monitoring issue, *not* performance discrepancies. (e.g. Survey conducted during 9th month of project, interviews postponed due to flood, etc)

The Monitoring Tracking Chart becomes a living record of project progress and should be updated before your prepare each progress report.

6.3 Monitoring Plan Outline

Here we present an outline for the descriptive portion of your plan. (The plan can be short with just a few pages of text and the chart attached.) This text explanation will accompany your Monitoring Tracking Chart to form the complete Monitoring Plan.

Monitoring Plan Outline

- 1. Objectives of your plan:**
What you are trying to learn as you do your project. What do you know the most about now? What do you need to learn in order to have project success?
 Project must ensure that indicators for each objective show steady progress particularly in the first 6 months.
- 2. Recap of PDO and major deliverables from the grant agreement.** (Copy from the first column of your Monitoring Tracking Chart)
- 3. Challenges to measurement: which measures will be most difficult to gather and how have you solved this? You can add comments to the chart on these as you go**
 Baseline is difficult to determine in one section of the target area due to new construction that included water pots. We have decided to count these as existing at time of project since they were planned before we began.
- 4. Data sources: Is there any information that you will need to spend resources to obtain? Have you budgeted for this in your project?**
 We plan to conduct a survey of all households in the target area during the first 3 months while we are training the artisans on water pot manufacture. This will help our targeting strategy as well as provide data on who has pots already.
- 5. Baseline: Explain if you need one or not. Explain how you got it and when. Not all measures need baseline.** See item 3 above.
- 6. Methods: Explain how you will get any information that the project does not automatically generate.**
 All data can be found within project documents except for information from our credit partner. They have agreed to furnish us reports every quarter on who is getting loans for water pots and where.
- 7. Dates for reporting: Look at your project and determine when you will have something to report. You will collect information at these times but report it in your progress reports and in the Implementation Completion Report at the end.** Most indicators will be collected at least every six months so that each progress report can reflect current status of results.
- 8. Analysis considerations:** If you will need assistance with any analysis of information you collect, you should say what and when here. Will request project supervisor review of summary of interview data to check for validity of conclusions. These needs will be part of your work planning.
- 9. Reporting schedule: Make it clear if you plan to do any reports on project information besides your progress reports. These are not required but you should mention it so your project supervisor is aware.**
 We anticipate collecting quarterly reports from our credit partner in time to analyze and include in progress reports.
- 10. Use of information: How will you share progress information with audiences besides the World Bank? Who will you consult? (Refer to your Stakeholder Communication Strategy)** We plan to distribute a fact sheet in local language to other NGOs in the target area and village associations on our progress. We have at least one additional potential donor that we will send copies of portions of our progress reports.
- 11. Evaluation Issues: Identify two or three issues that you are concerned about tracking during your project. These are things beyond routine performance information on your measures. They may be aspects that affect project success, like: willingness to pay for services, access to transportation or credit, etc. Anything that you think will be critical to success of the project that you will want to examine before completion.** We assume that all households will want to acquire the improved water pots. We will need to study those that do not wish to participate to determine reasons. Is it cost or other considerations?
- 12. Overall Issues: Discuss any other concerns you have about monitoring and reporting.** We hope that the costs of routine monitoring can be covered under our administrative costs but we won't know until we actually collect the first set of data.

Once you have prepared the Monitoring Tracking Sheet and Monitoring Plan Outline, you have a draft Monitoring Plan ready to discuss with your Project Supervisor in country or the Portfolio Coordinator at the DM. They will ask you questions about any point that is not clear in either the chart or the outline so you can finalize and submit according to your Withdrawal Schedule. Your Project Supervisor may add items to discuss with you once you have given him/her a draft to review.

Next we will discuss Stakeholder Communications Strategy as it pertains to this part in the planning.



7. STAKEHOLDER COMMUNICATIONS STRATEGY

A Stakeholder Communications Strategy is a vital and critical element in all development projects – particularly for community-based projects testing innovative solutions to poverty. Implementation almost always requires partnerships, and in many cases, up-front investment in developing or strengthening these partnerships is needed. Development of a Stakeholder Communication Strategy, jointly with stakeholders if possible, can be helpful in encouraging investment and buy-in of project beneficiaries to the objectives of the project. The Strategy is typically made public and explained to all interested parties in the very early stage of project implementation

Good practice on communication strategies point to a number of critical elements:

1. Communication Strategy objectives extend beyond conveying knowledge or information to targeted audiences, and include the aim to motivate or experiment with change in behavior of targeted audiences
2. The Stakeholder Communications Strategy is developed in the initial stage of project implementation and is based on research and analysis of the following four key issues:
 - Whose support is critical for the success of this project?
 - What changes in knowledge, attitudes, and behavior will need to occur among various groups?
 - What messages will be persuasive to these groups? There may be multiple messages for one project.
 - What channels of communication will reach these groups effectively? Local protocol or customs may have to be followed in specific cases.
3. Lastly, the Strategy makes effective use of a variety of communication tools that cater to the specific audiences and to country and/or local circumstances. Communication tools could include:
 - Mass media campaigns (modern: radio, newspapers; and traditional);
 - Local theatre / Dance performances;
 - Social marketing (posters, bulletin boards, leaflets, audio-video cassettes, T-shirts);
 - Workshops and other outreach activities conducted through traditional community-based communication networks (religious centers, local markets, etc.);
 - Education programs designed specifically for targeted audiences; and
 - Training programs for communicators (teachers, community/opinion leaders, leaders of women or other community groups) that can reach targeted audiences.

Stakeholder Communications Strategy Worksheet

For each audience, fill out the form below:

Audience	Behavioral change and/or transfer of knowledge desired	Information to convey: (your main message and information you will use to support it)	Channels to be used to communicate	How to evaluate if communication worked or not



8. PREPARING AN EVALUATION PLAN

You will remember that **Section 2** above gave some basic practices in evaluation:

- An evaluation sets out to compare the planned results to those actually achieved, to see what worked and why and what was learned in the process. It is a picture of the success of the project.
- If the project is continuing, it helps you plan the next phase. If it is ending, it helps you learn from the work in an organized way.

In addition to the reporting you do during your two year grant, you may want to do an evaluation either with your team or with outside help before the Implementation Completion Report at the end of the project term. An evaluation which you do for yourselves is a **self** evaluation or internal evaluation. It can be quite informative as long as you do a research plan or terms of reference for it and stick to the plan as you examine the results of your project. An evaluation which others not on the project team complete is an **external** evaluation. If you want to do an external evaluation before the end of your project, you will need to budget for this. The Cohort Evaluation mentioned previously is an external evaluation paid for by the World Bank.

8.1 Organizing an evaluation

You can start by looking at your Monitoring Plan and identifying any issues that came up in reporting that you think should be looked at in an evaluation.

