



## **Nutrition and Health Project Planning: The application of objective-oriented project planning (OOPP)**

**Second Edition**



**South East Asian Ministers of Education Organization  
Regional Center for Food and Nutrition  
(SEAMEO RECFON)  
University of Indonesia  
Jakarta  
2011**

# **HANDBOOK**

## **Nutrition and Health Project Planning: The application of objective-oriented project planning (OOPP)**

**Second edition**

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Jakarta, 2011

The publication of this handbook is fully funded  
by The Ministry of Education and Culture, the Republic of Indonesia

*Perpustakaan Nasional : Katalog Dalam Terbitan (KDT)*

Nutrition and health project planning : the application of objective-oriented project planning (OOPP). handbook / Judhiastuty Februhartanty ...[et al.] .— 2<sup>nd</sup> ed., cet.2.  
--Jakarta : SEAMEO RECFON UI, 2011.  
x, 100 hlm.; 27.9 cm.

Bibliografi

ISBN 978-602-19494-1-2

1. Gizi – Aspek pemerintahan – Buku pegangan, pedoman, dsb  
Februhartanty

I. Judhiastuty  
353.56

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**Diterbitkan oleh:**

South East Asian Ministers of Education Organization  
Regional Centre for Food and Nutrition  
University of Indonesia  
(SEAMEO RECFON UI)

Cetakan pertama, 2007

Cetakan kedua, 2011

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## Foreword

I am pleased to present the second edition of Handbook of Nutrition and Health Project Planning: The application of objective-oriented project planning (OOPP). The first edition was published in 2007 under SEAMEO TROMPED Regional Center for Community Nutrition (RCCN), University of Indonesia. Since January 2011, the Center's name has been officially transformed into SEAMEO RECFON Regional Center for Food and Nutrition, hosted by the University of Indonesia.

The OOPP is a planning tool which has been one of the subject courses in Master Training Program in Community Nutrition at our institution. It has been associated with GTZ, as one of the user and as the first organization to have introduced it into our curriculum within more than a decade ago. With this handbook, OOPP is positioned more appropriately as a planning tool for a project, rather than, a program. By this, readers and users may benefit the usefulness of the tool in the application of project in nutrition, health and other related sectors.

I would like to sincerely thank to the team who worked so diligently to bring this handbook to completion. I also thank the team of the second edition who has made significant editing and updates to improve the consistency, and thus, the clarity of the handbook content.

Director,



Dr. Ratna Sitompul, MD, Ophthalmologist (Consultant)

## Preface

Health and nutrition project/program planning and management (HNPPM) is incorporated into the curriculum of the Master of Science (MSc) degree in Community Nutrition and attains 3 credits. The course is to enable graduates to plan and manage projects/programs they later will be involved with or responsible for in their careers as community nutritionists. At SEAMEO RECFON Regional Center for Food and Nutrition at the University of Indonesia Jakarta, planning is a core/basic specific course and delivered in two stages. One covers aspects of planning using OOPP method (1 credit) and the other essentials of project/program management (2 credits).

Ziel Orientierte Projekt Planung (ZOPP), which has since been renamed to Objective Oriented Project Planning (OOPP) as a more universal term, is a tool for planning that was first introduced to SEAMEO RECFON Regional Center for Food and Nutrition (previously known SEAMEO TROPMED RCCN) in 1990 by the German agency for technical cooperation (GTZ, now known as GIZ). At that time, GTZ started a partnership with the Center for the purpose of strengthening community nutrition training and research within the SEAMEO Tropical Medicine and Public Health support program. OOPP then served to plan and implement the technical assistance project and was established both for the institute's staff and students as preferred method of planning the projects and activities. Until 2002, OOPP was offered to all course participants unchanged from the way it had been introduced to the Center by GTZ. Since then, it was felt that the course required several changes based on the Center's experience with the course. Necessary changes include but not be limited to: a) familiarization of participants with broader aspects of planning, i.e. reasons for, and different methods of planning; b) when to use OOPP; c) incorporating the Center's experience of OOPP into the planning workshop. The basic concepts of planning still need to be highlighted and linked with OOPP which remain to be the principle planning technique taught to degree- and non-degree students at the Center.

In summary, main objectives for the preparing of the handbook are:

1. To familiarize students and/or other users with the concepts of planning, with some of the more common planning methods as well as when to apply which, and their relation to OOPP,
2. To improve understanding and use of OOPP, and
3. To provide a reference on OOPP that can be used more widely

In the second edition, aside from editing and updates, we also include additional information on problem analysis tools i.e. Root Cause Analysis, Ishikawa Diagram/Analysis (Appendices 2.1 and 2.2).

The target users of the handbook are students of SEAMEO RECFON and other institutions/individuals working on nutrition and its related projects.

Finally, we welcome all suggestions from the readers to share experiences and understanding on the concepts and methods of planning as well as the application of the OOPP method.

Jakarta, November 2011

Judhiastuty Februhartanty  
Lupi Purnomosari  
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Siti Muslimatun

## **Acknowledgements**

The authors wish to thank the Ministry of Education and Culture, Government of Indonesia for the financial support to the handbook development.

We are also indebted to the following colleagues who have reviewed the format and content of the first edition of the handbook: DR. Eri S. Hariyadi, PMP, Senior Project Management Consultant of Institution of Transportation and Project Management; Arnfried A. Kielmann, MDCM, DrPH, consultant from France; Siti Muslimatun, PhD, Prof. Soemilah Sastroamidjojo, MD, and Umi Fahmida, PhD, staffs of SEAMEO RECFON Regional Center for Food and Nutrition, University of Indonesia. We are sincerely thankful to Nia N. Wirawan, MSc for her contribution in the initial idea for the handbook development.

Special appreciation goes to Church World Service Jakarta for allowing us use some of their pictures in this handbook.

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## List of Abbreviations and Acronyms

ACC/SCN	:	The United Nations Administrative Committee on Coordination/Sub-Committee on Nutrition
ADB	:	Asian Development Bank
ASEAN	:	Association of South East Asian Nations
BMZ	:	<i>Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung</i> (the German Federal Ministry for Economic Cooperation and Development)
CIDA	:	Canadian International Development Agency
DANIDA	:	Danish International Development Agency
DEH	:	Swiss Division of Environmental Health
DFID	:	UK's Department for International Development
EC	:	European Commission
EU	:	European Union
FASID	:	Japanese Foundation for Advanced Studies on International Development
FINNIDA	:	Finnish International Development Agency
GTZ	:	<i>Gesellschaft für Technische Zusammenarbeit</i> (the German agency for technical cooperation)
HNPPM	:	Health and nutrition project/program planning and management
HSA	:	Health System Analysis
HSDS	:	Health Service Delivery System
ILO	:	International Labor Organization
INGO	:	International non-governmental organization
ITAD	:	An organization based in UK that works in partnership with public, private and non-government organizations to achieve sustainable development and poverty alleviation
IUCN	:	The World Conservation Union
IUGR	:	Intrauterine growth retardation
LBW	:	Low birth weight
LFA	:	Logical Framework Approach/Analysis
Logframe	:	A project planning matrix which shows vertical and horizontal logic of all objectives, indicators, means of verification, and necessary assumptions
MDF-SA	:	Management for Development Foundation South Asia
MFR	:	Managing For Result
MoV	:	Means of verification
NORAD	:	Norwegian Agency for Development Cooperation
ODA	:	British Overseas Development Agency
OECD	:	Organization for Economic Cooperation and Development
OG	:	Overall goal

OOPP	:	Objective Oriented Project Planning
OVI	:	Objectively verifiable indicator
PMBOK	:	Project management body of knowledge
PMI	:	Project Management Institute
PP	:	Project Purpose
PPM	:	Project planning matrix
PRA	:	Participatory Rural Appraisal
RBM	:	Result Based Management
RCCN	:	Regional Center for Community Nutrition
RECFON	:	Regional Center for Food and Nutrition
R/O	:	Results/Outputs
ROA	:	Result Oriented Assistance
SEAMEO	:	South East Asian Ministers of Education Organization
SIDA	:	Swedish International Development Agency
SMART	:	Specific, Measurable, Achievable, Relevant, and Time-bound
TICW	:	Trafficking in children and women
TOR	:	Terms of Reference
TROPMED	:	Tropical Medicine and Public Health
UN	:	The United Nation
UNDP	:	The United Nations Development Program
UNICEF	:	The United Nations Children's Fund
USAID	:	The United States Agency for International Development
WWF	:	World Wildlife Fund
ZOPP	:	<i>Ziel Orientierte Projekt Planung</i> (Objective-Oriented Project Planning)

## CHAPTER 1

# INTRODUCTION TO PLANNING

### 1.1. Nutrition and Health System and its Rationale for Planning and Management

#### 1.1.1. Nutrition and health problems

Nutrition challenges continue throughout the life cycle, as depicted in **Figure 1.1**. Poor nutrition starts *in utero* and extends, particularly for girls and women, well into adolescent and adult life. It also spans generations. Nutritional disorders that occur during childhood, adolescence, and pregnancy may have an additive negative impact on the health status of the new born infant, such as birth weight, micronutrients status, and overall quality of vital organs. Low birth weight (LBW) infants who have suffered intrauterine growth retardation (IUGR) as fetuses are born under nourished and are at a far higher risk of dying in the neonatal period or later infancy. If they survive, they are unlikely to significantly catch up on this lost growth later and are more likely to experience a variety of developmental deficits. A low-birth weight infant is thus more likely to be under weight or stunted in early life.