These might include:

- Did the project work the way you thought it would when you planned it?
- What factors helped you achieve more than you planned?
- What factors were more difficult?
- What lessons did you learn that you would apply if you were to do another similar project or if you would try to expand the project to more people or a different location?

An evaluation takes a look at the PDO and at the problem you were trying to solve and says: How did it go?

It gives you a chance to focus on long term impact as well as opportunities and constraints.

One way to begin looking for evaluation issues is to look at the risk analysis you did in your proposal. If you did a Results Chart, the assumptions portion may also generate some issues.

- Did you take assumptions into account?
- Did new factors come up during the project implementation that affected results? How were these handled?
- What did we learn about the innovation we were trying? Will it work somewhere else? Under what conditions?
- Did you identify any best practices that you could use in another setting or when replicating the project elsewhere?
- Did people you came in contact with during your communications outreach give you any insights on how to improve the program either then or for later?

These sorts of questions will help you identify issues for an internal evaluation.

8.2 Evaluation Plan outline

Once you have thought about the issues and discussed them with interested parties both inside the project and outside, you are ready to organize the work. If you refer to your Monitoring Tracking Chart, it will help you to determine what you want to put in your Evaluation Plan.

Plan elements:

1. **Objectives of the evaluation (two or three are enough):** They answer the question **why** are you doing the evaluation?
2. **Major questions to be addressed:** What are you trying to learn? These make up a set of research questions that you are going to examine in your evaluation. They are the means that you will use to reach the objectives of your evaluation.
3. **Information collection:** How will you answer the questions? Will you do interviews? Of whom? Where? Will you use a standard set of questions? Will you assemble some small groups and ask them questions together to get feedback on the issues? Will you review previously collected information that you used in progress reports?
4. **Analysis considerations:** How will you answer the questions using the information you collected?
5. **Expertise required:** Here you can state whether you need technical expertise not found in your project team and how you will obtain it.
6. **Timing and preliminary schedule to conduct the evaluation:** You should explain how long it will take and get some idea of the information collection timing as well as the analysis timing.
7. **Estimate of costs and how they will be covered:** It is easy to underestimate the cost of doing an evaluation as it will take more transport and time than normal project operations.
8. **Presentation of the evaluation report:** Most evaluations present findings, conclusions and recommendations. Some add a lessons learned section before the recommendations. This is a standard formulation that should be used in all evaluations regardless of timing.

Findings are the major points on the information collected. They summarize by category or research question what you learned. They present the information **without** analysis.

- More than 50 artisans had to be trained in water pot production in order to ensure that demand was met in a timely way. This increased project costs.

Conclusions present what the evaluators think about the findings. Keeping findings and conclusions separate in the discussion is difficult but necessary. It allows the reader to form an opinion about what you found more easily.

- Assumptions about willingness of artisans to continue to produce pots once trained turned out to be overly optimistic. Other opportunities to produce household items competed with project remuneration plans for the artisans. Additional training of extra artisans had to be done as a result.

Recommendations cover what the evaluators think should be done in a similar project with similar objectives. These are very subjective and are mainly useful if you are going to continue the project or expand it. These are most useful if they respect the original objectives and don't try to hypothesize conditions that were not present.

- Surveys of artisans should be done prior to another project to assure wage needs and competition for their time by other business opportunities.

Lessons learned sum up the conclusions and put them in the context of the innovation itself and the way you approached it. These can be quite valuable if they focus on the project as a case in a broader set of development challenges.

- While water pots that are locally made are attractive to households and increase use of potable water, the ability to furnish the pots on schedule and at a realistic price for target households depends on availability of artisans and their continued interest in project incentives. This could seriously affect sustainability or conversion of the innovation to a business venture.

Good practices in this section help you decide what should be in an evaluation and how it should be organized as well as present a basic terms of reference for you to use to guide the development of an evaluation. Your project supervisor can also advise you on how to take advantage of local expertise to help you with the evaluation. It needs to be organized just as a project would be so that you can be efficient and learn the things that are most useful for learning about your success and looking to the future.

You are encouraged to do some evaluation of the project before the Implementation Completion Report.

Approximately three years after project launch, the Development Marketplace will ask you to participate in a follow-up evaluation they conduct called a **cohort evaluation**. This evaluation is typically done by an independent group of analysts and will be comparing impact of projects of similar theme or focus that were funded in the same year. Your project will be compared to others during this evaluation. Your Monitoring and Evaluation Plans will be useful to help these evaluators understand what you were trying to accomplish and what progress you made as described in your progress reports to DM.



9. SUSTAINABILITY PLAN: USING INFORMATION TO PLAN FOR THE FUTURE

During the course of implementing your funded project with Development Marketplace you will have developed a set of information products which will help you if you decide to expand your innovation or replicate your project.

These products include:

- The Stakeholder Communications Strategy
- The Monitoring Plan and Evaluation Plan
- Any evaluations you may have done
- Progress reports

Looking at these all together can help us see what the sustainability of the DM supported project is likely to be. To do this we can ask ourselves a set of questions.

9.1 Sustainability Plan Checklist

To help you reach some conclusions about the sustainability of your innovation we have proposed a set of questions to ask that form a checklist. The answers to these questions can form the basis for your Evaluation Plan.

1. What do the stakeholders and beneficiaries think are the most useful parts of the innovation that the project used? Which ones are they interested in continuing? Which ones are completed? Have we consulted them about this possibility?
2. If we continue the project work, will it take a new form? Will the PDO change? Will the outputs expand? Will the targets expand? How?
3. What did we learn from the measurement of our progress about the time it takes to implement the change?
4. What did we learn from beneficiaries? From stakeholders? Will we need new ones?
5. Are there ways in which the way we ran the project promoted the change? Was there anything we did that slow down the work?
6. Will the same people be available to continue should we choose to do the project on a bigger scale or in a different place? Do we need a different mix of skills to continue?
7. How will we handle the leadership functions?
8. How will we manage the work?
9. How will we do the financial oversight?
10. Where will we get additional funding if we choose to continue? Have we contacted them? Do we know their requirements?
11. Can we adapt any of the tools we used in this project to our new source of funding requirements?
12. How long do we think we will need funding before the project can stand on its own? Is that feasible? Why?
13. How is ownership of the project results affected by the funding source?

The answers to these questions along with any learning from evaluations will also be useful in completing the Implementation Completion Report at the end of the project. You can discuss the answers to the checklist with your project supervisor to help you have a focused discussion about the future of your innovation.



10. SUMMARY

We hope that you have found the toolkit a practical help in expanding your knowledge of monitoring and evaluation and reporting and their application to running your project efficiently and successfully. The sections are designed to be used all together as a sort of self-training program or in individual sections when you just want some guidance on how to prepare a specific product outlined in your withdrawal schedule.

We look forward to your feedback as you use the concepts and tools presented here. Please send any comments or suggestions to dmwinner@developmentmarketplace.org

Glossary

Activities. The work items that contribute to project outputs. They sound like an item on a list of things to do, not like a result.

Assumptions and Risks. Elements that we cannot control that will affect project success.

These often include external factors such as weather or political stability in the place where the project is located.

Baseline. Status of an indicator at the beginning of project work. If no results exist already, the baseline is zero. If there has already been a similar project with comparable objectives in the geographic area you are targeting, there may be a need to establish the numerical value for an indicator at project start.

Evaluation. The periodic (as opposed to on-going) assessment of how efficient, effective and sustainable a project is in achieving its desired results.

Indicators. Specific measures of success for the project. Indicators are usually targeted in terms of quantity, quality and time (QQT).

Inputs. The resources (both in funds and person days) needed to complete each activity.

Monitoring. On-going tracking of how the project is progressing against plans. Monitoring frequently involves comparing progress against planned indicators of project performance.

Outcomes. Are stated results of completed action. It is an incremental result that demonstrates progress toward the PDO. Typically 2-3 outcome indicators together contribute to achievement of the PDO.

Outputs. Outputs are stated as completed action. Taken together all the outputs are enough to achieve the PDO. Each one is necessary but by itself it is not enough.

Project Development Objective. The main result of your program. It describes the expected benefits of a program for the primary target population at the time the project is completed.

ANNEX I

SAMPLE PROPOSAL TEMPLATE FROM THE 2008 GLOBAL DM COMPETITION

1. DM PROPOSAL NUMBER AND TITLE

Please list the DM proposal number provided at the beginning of your notification email and your proposal title. The title cannot exceed 15 words. If you are unable to locate the number, please send an e-mail to dm2008finalist@worldbank.org.

2. PROJECT SUMMARY (MANDATORY limit: 250 words)

Please summarize your project. The summary should include three main sections:

- a. Rationale: What problem will the project try to address?
- b. Objective: What is the primary objective and potential development impact of the project? Include quantitative information/estimates of the expected results, such as number of beneficiaries, change in incomes, increase in hectares covered by sustainable land management, etc.
- c. Innovation: Indicate what is innovative about the project.

For sample proposal summaries from past DM winners, see [Annex A](#).

Note: This summary will be used in publications to describe the project to the jury and the public. The DM Team reserves the right to make minor edits to your project summary in order to enhance readability.

3. PROBLEM DEFINITION / RATIONALE (Suggested limit: 300 words)

Clearly describe the specific problem(s) your project is trying to address. Explain why solving/alleviating this problem is important. To the extent possible, your description should include estimates of the number of people affected by the problem(s) in the geographic area in which you plan to work. It should also include a summary of other efforts/organizations dealing with this issue and the weaknesses or lack of effectiveness of those approaches.

4. PROJECT OBJECTIVE (Suggested limit: 400 words)

Clearly state the primary objective of the project. Indicate the results that you expect by the end of the DM-funded project implementation period.

Indicate how you will measure your results at the end of the DM-funded project implementation to evaluate the achievement of your project objective. This should include a list of 1-3 measurable indicators of the outcome/results you expect to achieve.

Note: If your proposal wins a DM grant, these 1-3 indicators will be used to help verify the degree to which you achieved your objectives at the end of project implementation.

For illustrative purpose only, the following could be considered outcome indicators for a project aimed to improve quality of a product and expand into an export market: 1,000 farmers adopt new farming technique; 10,000 hectares with improved land management, 20% increase in incomes of project participants / beneficiaries; 300 farmers beginning to export product.

5. KEY PROJECT DESIGN ELEMENTS (Suggested limit: 1100 words)

5a) Innovation (Suggested limit: 500 words)

Innovation is a major differentiating element of DM competitions compared to other development grant programs and DM2008 seeks new approaches to sustainable agriculture.

Describe what is innovative or unique about your project. What specific characteristics of your project idea demonstrate that you are applying a novel/pioneering approach? Indicate, to the best of your knowledge, if similar ideas have been implemented elsewhere (different country or context).

TABLE 1: Type of Innovation

Directions: Choose which type of innovation best describes your project
(See [Annex B](#) "Typology of Innovation" for reference).

- New technology
- New product, benefit or results
- New delivery method and/or service
- New financing method
- Application of demonstrated approaches to new types of beneficiaries**

****Note:** If the innovation is the application of demonstrated approaches to new types of beneficiaries, please provide additional information on the unique institutional or cultural barriers that have prevented use of existing means to reach this unique targeted population and how the innovation proposed for DM funding will overcome these barriers.

TABLE 2: Stage of Testing Out the Innovation

Directions: Choose the most accurate category that describes the current stage of the proposed project's innovation (prior to receiving DM funding).

- Idea stage/early stage:** Innovation has not been tested. Idea is still a concept. No prototype exists yet.
- Early testing stage:** Innovation has evolved beyond an untested concept / blueprint. For example, a prototype has been developed but not field-tested on a sufficient scale to indicate viability of idea.
- Proof of concept:** Innovation has been tested and validated to demonstrate that the business model or idea is feasible, but not at a sufficient scale to indicate viability of idea under a variety of conditions.
- Ready for Scale-up / Replication:** Innovation has been successfully validated / field tested under several conditions. It is ready to be scaled-up or replicated in other geographic areas.

Note: If your new technique or technology has been validated (at the proof of concept or scale-up stages indicated above), please provide us with a brief explanation of how it was proven to work.

5b) Project's Geographic Area of Influence (Suggested limit: 600 words)

Provide an overview of the social and geographical context in which the project will be implemented. Please specifically describe the project site(s) where key interventions will take place. If applicable, indicate any socially and/or environmentally sensitive areas in the project's area of influence. For example, identify any cultural property / resources, local indigenous groups, forests, critical natural habitats, disputed areas in the project's geographic area of influence.

You may attach a JPG/TIF/GIF file map representing the project’s area of influence to the full proposal as “Appendix B”. This will not be considered part of your 19-page limit.

6. IMPLEMENTATION PLAN (Suggested limit: 900 words)

Indicate the number of months for the DM-funded project implementation period. Note that this cannot be longer than 24 months.

Provide the basic structure of the project implementation plan. Include a list of up to 10 major project activities that would take place during the DM-funded project implementation period.

7. COMMUNICATION WITH PROJECT STAKEHOLDERS (Suggested limit: 400 words)

A stakeholder refers to any party that might have an interest in the outcome of your project. The aim of a communication strategy can include conveying knowledge or information to targeted audiences, as well as motivating a stakeholder group to change their behavior.

In this section, briefly describe your communication strategy to reach your stakeholder group(s). Identify your project’s principal beneficiaries and other stakeholders. Describe how you want each major stakeholder group to change behavior and/or receive knowledge from this project. Indicate if you have already been in communication with each stakeholder group. To the best of your knowledge, describe the current degree of acceptance of this project idea from the stakeholder group(s) you identified. Table 3 is an optional tool to help frame your communication strategy.