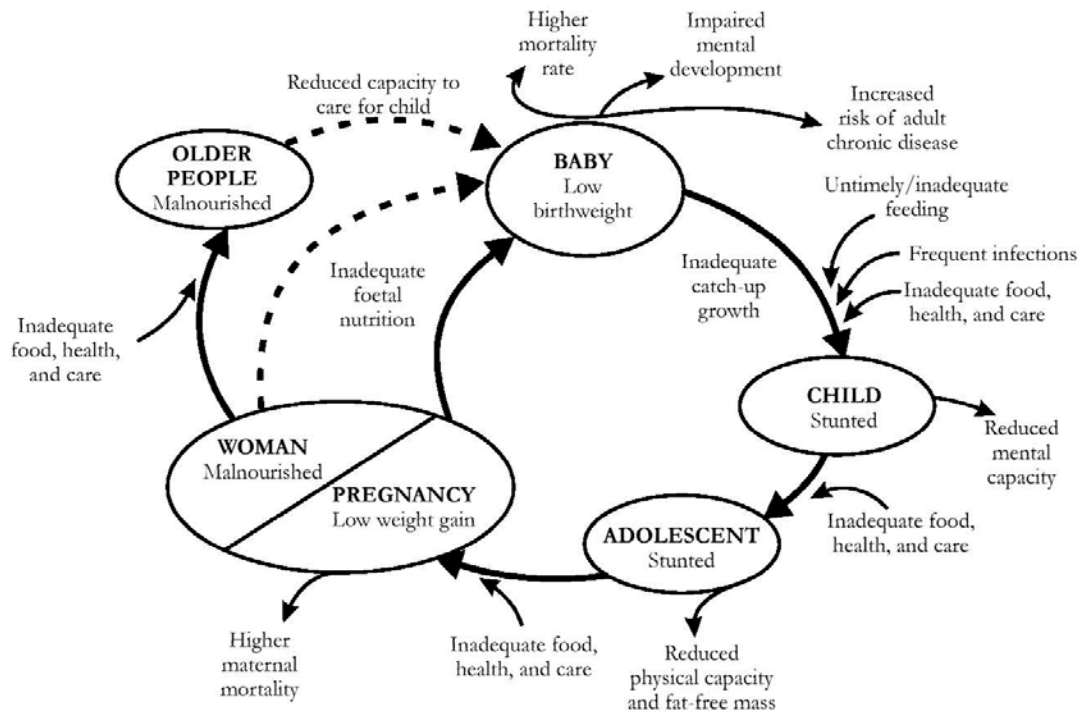


Figure 1.1. Nutrition challenges throughout life cycle (ACC/SCN, 2000)

The consequences of being born undernourished extend into adulthood. Epidemiological evidence from both developing and industrialized countries suggests a link between fetal undernutrition and increased risk of various adult chronic diseases—the “foetal origins of disease hypothesis (Barker hypothesis).” Currently a new yet more complex landscape of nutrition problem has emerged with the global climate change, which underpins a stronger connection between food security and nutrition for sustainable solutions and a lasting change.

The life cycle approach provides a strong framework for discussing the challenges facing human nutrition. The Lancet series in 2008 suggests that investing in maternal and childhood nutrition will have both short- and long- term benefits of huge economic and social significance, including reduced health care costs throughout the life cycle, increased educability and intellectual capacity, and increased adult productivity. No economic analysis can fully capture the benefits of such sustained mental, physical, and social development.

### **1.1.2. Health system**

The Health System is a complex system and several models have been developed to illustrate its various components, tasks, functions, goals, and objectives. Each model demonstrates different aspects of the system. No model is universally accepted as a perfect model.

The first is based on a Systems Approach, and shall be discussed in some detail, as it forms the basis for this course. The model illustrates the interrelationship between the environmental ecology, the human community and the health services delivery system, including peripheral and central structures. The System Approach provides an effective analytical framework for the examination, diagnosis and solution of problems of any complex system, including the Health System. As such it also forms the basis of micro- or district health planning as it readily permits the following six essential elements:

- identification of the problem,
- definition of objectives,
- examination of alternatives,
- evaluation and selecting solutions,
- integration of solutions and implementation, and
- the use of feedback through out the process.

The health system model based on a System Approach illustrates the three important elements of a district health system - **the community, the health care delivery system, and the environment** in which the other two are located. The three elements may be visualized as three concentric circles with the environment forming the outer circle, the

community the inner, and the health care delivery system interspersed between the two (**Figure 1.2.**).



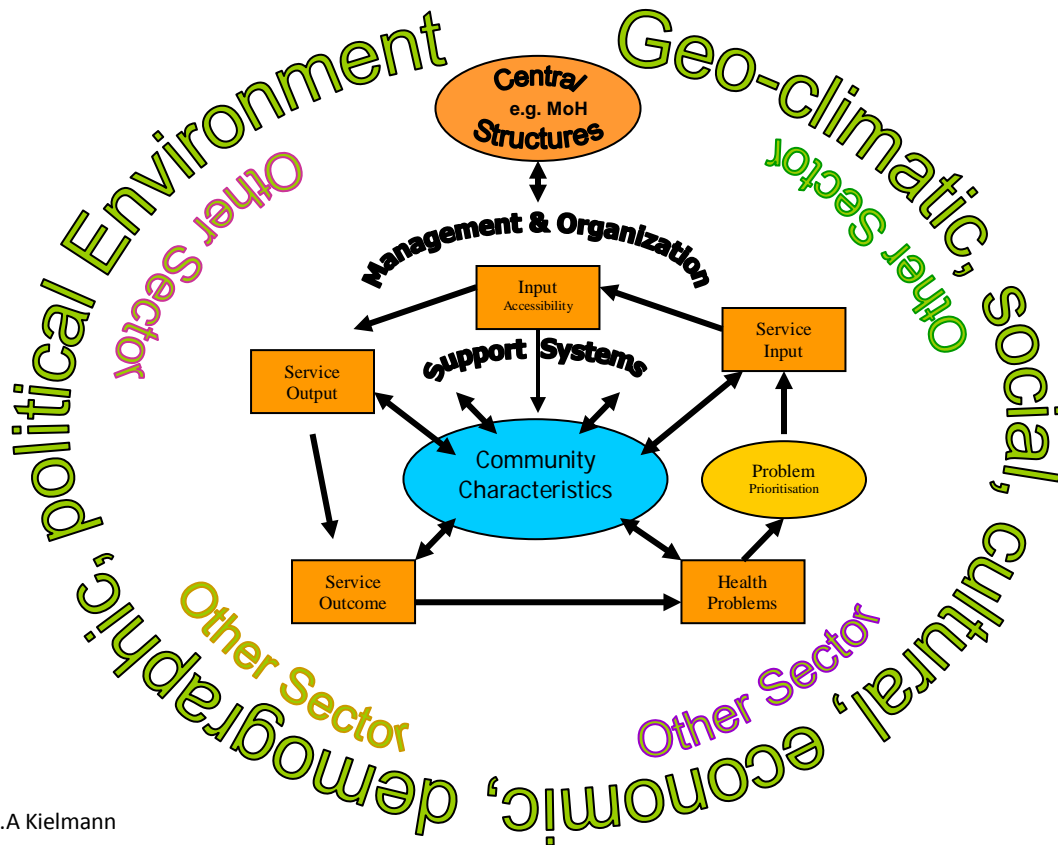
**Figure 1.2. The basic Health System**

The three elements are highly interdependent. The environmental ecology, that is, its geo-climatic, socio-cultural, demographic, economic and political surroundings largely determine health problems and health needs of the community, and exerts a major influence on the nature, volume and quality of health service availability. The extent to which the community is involved with the health care, influences health problems and health needs, on the one hand, and the nature and quality of the health services delivery system on the other. And lastly, the community largely determines the socio-cultural milieu and exerts a considerable influence on the physical environment.

On the following page, a more elaborative model of the “Health System” (**Figure 1.3.**) is shown which lends itself well to carry out a “Health System Analysis” (HSA). This model is more detailed with respect to the individual subcomponents of the Health Service Delivery System (HSDS), and lists examples of important aspects of the Environmental Ecology that need to be considered in HSA.

The HSDS is divided into its various, essential subcomponents. Its connections to other development sectors as well as to central structures are shown graphically, where such may apply. **Figure 1.3.** shows these three major elements together with the essential components comprising the Health Care Delivery System.

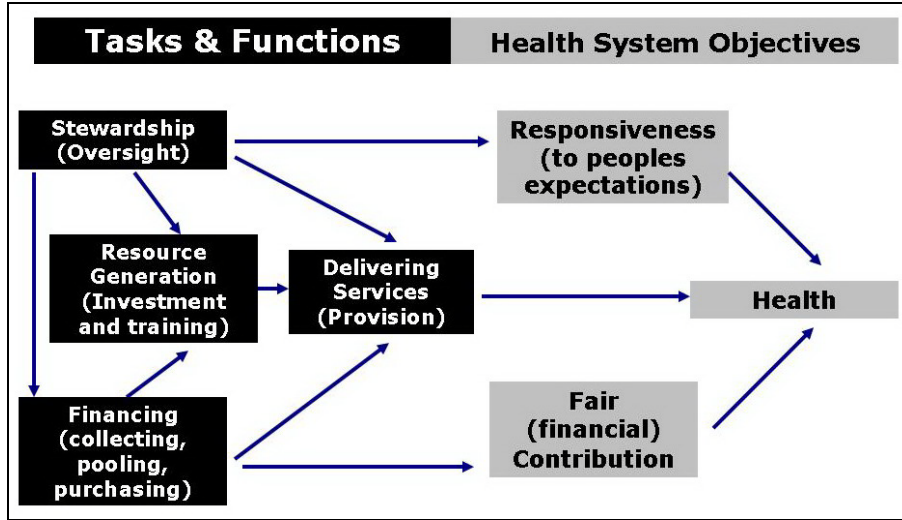




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**Figure 1.3. The expanded Health System Model**

The second has relatively recently been proposed by the World Health Organization (**Figure 1.4.**), and is the theme of the millennium World Health Report 2000 on “Health System: Improving Performance”. This model provides a comprehensive macro-policy framework for evaluation and comparison of overall functions and objectives. This model relates primarily to tasks and responsibilities performed at central levels, such as policy formulation, ensuring equity of care, satisfying people’s non-medical expectations (e.g. preventing poverty resulting from illness and poor health), etc.



**Figure 1.4. The Health System Model at the Macro Level (WHO Health System Conceptual Framework)**

### 1.1.3. The Framework of Nutrition and Health Planning and Management

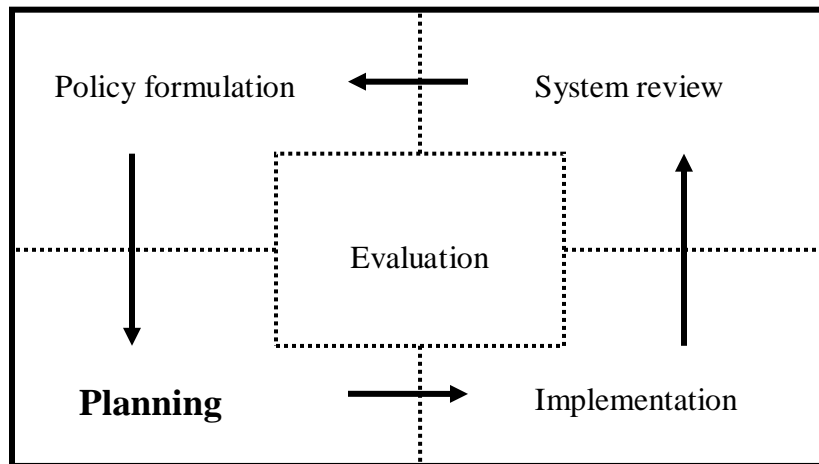
At one end, nutritional problems have been set as the basis for planning. Since the continuum of nutritional related problems spans in a wide range, elucidation and clarification of the problem will help make clear the rationale behind the proposed action.

There are four major rationales on why nutrition and health planning and management is needed. They deal with the following issues:

1. delivery of effective nutrition and health services to the population within available resources
2. translation of a new policy into a plan
3. translation of a macro plan into micro or regional plan
4. emergence of a new problem

The framework of nutrition and health planning and management consists of five principle components as summarizes in Figure 1.4. System Review is usually the first step in this “cycle” whereby an existing health or nutrition system is subjected to a “system review” in which a nation’s or community’s health problems are identified or re-assessed, and health problem priorities established. In parallel, the existing health services system is assessed with respect to the extent it covers, and responds to identified health problem priorities, and is adequate with respect to the health service infrastructure that is necessary for an effective delivery of essential health care. Once

the situation of health and health service capability of the target population – a region, country or community are known, responsible individuals at the central level formulate or modify health policy, which is then passed on to the planning bodies at both central and peripheral levels. Making the right choice of the planning method is important for project/program success. Planning leads to implementation at all relevant levels, and all four elements are periodically subject to objective evaluation. The methodology of evaluation must be specific for and adapted to the particular component of the health care management cycle, as well as the hierarchical level at which evaluation takes place (Kielmann, 2004).



**Figure 1.5. The Framework of Nutrition and Health Planning and Management (Kielmann, 2004)**

To further explain **Figure 1.5.**, let us use an example from the field of infant feeding. As part of systematic review commissioned by World Health Organization on optimal duration for exclusive breastfeeding, a new global infant feeding recommendation had been recently introduced world wide; that instead of exclusive breastfeeding since birth up to 4 to 6 months, exclusive breastfeeding up to 6 months of age was recommended to all infants due to the evidence on its profound benefits for the infant, the mother, and the society. Member states then adopted the recommendation as the national policy. In Indonesia, the ministerial decree on such new exclusive breastfeeding policy was in effect in the year 2004, which then followed by an inclusion of this recommendation in the Indonesian Health Law in 2009. Since this new policy is applied nationally, each region will need to plan on how to translate this issue into actionable activities. In the planning documents, clear objectives on what to achieve are set and agreed upon. And furthermore, implementation plan on how to allocate the resources need to be developed prior to the conduct of the activities. Based on the planning documents, activities such as advocacy to heads of authorities, train the trainers for village midwives, distribution of information, education, and communication materials

to targeted audiences are implemented in every region in much of similar contents but somewhat different manners/strategies depending on the local resources. During the implementation of these various activities, monitoring and evaluation are performed to make sure that everything is in the right track and that the objectives are achieved. The experiences gathered from the monitoring activities can be used to decide whether necessary modification in terms of strategies is needed. Whilst the information gathered from the evaluation measure serves as a basis to judge whether the effort is successful in reaching the objectives. Furthermore, the overall lessons learned from the implementation of the new policy on infant feeding serves as the basis for further policy reviews. Thus, the whole functions take place in as an iterative process as it repeats the same action modifying the functions and activities in line with the experiences gathered.