TABLE 3 (optional): Communication Strategy Worksheet			
Directions: For each audience, fill out the form below			
Audience	Behavioral change and/or transfer of knowledge desired by the end of DM-funded project implementation	Degree to which the project team has been already interacting with this stakeholder group regarding this project.	Is this group already supportive or opposed to the project idea? Indicate if you do not know.
Stakeholder group #1			
Stakeholder group #2			
Stakeholder group #3			

8. RISK ASSESSMENT (Suggested limit: 500 words)

The Development Marketplace recognizes that innovative projects often face risks associated with taking new approaches and applying untested ideas. Our experience is that successful projects are those that acknowledge early on in the project design phase the possible internal and external factors that could cause problems during implementation and identify strategies to mitigate against these risks.

Please carefully consider and identify any project design and/or external risks associated with your project. Describe any foreseen major challenges that your project may face during implementation. Examples include, but are not limited to, organizational, structural, project design, conflict area, and climate conditions, etc.

Please also indicate any strategy/project design elements you have built in to your project to mitigate against each risk identified. For example, if your project requires obtaining an operating license for a new technology, please

describe your existing communications with the authorities regarding this technology, how you are building in the required time to obtain the license, and any contingency plans, if possible, in case such license permit is rejected.

Your proposal will not be penalized for identifying potential risks if you are able to provide a coherent, realistic strategy for risk mitigation and management.

9. SUSTAINABILITY AND GROWTH POTENTIAL (Suggested limit: 600 words)

Development Marketplace is interested in projects that can continue to operate sustainably after the DM funding period. The Development Marketplace also seeks projects that have the capacity to either expand or replicate to increase their potential development impact.

Describe your project's characteristics that will ensure it is sustainable. These can include:

Organizational characteristics (e.g. nature of partnerships, relations with key stakeholder groups, etc.)

Financing plans (e.g. dependency on well established relationships with key donors; marketing strategy for generating self-sustaining project revenue, etc.)

Plans for covering operations and maintenance costs of equipment, including local training programs to ensure supply of qualified people to operate and maintain equipment

Describe the potential for your project to replicate the elsewhere or expand its current geographic area of influence after DM funding.

10. FINANCIAL VIABILITY (Suggested limit: 700 words)

Referring to the completed budget spreadsheet, explain the major assumptions behind your project budget (both costs and revenues).

In addition, if your idea involves a market approach to generate revenue (either during or after project implementation), describe what market analysis has been conducted to date. For projects dependent on generated revenue during DM implementation, elaborate on the assumptions used to estimate the revenue to be generated (i.e. market size and price for your goods or services).

You should indicate in the submitted budget if your project depends on anticipated or confirmed co-financing (external or project-generated revenue). If your project depends on anticipated funding, please describe any contingency plans in place to modify / adjust the project's activities and anticipated outcomes. Specifically indicate how your outcome targets that measure what you expect to achieve would be changed / lowered due to the decrease in anticipated funding.

11. ORGANIZATIONAL CAPACITY (Suggested limit: 800 words)

Describe the strategic focus of your organization. Outline your organization's strengths and track record, including partnership(s) with other organizations. List any implementation experience related to your proposed project. If you have no prior experience in this field, how will you ensure successful execution of this project?

Describe the Project Team. Consistent with the Project Budget personnel and consultant expenditure categories, describe the structure and total number and range of skills of the project team. Indicate which team members are already employed by the applicant organization and what other organizations/businesses will be hired if the proposal wins DM grant funding.

Table 4: Summary of Capacity of Implementing Organization

Directions: Please choose any of the following that apply to your organization

- New organization that will implement the project
- Project team has no project implementation experience in the geographic area(s) impacted by the project
- The applicant has a long standing positive relationship with the local communities that will be impacted by the project
- Project team’s organizational focus is outside the field of sustainable agriculture.
- Project team leader or other core project staff need to be hired to implement this project

If you have a partner organization for the project:

- Describe the strategic focus of your primary partner organization. Describe the strengths the partner will bring to this project, including implementation experience with similar initiatives in the region or sector.
- Describe the nature of your partnership (in-kind, participatory, advisory, financial, etc), and how you and your partner will collaborate. Please indicate if the applicant, the partner, or both will be implementing project activities in the field. Has your organization worked with the main partner before? If so, has this taken place within the same locality/region as those identified in this proposal?

Table 5: Summary of Capacity of Partner Organization (if applicable)

Directions: Please choose any of the following that apply to your project partner organization.

- New partnership to implement the project
- Project team that has no project implementation experience in the geographic area(s) impacted by the project
- The project partner has a long standing positive relationship with the local communities that will be impacted by the project
- Project partner’s organizational focus / mission is outside the field of sustainable agriculture.

Table 6: Implementing and Partner Organization Information

Directions: Fill in the following information about the applicant and partner organization.

	Number of Full-time employees:	Date of legal registration with government authority (registered business, NGO) or if government agency, date of creation of organization:	Has your organization ever implemented a project with budget size of at least the size of this proposed project (DM funds plus other planned funding sources)? (Yes/No)
Implementing Organization			
Partner Organization (if not an individual)			

12. TEAM LEADER (Suggested limit: 300 words)

Name the proposed project team leader. Consistent with the curriculum vitae submitted as part of the Full Proposal Package, describe the team leader's key experience and/or background that demonstrate his/her capacity to lead the project.

The end of Question 12 marks the 19-page limit requirement.

ATTACHMENTS TO THE FULL PROPOSAL TEMPLATE INSTRUCTIONS

ATTACHMENT A: SAMPLE PROPOSAL SUMMARIES FROM PAST DM WINNERS

SAMPLE 1: Rental Service for Electricity in Rural Villages

RATIONALE: The lack of electrification is a major concern of rural villages. The availability of electricity-dependent lighting and communication equipment can have a direct impact on poverty and education. For example, lighting enables productive activities after dark, thereby freeing up time in the day for outside activities. But according to government figures, 60 percent of Lao villages in remote areas will not benefit from the electric grid for many years. In addition, villagers find alternative sources of electricity, such as solar-power systems, an expensive investment and would prefer a cheaper and more flexible option.

OBJECTIVE: To provide electricity to rural households in 10 villages in Lao PDR by providing 120 affordable and reliable solar electricity systems through rental services. In addition, the project will capitalize on the community's favorable attitude to modernization by creating a mental association of nature conservation efforts with "modern" solar energy systems, thus creating goodwill towards environmentalists' efforts to protect the biodiversity of the region through sustainable use of natural resources.

INNOVATION: By providing rental solar equipment, the project makes electricity affordable for the majority of rural households or villages without the use of subsidies. The rental system encourages reliable servicing, allows consumers the flexibility of returning or changing the system to suit their needs, and creates local jobs through the service delivery mechanism.

SAMPLE 2: Jetted Wells – Low-Cost Water Supply in Record Time

RATIONALE: Madagascar is not on track for achieving the MDGs for water: access to safe drinking water is 14 percent in rural areas and drops to zero in many isolated villages. In addition, sanitation habits are poor, resulting in high levels of water-borne disease and child mortality. The few existing water projects are expensive and/or difficult to scale up. At the same time, many rural areas contain sources of water stored in naturally occurring, shallow, sandy aquifers, but the local communities lack the means to tap into this groundwater.

OBJECTIVE: To provide clean water to rural, coastal areas by rapidly constructing 150 low-cost, jetted wells with hand pumps in a limited area with the potential to reach all coastal areas. The project expects to provide more than 15,000 villagers with access to safe drinking water with the potential of scaling it up to reach one million people in Madagascar's coastal areas.

INNOVATION: This project combines two low cost technologies: well jetting (directing a powerful stream of water to cut a well) and the Canzee hand pump (draws water out of the well), to provide clean water to local communities. The team expects to construct 150 wells in 7 months, proving that a large number of wells can be constructed very rapidly. The team would also use the wells' natural sand filtration to clean the water, thus avoiding the use of costly disinfectant chemicals. Moreover, the pump will be manufactured locally so that it would be available widely and at low cost.

ATTACHMENT B: TYPOLOGY OF INNOVATION

Innovation is a major differentiating element of DM competitions compared to other development grant programs. All proposals selected for funding should incorporate new methods that go beyond standard agricultural development projects. Here are the elements of innovation as defined by DM competitions, with illustrative examples:

New technologies

- Use of GPS and digital maps for spatial mapping of productive clusters and source areas with respect to access roads
- Local resource mapping to develop and codify arrangements for effective use of common property resources in a way that benefits the poor
- Low-cost technologies for sustainable cellulose-based biofuel production

New products, benefits and results

- Use of radio frequency identification technology to improve traceability of pallets of agricultural products
- Decentralized settlement of conflicting land claims in post-conflict settings
- Community/company partnerships around reducing deforestation, afforestation (adaptation), processing and payment for environmental services

New delivery methods and services

- Use of appealing graphics to train illiterate small farmers in EureGAP principles and requirements for certification of agricultural products
- Transmission of market price data in rural areas using SMS text messaging coupled with a relational database of growers and products
- Increasing access to land records through public/private partnerships to enhance transparency and reduce corruption

New financing methods

- Use of warehouse receipts financing for perishable products
- Post-transfer support to those who have received land through government programs
- Increasing the share of payment for environmental services revenues that go to poor landholders and the landless

Application of demonstrated approaches to new types of beneficiaries*

Legal aid/awareness campaigns for women who have to deal with inheritance issues or with land acquisition by outside investors

- Sustainable use of biodiversity by indigenous communities
- Certification of small-holder and indigenous community forests (with access to processed biodiversity products for international markets)

*If the innovation is the application of demonstrated approaches to new types of beneficiaries, please provide additional information on the unique institutional or cultural barriers that have prevented use of existing means to reach this unique targeted population and how the innovation proposed for DM funding will overcome these barriers.

ATTACHMENT C: DM2008 EVALUATION CRITERIA

1. Innovation

How does the project differ from existing approaches? Innovation is a major differentiating element of DM competitions compared to other development grant programs. All proposals selected for funding should incorporate new methods that go beyond standard agricultural development projects. Please see "[Annex B](#)" for details.

2. Growth Potential

Does the idea have the potential for expansion? Can it be replicated elsewhere?

3. Results

Will the project have clear and measurable results that will have a direct impact on linking small farmers to markets, improving land access by the rural poor or ensuring local gains in addressing biodiversity conservation and climate change?

4. Realism/Organizational Capacity

Does the project have a realistic implementation time frame and budget? What is the organization's capacity to implement the project?

5. Sustainability

Does the project have the potential to continue beyond DM funding?

ANNEX II

PROJECT IMPLEMENTATION PROGRESS REPORT TEMPLATE [MM/DD/YYYY]

In order to ensure transparency, accountability, and to share lessons learned, we will post this Progress Report on the Development Marketplace website at www.developmentmarketplace.org If you would like to share any sensitive information with us, you can do so in section VI. The information provided in this part of the report will be handled as confidential and will not appear on the DM website.

I. Background Information

DM Project Number and Title		
Report Author's Name and title (if different from Grantee Leader)		
Reporting Period from	[MM/DD/YYYY]	To [MM/DD/YYYY]

If your contact information has changed, please provide us with the new information.

Contact Name:	
Title:	
Organization:	
Primary Email Address:	
Secondary Email Address:	
Organization's Website	
Phone:	
Fax:	
Address:	
Postal Code:	

II. Progress Against Milestones

1) List the output indicators in the first column as presented in the withdrawal schedule for this milestone period. The second column should indicate the current status of each milestone objective. In the third column, please provide quantitative data and qualitative information describing the status of the project against that particular milestone.

Milestones (Copy from the Agreement)	Status (Completed/ In Progress)	Descriptive Information on the Status
<i>EXAMPLE: Promotion of organic farming as an income generating activity: Train 40 rural women in organic mushroom farming.</i>	Completed	43 women from 5 villages were trained through 3 organic farming classes. About half of them expressed a keen interest in this potential source of income.
Communications Strategy finalized Baseline data collected Implementation work plan and M&E work plan finalized Project staff hired Project Supervisor site visit completed Project-specific Output Indicators <ul style="list-style-type: none"> • • 		

2) If you did not achieve some of your stated milestones, please explain the reasons and the plan and timeframe for addressing the issue(s).

III. Overall Project Progress

Please note that all information reported in the remaining sections should reflect progress for **this** reporting period only.

1) To date, have any elements of project implementation exceeded the original plan?

- Yes No

If yes, describe your achievements:

2) What have been the main challenges of your project to date? What, if any, adjustments have you made to your original business plan in order to overcome the challenges and meet your objectives?

Challenges:	Adjustments:

3) Do you have any concerns about meeting your next milestones's outcome indicators?

Yes No

If yes, what are the concerns? Please describe your plan to address those challenges or note any technical assistance from the Development Marketplace that may help you overcome such obstacles.

4) **Co-financing:** Has your organization secured co-financing funds per the planned project budget.

Yes No Not Applicable

If yes, provide the following information.

Funding Sources	Date of Award	Amounts Funded/ Committed	Purpose of funding	Type of funds
<i>Organization Names</i>	<i>[MM/YYYY]</i>	<i>US\$000,000</i>	<i>e.g., maintain existing operations, grow the project, replicate project to a new location, other (please specify)</i>	<i>grant, loan, etc.</i>

If co-financing which was part of the project budget has not been secured, what is the plan and timeframe to secure these funds?