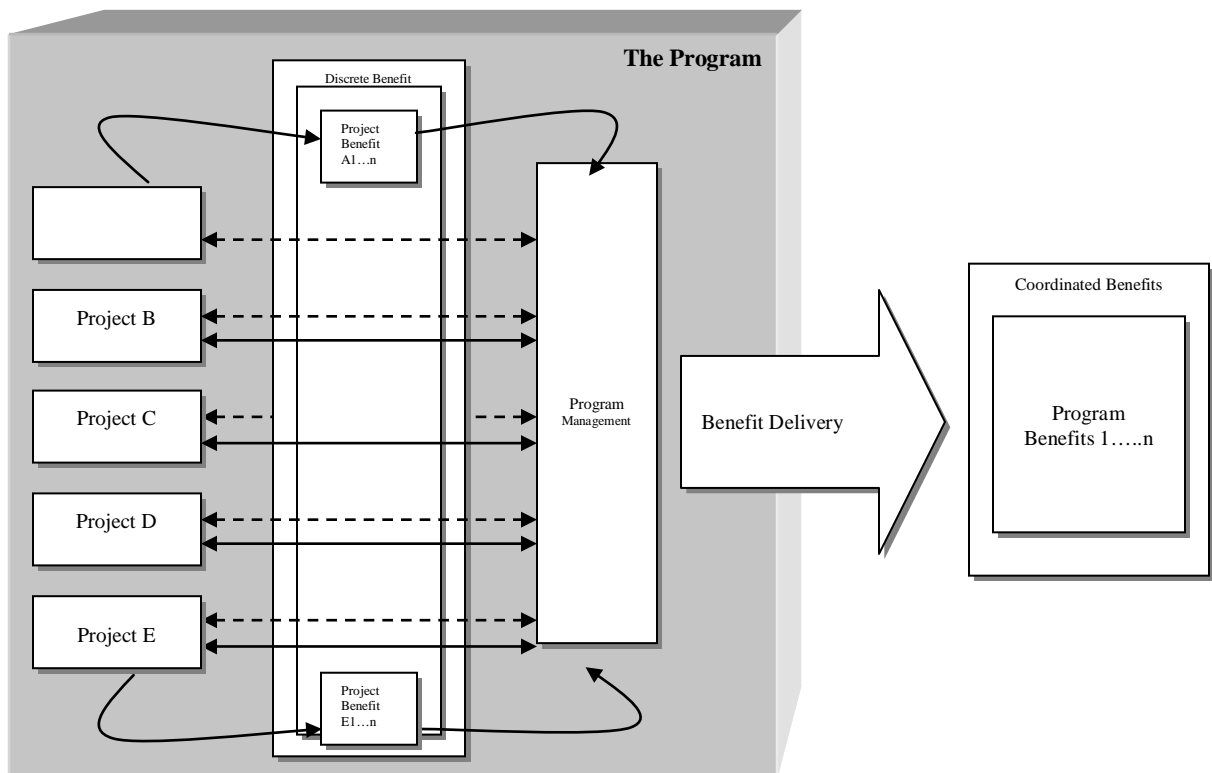
Another instance deals with the emergence of the 'old disease' i.e. severe under nutrition post economic crisis in Indonesia. Due to the coverage of problem and its impact to human capital and social development, a national plan on how to control and prevent this type of malnutrition was developed for the period of five years. Key indicators of success were set nationally to be further translated in the regions. Since the etiology of this malnutrition varies, each region will have to first explore the possible causes of the problem, then resume with the planning on what strategy to be chosen for combating the problem within their available resources to meet the national objective.

At another end, planning may also be triggered based on the institution's capacity as defined in the so-called "corporate strategy". The corporate strategy is created as a means for considering and articulating how an organization's corporate goals and objectives will be pursued and achieved (Morris and Jamieson, 2004). As an example, a non-governmental organization who is working in nutrition and health sector may want to consider for establishing their capacity in the field of livelihood in more detail, as it is pretty much related with poverty – one of the underlying causes of nutrition and health related problems in the community. A change or modification of the organizational objectives will call for a series of planning efforts for realizing it into actions.

## 1.2. The Concept of Program and Project

A program is defined as a group of related projects managed in a coordinated way to obtain benefits and control not available from managing them individually (PMI, 2006). A project is defined as a temporary endeavor undertaken to create a unique product, service or results (PMI, 2004).

Thus, a program is an organized set of projects directed toward a common purpose, or goal undertaken in support of an assigned mission area, well understood by the key players and the client alike. It is characterized by a strategy for accomplishing a set of definite goals and objective(s) aligned to and in support of the mission goals. Programs are typically subdivided into projects, which are managed closely by using project management tools and techniques. A project, usually consisting of one or more tasks, is individually planned and approved and is closely managed and controlled.



**Figure 1.6. Program benefits management (PMI, 2006)**

Programs and projects deliver benefits to organizations by enhancing current or developing new capabilities for the organization to use. A benefit is an outcome of actions or behaviors that provides utility to stakeholders. Benefits are gained by initiating projects and programs that invest in the organization's future. Programs, like projects, are a means of achieving organizational goals and objectives, often in a context of strategic plan. Although a group of projects within a program can have discrete

benefits, they often also contribute to consolidated benefits as defined by the program, as shown in **Figure 1.6**.

Examples of projects could include:

- A health service reform and expansion project, implemented primarily by the Ministry of Health of the partner government and with financial support of other donors, costing USD 30 million over 10 years;
- An emergency relief project, coordinated by the United Nation (UN) and implemented through international non-governmental organizations (INGOs), costing USD 5 million over one year;
- A regional food security training project, focused on the provision of technical assistance and training services, costing USD 2 million over 3 years

On the other hand, a program may:

- cover a whole sector (e.g. Health Sector Program);
- focus on one part of the health sector (e.g. a Primary Health Care Program); or
- be a 'package' of projects with a common focus/theme (e.g. ASEAN-EU university links program)

Therefore, a project is relatively simple than a program. A project is normally short-term, time limited, addressing selective targets and preceding a program. Whilst in a program, interaction among factors is more complex, thus requires a planning tool that enables system analysis to be performed.

Furthermore, the following **Figure 1.7**. may be useful to see how the objectives of a policy, a sector program and a specific project might be linked using a national agricultural research example. It shows clearly the hierarchical objectives shared between policy and program, and between program and project.

Policy (of the National Agricultural Research Council)	Program (of the Research Stations)	Project (of the Research Teams)
<b>Overall objective:</b> To contribute to the improved livelihood of hill farming families		
<b>Purpose:</b> Increased agricultural production, productivity and incomes among hill farming household	<b>Overall objective:</b> To contribute to increasing agricultural production, productivity and income among hill farming households	
<b>Result:</b> The use of improved agricultural technologies increased among targeted farmers	<b>Purpose:</b> Increased use of improved agricultural technologies by hill farmers (e.g. rice)	<b>Overall objective:</b> To contribute to increased use of recommended improved technologies
	<b>Result:</b> Recommendations for target farmer provided / disseminated	<b>Purpose:</b> Recommendations provided for improved technologies suitable for targeted farmer
		<b>Results (e.g.) :</b> <ul style="list-style-type: none"> <li>▪ Technologies identified based on farmer priorities</li> <li>▪ Technologies generated and adapted</li> <li>▪ Technologies verified in farmers fields</li> </ul>

**Figure 1.7. Nested objectives of policy, program and project (European Commission, 2004)**

### 1.3. The Concept of Planning and Management

Planning is defined as a systematic effort to find the most appropriate, workable, acceptable and affordable solutions to identified and agreed upon needs. Its aim is to answer questions before they actually arise, anticipating as many implementation decisions as possible by foreseeing possible problems and deriving principles and setting rules for solving them. In other words, planning is a step to identify and then carry out the sequential steps from policy statement or stated objective or aim or target to come to a method of intervening.

Planning is necessary:

- to respond and reply to a given situation that needs to be changed, improved and/or maintained
- to provide quick assistance and relief to a “stricken” community in emergency situation
- to avoid breaks in services and smoothen the transitional period if there is a change in government policy
- when a new program is being introduced

Thus, roles of planning are:

- to response (by giving solution) to a given need
- to make rationale for the use of public/private resources to optimize the outcome, i.e. to justify that “the program/project” is the best solution in existing situation at minimal cost

As explained in the generic framework of nutrition and health plan in **Figure 1.5.**, in most cases the planning cycle is started by reviewing the existing policy on nutrition. It is then consecutively followed by situation analysis, review of available resources, development of interventions, objective setting, determination of resource requirement, adjustment of management and organizational structures and systems, budgeting, preparation of operational plan, planning of monitoring and evaluation, implementation, and go back to policy review.

**Figure 1.5.** also shows the coverage of management area which shall be included in the implementation and evaluation aspect. In the management areas, the cyclical steps of planning, implementation and evaluation are well known to be the major management functions. As this handbook focuses on the planning related matters, the elaboration on the part of implementation and evaluation are to be covered in the next course on “Management Issues for Nutrition and Health Project/Program Implementation”.



A well known methodology to implement and evaluate projects/programs is called Project Management based on Project Management Body of Knowledge (PMI, 2004) which covers five processes as explained below and summarized in **Figure 1.8.:**

1. **Initiation process.** The initiation process consists of the processes that facilitate the formal authorization to start a new project or a project phase. Initiation processes are often done external to the project's scope of control by the organization or by program or portfolio processes.
2. **Planning process.** The planning process helps gather information from many sources with each having varying levels of completeness and confidence. The planning processes develop the project management plan which identify, define and mature the project scope, project cost, and schedule the project activities that occur within the project.
3. **Executing process.** The executing process consists of the processes used to complete the work defined in the project management plan to accomplish the project's requirement. The project team should determine which of the processes are required for the team's specific project. This involves coordinating people and resources, as well as integrating and performing the activities of the project in accordance with the project management plan.
4. **Monitoring and controlling process.** The monitoring and controlling process consists of those processes performed to observe project execution so that potential problems can be identified in a timely manner and corrective action can be taken, when necessary, to control or correct the execution of the project. The project team should determine which of the processes are required for the team's specific project. The key benefit of this process is that project performance is observed and measured regularly to identify variances from the project management plan. This process resembles evaluation process.
5. **Closing process.** The closing process includes the processes used to formally terminate all activities of a project or a project phase, hand over the completed product to others or close a cancelled project.

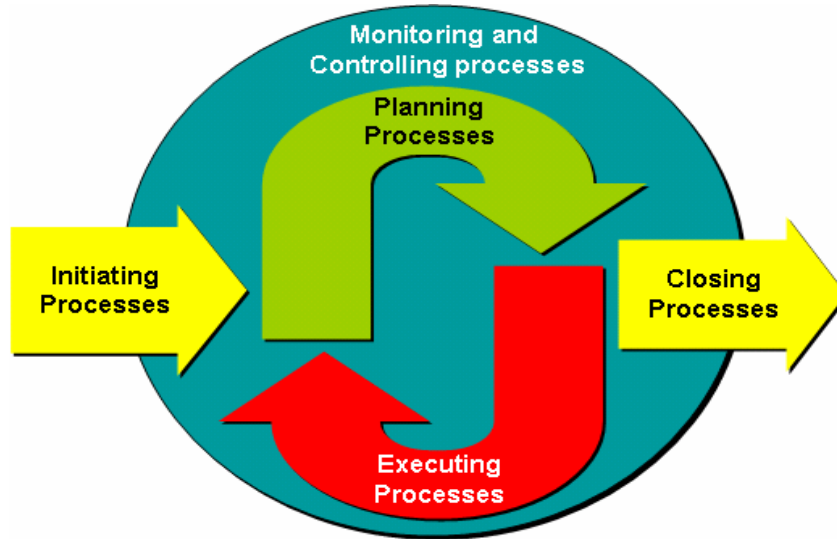


Figure 1.8. The five-process project management groups (PMI, 2004)

## 1.4. Common Methods/Tools Used in Planning

No tool is likely to produce desirable results if used blindly. Planning can be very useful, but the benefits are greatly enhanced when the method is tailored to fit the situation. The kind of plan one might write for individual use will likely be quite different from a plan that is to be used by a team. The fundamental question is “What are you trying to accomplish (or avoid) by means of the plan?” Planning is seen as a continuous and cyclical process passing iteratively through the following stages: situational analysis; priority, goal and objective setting; option appraisal; programming; implementation and monitoring; and evaluation. Understanding the use of each planning method is essential.

The following are the general types of nutrition/health plans:

- Comprehensive Plan: Focuses on a country-level planning
- Strategic Plan: Outlines the direction an organization will follow with respect to specific goals within a given sector (eg. Nutrition, Health, etc.)
- Operational Plan: Outlines precise activities, responsibilities, resource requirements and methods and modes of implementation of a plan over a short time interval. Operational plans are, or should be part of all program plans
- Project Plan: Focuses on time related activities to meet specific project objectives
- Program Plan: Focuses on content, activities, resource requirements of specific nutrition/health intervention packages eg. Nutrition, Family Planning, Maternal and Child Health, etc.
- Manpower/Capital/Physical/etc. Plan: are usually parts of comprehensive or program plans and focus on specific plan components, such as manpower/capital development etc. of an organization
- Macro Plan: Plans developed at higher levels in response to policy statements or national goals
- Micro Plan: Plans developed for the adaptation and implementation of macro plans at the peripheral level such as district level

The following elaborates the methods of program and project planning.

Types of program planning include:

- Micro planning:
  - focus on the situation of the community (district, sub-district, village)
  - as the adaptation of global planning into smaller covered areas
- Strategic planning:
  - used as the same extent with the other method, but more focus on the “best strategy/methodology”

- Global planning:
  - usually means starting from scratch, such as when a country newly becomes independent, is newly created, has collapsed because of war or financial disaster
  - rarely done
  - will be done during the collapse of the whole country i.e. re-planning to develop the existing system affected
  - everybody is involved (e.g. health economics, industry, sociology, military)

Common approaches to project planning include:

- The logical framework analysis (LFA) which is the most common and widely used.
- The objective oriented project planning - OOPP (ZOPP in German, a close derivative of LFA)
- Results Based Management (RBM) and Results Orientated Assistance (ROA) or managing for results which has become the favored model of the Canadians and Americans in recent years.

While there are certainly differences between the approaches, the underlying principles that they are each trying to promote are remarkably similar. In essence, they are:

1. to develop program and projects based on a thorough understanding of the situation in which an intervention is planned.
2. to involve stakeholders in a participatory process of program or project design and evaluation.
3. to develop a set of clear logical objectives that can realistically be achieved within a particular timeframe and within an allocated budget and which will make a significant and sustained contribution to a higher level development objective.
4. to make explicit the cause and effect (means ends) relationships and external factors that underpin the program or project and which must hold true if planned activities are going to lead to desired results and impacts.
5. to establish a monitoring and evaluation system, including indicators, this will show if the objectives have been achieved and provide information to support effective management and learning.

This handbook specifically elaborates the concept and use of OOPP as one of common approaches used for project planning in the next 2 chapters. One should understand that the use of this approach help the project in the initiation phase as explained in **Figure 1.8.** which is crucial to set the starting point. Thus, there are some other necessary methods used in the consecutive phases of the project's life cycle. This part is discussed a bit towards the end of the handbook and elaborated in more detail in another course mentioned earlier.

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## CHAPTER 2

# ABOUT OOPP AND ITS IMPORTANCE IN NUTRITION AND HEALTH PROJECT PLANNING

### 2.1. OOPP and Its Background

Objectives Oriented Project Planning (OOPP) is one of the tools to design a project in a participatory manner. It is a planning methodology (a set of instruments and procedures), in which all involved parties identify and analyze the problems to be addressed in the project, and prepare a concrete and realistic project plan together.

The OOPP approach provides a systematic structure for identification, planning, and management of projects which is developed in a workshop setting with various interest groups. The essential elements of OOPP – teamwork, visualization and facilitation – serve to improve communication and cooperation among stakeholders in a project context. The output of OOPP is a Project Planning Matrix (PPM) – the logical project framework – which spells out detailed action plans to achieve the objectives and identifies indicators to measure progress in achieving the objectives. According to a set of relevant criteria, such as input-constraints, probability of success, political priorities, cost-benefit-relation, social risks, prospects for sustainability, time horizon, ecological compatibility, synergetic effects with other projects, etc., the alternative that describes the best project strategy is determined. This project strategy is expressed as a logical hierarchy of objectives in the PPM. The expected development impact or the benefit for the target groups describes the purpose of the project.