IV. Ancillary Achievements

1) **Partnerships:** During project implementation project grantees often identify new partnerships that help them achieve their project objectives and/or contribute to project implementation, either financially or through in-kind donations. Has your organization formed any new partnerships to help implement this project? Please note that this section does not include training sessions, which can be reported in Section VI, Question 2.

Yes No

If yes, specify type of the organization from the list below:

Partner Organization Name	Type of Organization (e.g., local government, national government, NGO, bilateral development agency, multilateral development agency, private corporation, other)	Nature of Partnership (e.g., financial management, marketing, technical/product design, monitoring and evaluation, technical assistance, other (please specify))	In kind or financial partnership?
<i>EXAMPLE: DFID</i>	<i>Bilateral development agency</i>	<i>Financial management, TA</i>	<i>In kind</i>

2) **Awards/recognition:** Have you or has your organization received any awards/recognitions or media attention as a result of your DM-funded project during this period?

Yes No

If yes, please specify the sources and identify the names.

Award/Recognition Name	Type of award (e.g., local, national, international)	Date of award	Description of award	Web links/news clips, if available
<i>EXAMPLE: BBC News</i>	<i>International</i>	<i>July 2007</i>	<i>News coverage of project</i>	<i>www.bbc.com</i>

V. Requests to the DM

1) Do you have any comments or suggestions for improvement of the overall process and support provided by the DM Grantee or Project Supervisor?

VI. Confidential Report

In recognition of concerns over confidentiality, we have included several questions in the following section which will not be posted on the DM site. The project expenses report in Annex I is also confidential.

1) **Revenue generation:** Has the project generated any direct revenue or income? If so, please indicate the amount, source, and time period(s) involved:

2) **Capacity Building:** During the period covered by this report, have you or any partner organization undertaken training or other capacity building activities related to the project (e.g., financial management, marketing/outreach, fundraising)? If yes, please describe and indicate if the service was paid by your organization or was in-kind.

3) Please provide any additional confidential comments or requests in the box below. Information provided in this section will be handled as confidential and will not be posted on the DM website.

ANNEX III

INSTRUCTIONAL GUIDE & SAMPLE WITHDRAWAL SCHEDULE

The Indicative Withdrawal Schedule for disbursements serves as the basis for developing a project's monitoring plan. It provides the basis for planning project activities over the implementation cycle and reporting on key output or outcome indicators used to trigger the three disbursements of project funds. The percentage breakdown of the disbursements is set at (50-30-20%) and the DM team encourages adherence to this preset standard unless exceptional circumstances apply (e.g., high fixed costs upfront).

The basic structure of deliverables and disbursements is described in the Indicative Withdrawal Schedule (See table at the end of this guide for an example). The Schedule breaks down activities that will be implemented throughout the project cycle based on the full proposal. In addition, there are a few set deliverables that are required by the DM for each project.

For the first disbursement (50% of grant), each project must submit:

- (i) Finalized output and outcome indicator(s) that must reflect proposed results detailed in the full proposal and
- (ii) Details on the project budget. This is captured in Attachment 3 & 4 of the Disbursement Letter in the Grant Agreement Package.
- (iii) Documentation of co-financing secured. This should be in the form of a letter confirming the terms of the financing agreement and should include the committed amount.
- (iv) Signed Grant Agreement Package.

For the second disbursement (30% of grant) each project must submit:

- (i) Finalized Monitoring Plan (see Toolkit)
- (ii) Stakeholder Communication Strategy (see Toolkit)
- (iii) Field visit by the Project Supervisor
- (iv) Submission of the first Progress Report and Interim Financial Report.
- (v) A strategy and/or methodology for collecting baseline data

For the third disbursement (20% of grant) each project must submit:

- (i) Sustainability Plan (see Toolkit)
- (ii) Evaluation Plan (see Toolkit)
- (iii) Submission of the second Progress Report and Interim Financial Report.

Project Completion – 25 months after Grant Effectiveness

- (i) Submit Implementation Completion Report
- (ii) Submit Unaudited Final Financial Report to Portfolio Analyst and Project Supervisor.

General Rules of Thumb

Progress Reports, referenced in the Indicative Withdrawal Schedule, details the implementation progress made to-date as benchmarked against the project's output indicators and report actual expenses compared to the planned budget for the previous disbursement period. Estimated dates for submission of all three Progress Reports are part of the Withdrawal Schedule.

In developing the Indicative Withdrawal Schedule be realistic with what the project can deliver given the structure for disbursements. For smaller organizations or other institutions where cash flow may be an issue, be particularly sensitive to the need to make sure that the key output indicators selected for the Indicative Withdrawal Schedule are attainable within the given time-frame. In the past, cash-strapped organizations have struggled when they are over-optimistic in setting targets for outcome indicators in the early stages of project implementation.

Lastly avoid output indicators in Withdrawal Schedule outside the project's control. The DM cautions projects from using output or outcome indicators that are sensitive to risk factors outside the project team's control (e.g. government certifications or licenses).

Sample of Withdrawal Schedule

Period	End of Reporting Period	Expected Activities/Output
0		<ol style="list-style-type: none"> 1. Milestones and withdrawal schedule discussed and agreed with the Global Development Marketplace Portfolio Manager (PM) and the Project <u>Supervisor</u> (PS) as specified in the Grant Agreement. 2. Outcome Indicators agreed upon with PS and PM: <ol style="list-style-type: none"> a. 20 Private Extension Agents (PEAs) selected, trained, and engaged in the provision of agricultural services. b. 15 PEAs achieve 10% net marginal profit on sales, with a sufficient sales volume to provide satisfactory net income. c. 800 small farm households in the target area receive PEA services – the primary customer in at least 25% of these households will be women farmers. d. Average net income of 800 small farm household’s increases by \$150 annually. e. Business plan developed for management and expansion of PEA micro-franchise. 3. Completed budget template for Period 1 activities. 4. Documentation of co-financing secured. 5. All legal documents signed by the Project Team and the World Bank Country Director/Manager
	Effectiveness of the Agreement	
Forecast for advance payment to carry out activities for Period 1: \$100,000 (50% of Total)		
1		<ol style="list-style-type: none"> 1. Project-Specific Output Indicators (3-5) <ol style="list-style-type: none"> a. Detailed Monitoring plan completed. Monitoring Plan will outline protocol for collecting data to measure progress toward outcome indicators in Period 0. Plan should include details on data collection, sources of data, frequency of monitoring, etcetera. b. 20 PEAs recruited and training begun c. Development of the business plan, systems, procedures, and standards for operation of the micro-franchise well under way. d. Collection of rolling baseline data underway. e. Draft Stakeholder Communication Strategy prepared. 2. Project Supervisor’s or Project Manager’s site visit to review progress on all outputs outlined above, including a review of social and environmental standards and practices.
	6 months after effectiveness	End of activities covering this reporting period
Forecast for advance payment to carry out activities for Period 2: \$60,000 (30% of Total)		