As a planning method, OOPP concerns itself with:

- a systematic analysis of the situation in which intervention is to be made, so as to have an understanding about how the salient elements in the situation are inter-linked
- a transparent identification and assessment of alternative intervention measures and points, lead up to the selection of preferred intervention options
- scheduling of intervention measures and resource provision/utilization towards the attainment of pre-determined and desired objectives
- a systematic differentiation between intervention objectives which are attainable within the responsibilities/authority of project teams (given their resource and other frame-conditions), and those intervention objectives which can only be attained when other frame conditions become favorable

OOPP objectives are:

- to define realistic and definite objectives which can be sustained in the long-term
- to improve communication and cooperation between project, head office and counterpart organizations by means of joint planning and clear documentation/definitions
- to clarify the scope of responsibility of project teams
- to provide indicators as a basis for monitoring and evaluation

## **2.2. History of OOPP**

The terms OOPP and ZOPP mean respectively; Objectives Oriented Project Planning and in German Ziel Orientierte Projekt Planung. OOPP is a planning tool utilized by the GTZ - German Technical Cooperation to actively involve stakeholders. OOPP's history began when GTZ was established as a corporation under private law in 1975. The general intention of making technical cooperation more flexible and efficient was reflected not only in GTZ's legal status as a company, but also by the introduction of modern management instruments. Interest soon centered on the well-known logical framework approach (LFA) as a comprehensive management tool on which to base planning, implementation and evaluation. The LFA was originally developed by the Department of Health Education and Welfare of the United States as a planning tool, called the RAGPIE methodology for Resource, Activities, Goals on the horizontal and Planning, Implementation, Evaluation on the vertical axes. USAID developed the LFA further, and it was a consultant from the US who assisted GTZ with the elaboration of its ZOPP methodology (Kielmann, 2004).

BMZ (German Ministry for Economic Cooperation and Development) had requested GTZ to test the logical framework approach in projects as early as in 1970s. After initial positive experiences had been gathered, GTZ applied it in a pilot phase in 1980/81 and further developed LFA into the OOPP system. OOPP contained new steps such as participation analysis, problem analysis and objectives analysis. Teamwork in interdisciplinary workshops in which GTZ, its partner organizations and the target groups all took part, became standard procedure (GTZ, 1997).

GTZ incorporated the logical framework or logframe approach into OOPP. The logframe had 16 cells containing the major elements of the management-by-objectives approach to project implementation.

A GTZ in-house organizational instruction formally introduced OOPP into project planning on a provisional basis in 1983, and OOPP became binding when it entered

GTZ's organizational manual as regulation No. 4211 in 1987, forming an integral part of the project cycle (GTZ, 1997).

By the end of 1988, GTZ had trained all managers and staff concerned with project implementation, and also its sub-contractors, in the OOPP method and how to use it. Mastering OOPP became an essential pre-condition for promotion and careers. Even to date, intensive OOPP training programs are carried out at all levels both in Germany and abroad.

When GTZ re-organized along regional lines in 1989, and the Planning and Development Department was created, responsibility for applying OOPP changed, but not its contents or its binding character. Gradually and in coordination with its principal commissioning body, BMZ, GTZ organized all project management instruments along the OOPP structure. For example, project briefs, project progress reports and progress reviews were all structured to match OOPP (GTZ, 1997).

GTZ encountered positive reactions from its project partners. The words "the donors are beginning to listen to us for the first time" were often heard. The strict logical structure, the orientation to problems and the trans-hierarchical participative approach to work were particularly well received. Many partner organizations began to apply an approach similar to OOPP in their own organizations.

In 1990s, several critical points became the subject of debate both in the general project environment and at GTZ itself. Although this was not intended by either the OOPP documents or training courses, many OOPP seminars had become schematic rituals which did not sufficiently take into account the varied situations encountered in different projects (GTZ, 1997).

OOPP workshop participants sometimes got the feeling they were passive objects in a "workshop screenplay" which they could not fully understand. Many staff members, partners and representatives of target groups experienced OOPP as being an instrument of power dictated by GTZ Head Office. People felt they had been "zopped". The artificial workshop situations generated project concepts which merely amounted to a coincidental reflection of the specific workshop day rather than being really feasible and realistic plans and representing a sustainable and workable compromise. For many people involved, OOPP came down to just a workshop and colored cards and had little to do with the practical reality of everyday project work (GTZ, 1997).

By reducing project planning just to workshops, too little attention was paid to target-group participation in planning and to obtaining differentiated perceptions of the varied viewpoints of the affected people – and this was quite contrary to OOPP's real intention.

Parallel to the unsatisfactory applications of OOPP and also in order to specifically address the critical voices heard, numerous new forms of project planning were



developed in practice. Creative workshop facilitators incorporated “non-scheduled elements” into workshops, changed the sequence of the OOPP steps, deleted steps or introduced completely new ones. OOPP began to live, in an uncoordinated and self-organized way (GTZ, 1997).

GTZ decided to “deregulate” in-house procedures. As early as 1990, the methodological of OOPP was made more efficient and flexible, while maintaining the principles of communication defined as a quality-based understanding of planning. This understanding is founded on a participatory and transparent approach to the planning process, oriented towards the needs of partners and target groups, in which the key elements of a project are agreed on step by step in teams with those concerned, and recorded transparently (GTZ, 1997).

Between 1992 and 1995 GTZ actively tackled these mis-developments in the OOPP system. An in-house project was set up entitled “Planning and Sustainability”. In the scope of this project GTZ better defined what it understands by quality in project management, it flexibilized the procedure for project preparation and developed its “project cycle management”.

From 1993 to 1996 BMZ carried out a review of OOPP in theory and practice. The findings: OOPP should be retained at all events. But its concept and implementation should be reviewed. OOPP must become more realistic and better account for social contexts.

Finally, in the course of the corporate decentralization process (1996 to 1998), GTZ’s Directors General decided to deregulate all organizational project directives except those to which GTZ was bound by outside rules. Project steps can now be designed flexibly in agreement with all involved (GTZ, 1997).

The GTZ recommends the OOPP methodology for all stages of project preparation and implementation. Experience from various organizations (Upgrading Urban Communities, 2001) indicates five logical levels of the OOPP in a standard project cycle:

- Pre-OOPP: an in-house exercise by agencies in preparation for a project.
- Appraisal OOPP: an in-house appraisal for preparing Terms of Reference of a project.
- Partner OOPP: prepared in-country; coordination of conclusions and recommendations with staff of project country
- Take-off OOPP: prepared in-country; preparation of the plan of operations with personnel responsible for project execution and counterpart authorities.
- Replanning OOPP: prepared in-country; adjustments during project implementation.

Other OOPPs are recommended annually in projects to update planning as needed. Although the GTZ outlines an elaborate systemization of the approach, the approach is viable for community-based planning without the need for the elaborative structuring of levels. Indeed, the Take-off OOPP and Replanning OOPP are essentially community-based and participatory.

At the beginning of a project - formal preliminary commentary and the project appraisal for example – the OOPP analysis is carried out in the GTZ by interdisciplinary planning teams. However, when analyzing the results of the project appraisal or for operations planning, replanning or plan updating, OOPP must be carried out on location together with the project and the counterpart authorities. It is essential that the planning team be interdisciplinary, and also incorporate the main interest groups and the management decision makers. Their participation is not only significant for the planning process but is also an indication of commitment to the joint project and thus a precondition for project success. For GTZ contracts, the use of OOPP as a planning approach or as an understanding of the planning process is no longer obligatory. Nevertheless, it is recommended that the principles and elements of OOPP be incorporated into planning work, in line with the demands of the specific situation (GTZ, 1997).

### **2.3. Who Uses OOPP**

The OOPP approach is used for essentially all German funded projects and is a prerequisite for funding approval. SEAMEO RECFON has adopted the label 'OOPP' to encompass all of the logical framework methodologies in deference to its principal initiators, the German development agencies and particularly the GTZ.

OOPP enjoys widespread use by the larger donor organizations, partially because of the orderly structuring and documentation of information as well as its demand for more skill in application. It includes various subparts used to clarifying projects, and the logical project framework itself is often required by agencies in their project appraisal. The British Overseas Development Agency (ODA- now DFID) requires the 'Log Frame' in research project proposals. The OECD's Development Assistance Committee is promoting its use among member countries, and the Nordic countries and Canada make use in development aid programs as well as occasionally in domestic public investment. Other international cooperation institutions such as NORAD, DANIDA – the Danish aid agency - projects, the ADB, the European Union, Japan's FASID and the Swiss DEH became interested in this method (GTZ, 1997; Upgrading Urban Communities, 2001).

OOPP was also developed – and adapted for the participatory project design to combat trafficking in children and women (TICW-project) – by Management for Development Foundation South Asia (MDF-SA) for the International Labour Organization (ILO, 2002).

OOPP in its various forms has become a regular feature on the curricula of numerous universities, particularly in studies relating to developing countries. Use at the community level is also noted.

## **2.4. Key Features of OOPP**

OOPP consists of inter-supportive elements:

### **1. Gradual procedure through a sequence of successive planning steps**

The characteristic feature of OOPP is the way it actively involves the people affected by the project in the planning process. Basically, this is done by inviting all relevant parties to participate in the respective planning seminars and workshops. Typically, these people are brought together for various joint planning sessions that take from three days to one week. This kind of participation is neither an end in itself nor a mere formality: the aim is to let the people themselves clarify their roles as participating partners in development or beneficiaries and to accept responsibility for their role in the planned change. A development process organized in this way meets the demands for self-realization, self-help and democratization.

The OOPP method draws on the knowledge, ideas and experience contributed by the team members. OOPP is to improve the quality of planning, which in turn determines the benefit for the decision-makers and practical project work. In the final instance, the benefit obtained must justify the planning input made.

### **2. The team approach as the framework for studying interdisciplinary problems and the participation of important interest groups and target groups (multisectoral problems)**

OOPP emphasis on broad stakeholder participation has led to improved ownership and has provided the basis for a smoother implementation process. The broad participation of beneficiaries, particularly in social service projects, has improved accountability and transparency at the level of service delivery as beneficiaries have been more aware of expected project outputs. Task managers have found that the extra time that OOPP requires during project preparation is offset by the implementation problems that it avoids. The OOPP approach is also being used increasingly in mid-term evaluation, particularly with problem projects.

### **3. Permanent visualization and documentation of all planning steps**

This means the contributions by the planning team and the results of discussions are recorded on cards.

4. The rules of application, which in the project preparation phase determine the timing, participation and purpose of the OOPP workshops

OOPP brings together representatives of all project stakeholders and can be particularly effective in a community setting. By discussing the problems and possible solutions, the participants can come to a mutual understanding of each other's points of view.

5. Project management, which is based on OOPP and has the task of turning planning into practical project work

Once some form of consensus is reached, the problems are organized into a logical sequence. Subsequently, they are reformulated into objectives to be attained. Based on a number of criteria, a part of the objectives is selected to be the focus of the project. Subsequently, these objectives are translated into a Project Planning Matrix or Logical Framework. This planning matrix describes the objectives at different levels, referred to as Overall Objective, Immediate Objective/Project Purpose, Project Outputs and Project Activities.

#### **2.4.1. Principles of OOPP**

OOPP is based on very simple underlying principles:

1. Cooperation between the project staff and the partner organizations is smoother and more productive if all involved have jointly agreed their objectives and expressed them clearly.
2. In development cooperation, alleviation of the problems is tackled from the roots – the cause. Therefore, the problems and their causes and effects are analyzed. Thus, feasible and expedient objectives can be derived from them.
3. Problems and their causes do not exist in isolation, but are intimately linked with people, groups or organizations. Therefore, problems may sufficiently be discussed when there are comprehensive pictures of and insights into the interest groups, individuals and institutions involved.

The analysis thus attempts to extract typical perspectives of a situation which in reality is very complex. These characteristics then become tangible and can be analyzed and worked on by the planning groups. In the interests of the target groups and project personnel, a conscious and pragmatic effort is made to simplify methods, as complex ones are often not applicable in practical project planning.

#### **2.4.2. Application of OOPP**

- OOPP is one workable system
- OOPP is an open system

- OOPP is as good as the planning team
- OOPP generates a consensus of different opinions through the planning process
- OOPP needs realistic application

If applied properly, OOPP:

- actively involves different groups of stakeholders in the planning process and generates a common understanding;
- reduces complexity and facilitates an overall view;
- helps to differentiate the manageable dimensions (inputs, activities and outputs) and project goals and defines indicators for those levels;
- produces a project planning matrix that provides an easily understandable one-page-summary of the project's main features.

The effectiveness of OOPP is determined by the following features:

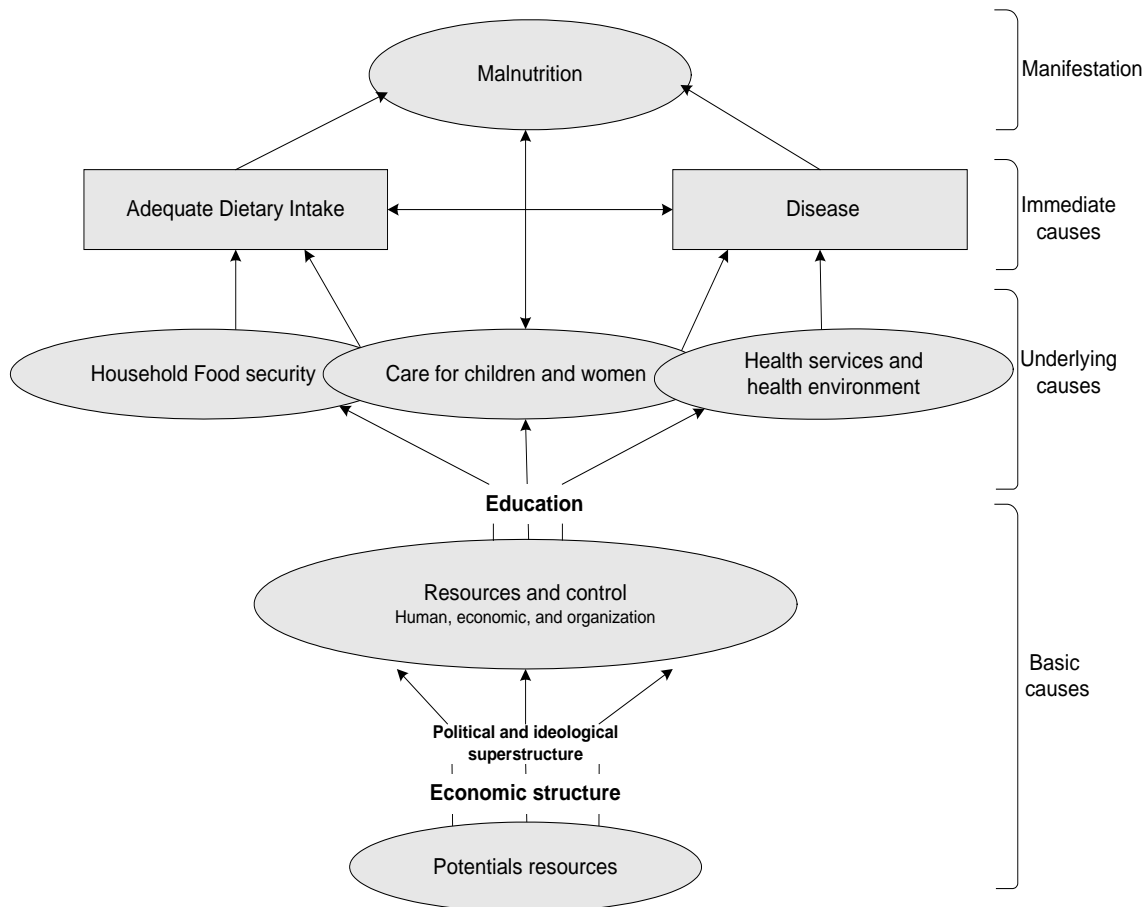
- guidance by development principles, especially in conceptualizing the project interventions
- a process oriented approach
- a set of interrelated instruments which is open (and requires) to be complemented by other planning methods
- a team approach to planning to counterbalance sectoral or professional egoism
- attempt to achieve meaningful compromises in case of divergent opinions, expectations and interests
- techniques to enhance information flow and communication.

## **2.5. Using OOPP for Nutrition and Health Project Planning**

From a scientific perspective, nutrition is an area of knowledge that is concerned with the provision of food and its utilization in the body and also with the relationship between food consumption and human growth, development and general well-being. Often, people's understanding of what nutrition is concerned with is limited to the visible effects of under – or over – nourishment on bodyweight and health. The relationship between nutrient intake and health status is clearly important. In the case of protein-energy malnutrition, this relationship is quite straightforward. The effects of specific nutrient deficiencies may be more insidious and remain hidden to the non-nutritionist as in the case of most micronutrient deficiencies. Apart from the health-nutrition relationship, there are many others, but not necessarily less important, aspects to nutrition. These include the relationships between nutrition and: (1) physical activity,

development and work capacity; (2) mental activity, development and educational performance; (3) social behavior and cultural practices, etc (Callens and Seiffert, 2003).