2		<p>1. Project-Specific Output Indicators (3-5)</p> <ul style="list-style-type: none"> a. Submission of business plan for operation of the micro-franchise b. Develop systems, procedures, and standards that support the micro-franchise business plan. c. Promotional materials produced (with samples submitted) and promotional events conducted. d. PEA linkages with input suppliers, output markets, information sources, and MFI partners developed.
	12 months after effectiveness	End of activities covering this reporting period
Forecast for advance payment to carry out activities for Period 3: \$40,000 (20% of Total)		
3		<p>1. Project-Specific Output Indicators (3-5)</p> <ul style="list-style-type: none"> a. Continued development of the systems, procedures, and standards that support the micro-franchise business plan. b. 800 small farm households in the target area receive PEA services – the primary customer in at least 25% of these households will be women farmers. c. Continued training of 20 PEAs. d. Two partnerships forged with local NGOs to link PEAs with farmer groups. <p>2. Submit Sustainability Plan developed to describe post-DM activities and funding.</p> <p>3. Submit Evaluation plan (with timeline, budget and activities). Plan includes measurements of project performance using outcome indicators listed above in comparison with baseline data.</p>
	18 months after effectiveness	End of activities covering this reporting period
	October 1, 2011	Completion of all remaining Project activities.
	December 1, 2011	Submit Completion Report with Unaudited Final Financial Report to Project Manager and Project Supervisor.
Total Grant Amount: \$200,000		

SAMPLE MONITORING PLAN WITH TRACKING CHART AND OUTLINE

Sample Monitoring Tracking Chart

Milestone: withdrawal schedule	Indicator: Results chart	Data source: Results chart	Baseline y/n date	Method:	How often?	Analysis used?	Person responsible	Report Form: Progress or other	Date submitted	Comments
50 artisans produce 500 improved water pots used by families in village X by year 2	--50 artisans produce pots that meet quality standards by end of year2 --500 families using new water storage devices at end of year 2	--Artisan production and sale records --Visual survey of families with water pots installed (Baselines before project)	--Zero artisans producing post at project start all existing pots bought elsewhere --30 families had pots at project start in target areas (2005 UNICEF survey)	--Site visits to artisans before selection for training Observation of pots in target area	Monthly	Sum up totals from project staff observations	Project m/e advisor	Progress report	5/19/07	Year 1 totals began in month three of project

Monitoring Plan Outline

1. **Objectives of your plan:** What you are trying to learn as you do your project. What do you know the most about now? What do you need to learn in order to have project success?
2. **Recap of PDO and major milestones from the grant agreement - copy from the first column of your Monitoring Chart)**
3. **Challenges to measurement:** Which measures will be most difficult to gather and how have you solved this? You can add comments to the chart on these as you go.
4. **Data sources:** Is there any information that you will need to spend resources to obtain? Have you budgeted for this in your project?
5. **Baseline:** Explain if you need one for milestones or not. Explain how you got it and when. Not all measures need baseline. **See item 3 above**
6. **Methods: Explain how you will get any information that the project does not automatically generate.** *We plan to conduct a survey of all households in the target area during the first 3 months while we are training the artisans on water pot manufacture. This will help our targeting strategy as well as provide data on who has pots already*
7. **Dates for reporting: Look at your project and determine when you will have something to report. You will collect information at these times but report it in your progress reports and in the completion report at the end.** *Most indicators will be collected at least every six months so that each progress report can reflect current status of results.*
8. **Analysis considerations: If you will need assistance with any analysis of information you collect, you should say what and when here.** *Will request project supervisor review of summary of interview data to check for validity of conclusions.* These needs will be part of your work planning.
9. **Reporting schedule: Make clear if you plan to do any reports on project information besides your progress reports.** These are not required but you should mention if you plan so your project supervisor is aware of these. *We anticipate collecting quarterly reports from our credit partner in time to analyze and include in progress reports.*
10. **Use of information: How will you share progress information with audiences besides the World Bank? Who will you consult?** (Refer to your Stakeholders Communications Plan) *We plan to distribute a fact sheet in local language to other NGOs in the target area and village associations on our progress. We have at least one additional potential donor that we will send copies of portions of our progress reports.*
11. **Evaluation Issues: Identify two or three issues that you are concerned about tracking during your project.** These are things beyond routine performance information on your measures. They may be aspects that affect project success, like: willingness to pay for services, access to transportation or credit, etc. Anything that you think will be critical to success of the project that you will want to examine before completion.
12. **Overall Issues: Discuss here any concerns you have about monitoring and reporting.** We hope that the costs of routine monitoring can be covered under our administrative costs but we won't know until we actually collect the first set of data.

ANNEX V
DEVELOPMENT MARKETPLACE
IMPLEMENTATION COMPLETION AND RESULTS REPORT [MM/DD/YYYY]

To ensure accountability and to share lessons learned from the implementation of DM-funded projects with the public, we would like to ask you to fill out this Project Completion Report within three months of the completion of the funding period. Per our usual procedures, we will ask each Project Liaison to review the Report and will post it on the Development Marketplace website at www.developmentmarketplace.org

If you would like to provide information that should be off the record, you may do so in section VI. Information provided in this section will be handled as confidential without public exposure.

In addition, in accordance with the Grant Agreement, please fill out the budget in Attachment I, showing the use of the entire amount of the fund.

I. Background Information

DM Project Number and Title	
Report Author's Name (if different from Team Leader)	
Funding Period	Month, Year to Month, Year
Total Award Amount	US\$ 000,000

II. Project Achievement and Impact

i) Now that your team has completed a full project cycle, rate and describe your project's overall success. To describe the level of success, be sure to make reference to the milestone objectives that were negotiated with your Project Liaison at the beginning of the implementation.

<p>Overall Success Rating:</p> <p><input type="checkbox"/> Not Successful (0-49% overall accomplishment)</p> <p><input type="checkbox"/> Somewhat Successful (50-69% overall accomplishment)</p> <p><input type="checkbox"/> Successful (70-79% overall accomplishment)</p> <p><input type="checkbox"/> Highly Successful (80-100% overall accomplishment)</p> <p><input type="checkbox"/> Beyond Expected Achievement (over 100% overall accomplishment)</p>
<p>Description:</p>

ii) Please explain, and where relevant offer concrete examples of lessons learned regarding capacity building, promoting public awareness, co-financing, links to government agencies and policies, replicability and potential for scaling-up.

iii) Identify and explain benefits achieved for/by participants during implementation.

iv) In Attachment II, you will find your project's milestones as per your grant agreement. Are there any activities in these milestones that are incomplete?

- Yes
 No

If Yes, state below these milestones and explain their status. For each incomplete milestone, give a timeline of when you expect them to be complete. If a milestone will not be complete, please explain why. Also explain how these unrealized activities affect the overall impact of the project.

v) What were the major challenges your team faced during the implementation? What, if any, adjustments or changes did you make to your original business plan in order to overcome the challenges?

Challenges:	Adjustments or Changes:

vi) How did the obstacles and the adjustments affect the overall success of the project?

Effect on Success:

vii) What were the key activities of your project (column 1)? What were the most significant immediate outcomes of these activities and how have you measured them (column 2)? Also, have there been changes in the beneficiary's attitude, status, knowledge, or skills? How do these outcomes address problems in the society and what are the effects of the project's outcomes on the larger community (column 3)? In other words, what development objective have you achieved?

Note: Where possible, please give quantitative responses.

Key Activities: e.g. 200 girls aged between 15-25 were trained in crafting and gardening through four skill-courses.	Outcomes: e.g. Half of those trained girls began earning steady income within 6 months mostly by participating in village markets.	Impact: e.g. Economic activities are invigorated in lagan village and girls became more independent and respected.
--	--	--

III. Ancillary Achievement

i) Describe how you have disseminated, or plan to disseminate, your project idea and which audiences you have targeted.

ii) How has your relationship with the original partners, as specified in the final proposal, evolved?

iii) Has your organization allied with new funding, implementation, or in-kind partners and/or do you have any prospective partners to carry on the project beyond the DM's funding period?

- Yes
 No

If Yes, specify the name of the partner, type of the organization, type of partnership, and monetary amount of support.

Partner's Name	Type of Organization	Type and Status of Partnership (Type: Financial, implementation, in-kind... etc Status: Confirmed, in negotiation...etc)	Amount Funded or Committed (in US\$)

IV. Future Plans

i) What are your plans for continuing this project in the coming year? Please describe your plans related to the project for the coming year, including key activities and, if applicable, partners.

ii) Please describe your current view on the potential for the approach/methods used by this project to be scaled up or implemented in other locations in the future. Specifically, have you identified any barriers/challenges you face to scale up or replicate your idea elsewhere?

iii) Do you have any concerns about continuing this project for the next couple of years?

- Yes
 No

If Yes, what are the concerns and how do you plan on addressing them?

V. Other Comments/Information Update

i) What advice would you give to a new DM winner to help them be successful in implementing their projects? Any tips on setting realistic milestones, overcoming bureaucratic obstacles, leveraging the Project Supervisor and other DM resources, reaching target beneficiaries, establishing effective partnerships, or anything else?

ii) Do you have any comments or recommendations on the overall process and support provided by the DM Team and Project Liaison? Feel free to add any other information you would like to bring to our attention.

iii) If your contact information has changed, please provide us with the new information.

Contact Name:	
Title:	
Organization:	
Primary Email Address:	
Secondary Email Address:	
Organization's Website	
Phone:	
Fax:	
Address:	
Postal Code:	

VI. Confidential Report

Please provide, if any, sensitive comments or requests in the box below. Information provided in this section will be handled as confidential and will not be publicly posted on the DM website.

VII. Project Expenses Report

Please attach an expenses report for entire DM-funded implementation period as an Appendix to this report. Please report on the DM funding only.

VIII. One-Page Project Summary

We would like to create a one-page summary of your project so that we can share your project's idea and achievement with our development partners. There is no set format for the summary; however, please be sure to include 1) a brief background of the issue addressed by your project, 2) major achievements during the implementation period, and 3) anticipated next steps and involvement of new partners. You may attach the report as an Appendix to this report.

Thank you for your time to fill out this report. It was truly a great pleasure to serve your team in the past year. Please keep us posted on your new achievements and challenges. We wish you every success in your activities.

Attachment 1: Unaudited Final Financial Report for Project Implementation Period

Project Budget Summary			
	First Grant Disbursement	Second Grant Disbursement	Third Grant Disbursement
Sources of Funds			
1. Grant			
2. Other Funds:			
(a) Revenue generated from project			
(b) Other Donors			
Total Project Funds	0.00	0.00	0.00
Budget for Grant Funds			
I. Use of Grant Funds			
A. Works			
B. Goods (Materials and Equipment)			
C. Services:			
(1) Staff salaries			
(2) Consultant fees			
(3) Travel			
D. Operating Costs			
E. Other (please specify)			
Subtotal: Use of Grant Funds	0.00	0.00	0.00
II. Use of Other Funds (revenue generated + other donors)			
Total Use of Funds	0.00	0.00	0.00

Attachment 2: Withdrawal Schedule

Period	End of Reporting Period	Expected Activities/Output
0		<ol style="list-style-type: none"> 1. Milestones and withdrawal schedule discussed and agreed with the [Name of the specific competition]Development Marketplace Portfolio Manager (PM) and the Project Supervisor (PS) as specified in the Grant Agreement. 2. Outcome Indicators agreed upon with PS and PM: <ol style="list-style-type: none"> a. [outcome indicators] b. [outcome indicators] c. [outcome indicators] 3. Completed budget template for Period 1 activities. 4. All legal documents signed by the Project Team and the World Bank Country Director/Manager
	Effectiveness of the Agreement	
Forecast for advance payment to carry out activities for Period 1: \$[00,000] ([]% of Total)		
1		<ol style="list-style-type: none"> 1. Project-Specific Output Indicators (3-5) <ol style="list-style-type: none"> a. Identify project-specific outputs/deliverables during this implementation period] b. [identify project-specific outputs/deliverables during this implementation period] c. [identify project-specific outputs/deliverables during this implementation period]
	Six months after effectiveness	End of activities covering this reporting period
Forecast for advance payment to carry out activities for Period 2: \$[00,000] ([]% of Total)		
2		<ol style="list-style-type: none"> 1. Project-Specific Output Indicators (3-5) <ol style="list-style-type: none"> a. Identify project-specific outputs/deliverables during this implementation period] b. [identify project-specific outputs/deliverables during this implementation period] c. [identify project-specific outputs/deliverables during this implementation period] 2. Project Supervisor’s or Project Manager’s site visit to review progress on all outputs outlined above
	12 months after effectiveness	End of activities covering this reporting period
Forecast for advance payment to carry out activities for Period 3: \$[00,000] ([]% of Total)		

3		<ol style="list-style-type: none"> 1. Project-Specific Output Indicators (3-5) <ol style="list-style-type: none"> a. Identify project-specific outputs/deliverables during this implementation period] b. [identify project-specific outputs/deliverables during this implementation period] c. [identify project-specific outputs/deliverables during this implementation period] 2. Submit sustainability plan for after completion of Grant activities, and 3. Submit Project evaluation plan
	18 months after effectiveness	End of activities covering this reporting period
	[insert closing date]	Completion of all Project activities.
	[insert closing date plus one month]	Submit Completion Report with Unaudited Final Financial Report to Project Manager and Project Supervisor.
Total Grant Amount: \$[000,000]		



wsp
water and
sanitation program