UNICEF in 1990 developed the conceptual framework on the causes of malnutrition as part of the UNICEF Nutrition Strategy (**Figure 2.1.**). The framework shows that causes of malnutrition are multisectoral, embracing food, health and caring practices. They are also classified as immediate (individual level), underlying (household or family level) and basic (societal level), whereby factors at one level influence other levels (UNICEF, 1998). The framework is used, at national, district and local levels, to help plan effective actions to improve nutrition. It serves as a guide in assessing and analyzing the causes of the nutrition problem and helps in identifying the most appropriate mixture of actions. While the framework allows interdisciplinary reflection on future strategies, it also forces reflection on the likely impact of current strategies on the nutrition of the groups concerned.



**Figure 2.1. UNICEF conceptual framework on the causes of malnutrition**

The OOPP methodology can be used in the workshop for nutrition project planning. OOPP planning analyses are carried out at all stages of project preparation and project implementation; the duration, intensity and participants in the OOPP can vary. Analysis of the causes of malnutrition, the transposition of causes into possible interventions and objectives, the identification of relevant indicators and the use of visualization techniques are seen to be invaluable in developing a reasoned formulation and a consensus of participants from widely differing backgrounds and perspectives.

The purpose of OOPP is to first reach a consensus among the stakeholders on the objectives that will lead to a reversal from the present core problems (malnutrition) into a positive situation in the future. From these objectives, the stakeholders will then outline the required intervention strategies that will achieve the overall objective of improving the nutrition situation of the vulnerable groups.

Based on the secondary data and the specific knowledge of the participants, the workshop may then proceed with a causal analysis of malnutrition. Ideally, this is done separately for all groups that were identified as nutritionally vulnerable. Problem tree analysis provides an excellent tool for this purpose.

For example a workshop for nutrition planning project brought together officers from the central, regional and provincial levels of a nutrition department (mostly nutritionists) and experts from other disciplines (health, sociology, communications, food technology, others). The participants, divided into multi-disciplinary working groups according to major agro-ecological regions, carried out a simulated planning exercise. Visualization techniques, such as cue cards, were used to organize and record the participants' ideas and suggestions. Each working group session was followed by a plenary session so that points of view could be exchanged and theoretical points cleared up. An initial plenary session presented and discussed X's main nutritional problems and how they were evolving, as well as clarifying certain nutritional concepts to other participants who were not nutritionists. Each working group then identified the interested parties within its zone, i.e. all those organizations – or individuals, as the case may be – concerned with the nutrition issues: government institutions, non-governmental organizations (NGOs), grassroots organizations, academic and research institutions, etc. This session brought out the importance of an intersectoral approach, involvement of local inhabitants and collaboration among community, local, regional and central levels. The groups then identified and prioritized the causes of malnutrition in their zone. From this analysis each group drew up a "problem tree", which was then turned into a "solutions tree". In this way it was possible to clarify and prioritize aims and activities with a view to improving the food and nutrition situation in the zone. After activities had been set out, each group focused on those falling within the sphere of nutritionists. For each of the problems, the group specified indicators and identified who to contact to obtain the relevant information, as well as identifying other stakeholders. This methodology enabled participants to pinpoint concrete interventions

that they had not thought of before; they also identified strategies for effective two-way communication with the local population.

Participants had to identify the contribution of their programs to an improvement in the food and nutrition status of the inhabitants of their particular zone of operations. The uses of participatory appraisal and planning may be used to achieve different purposes. Callens and Seiffert (2003) mention that the four major ones include:

1. The appraisal of a nutrition situation within the broader context of a livelihoods analysis.
2. The design of a strategy, a program or a project with the improvement of nutrition as development objective.
3. The integration of nutrition objectives and considerations into sector-specific and poverty-alleviation projects and programs.
4. The development of a baseline for participatory monitoring and evaluation of nutrition and household food security indicators.

OOPP features stakeholder participation and process orientation. Its main purpose is to produce a common understanding of the project among the stakeholders, which is documented in a standardized project-planning matrix. The PPM – a part of the OOPP methodology – provides an effective format for structuring project goals and activities and serves as a base for monitoring and evaluation of projects.

- During initial stages can be used to test project ideas and concepts for relevance and usefulness.
- When designing PPM help to make comprehensive plans that are feasible within acceptable levels of risks.
- PPM can form the basis of ‘contracts’ with explicit statements of what will be delivered.
- During implementation the PPM serves as the main reference for drawing up detailed work plans, terms of reference, budgets, etc.
- PPM provides indicators against which the project progress and achievements can be assessed.

The OOPP method is used for nutrition and health project planning because experiences have shown that cooperation takes a smoother and more successful course when the participants can agree on objectives which are expressed in the clearest possible language (analysis of objectives and project planning matrix).

Using OOPP for nutrition and health project planning will help to:

- define common and definite development objectives
- improve communication and co-ordination between co-operating organizations, central offices, projects, and beneficiaries by means of joint



planning and transparent documentation of proceedings based on a joint understanding of terms and concepts

- encourage all important actors concerned to participate in planning
- clarify the scope of responsibility for all actors concerned thereby encouraging accountability, ownership and sustainability
- provide indicators for steering, monitoring and evaluating the intended development process
- improve the implementability of projects, and consequently their impact for the intended beneficiaries.

Given that participants will be involved at all stages, it is important that they are familiar with all aspects of the methodology from appraisal, through analysis to planning. Secondly, and this is an aspect that is often overlooked and surfaces later on when there is little opportunity left to address the issue, planning is not just about the formulation of solutions from a purely technical perspective. While solutions should be technically sound, they should equally be locally acceptable and feasible. Hence, by having identified potential solutions, prior to the appraisal, the opportunity has been created to use the appraisal to investigate their local acceptability.

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## CHAPTER 3

# THE STEPS IN OOPP

The OOPP elements or steps, as presented in this handout, incorporates changes and developments in the method as experienced by those who have been applying the method in practical project planning all over the world.

There are two major instruments in OOPP as the following:

- a) Steps of analyses
  1. Participation analysis
  2. Problems analysis
  3. Objectives analysis
  4. Alternatives analysis
  
- b) Project Planning Matrix
  1. Objectives/activities
  2. Important assumptions
  3. Objectively Verifiable Indicators
  4. Means of Verification

### 3.1. Steps of Analyses

The analysis of a given situation is a substantial part in the various planning methods. The actual state of affairs is to be analyzed with respect to a project or given issue. In the context of OOPP, the **Situation Analysis** is focused on problems, stakeholders and their social environment. It is an attempt to understand the system which determines the existence of the problems.

A situation analysis is an iterative process with different possible entry points. The sequence of the single elements is to be decided in each case according to its practicability. The issues to be tackled, as well as the scope and the depth of analysis depend on the situation to be analyzed. It is not the instruments which determine the choice of tools.

As problems are always connected to unfulfilled objectives, a situation analysis comprises of an Objectives as well as a Problem Analysis. And as it is always people's problems and objectives which make up a situation, the analysis includes a Participation Analysis (COMIT, 1998).

Many project failures have been due to an inadequate or incomplete identification analysis of the range of threats to the project process. The situation analysis seeks to understand the current situation and context in term of:

- Community characteristics, includes socio-economic, cultural, gender characteristics
- Regulatory frameworks (policies, law, customs)
- The major actors and stakeholders (government, traditional authorities, community groups)

These conclude that OOPP requires data, information and related in-depth analysis by various disciplines and specialists as inputs into the planning process. OOPP also requires joint discussion and the preparation and actual taking of decisions which might best take place in planning events and workshops. These events have to be properly prepared by making the required information available and selecting the “right” participants. The workshop group will develop a project proposal which then requires consent and formal agreement of the authorities in charge. The more these authorities either participate in the analytical parts and/or in the workshops, the more likely it is that the proposal will be acceptable. The same holds true for the target groups.

### 3.1.1. Participation analysis

Participation analysis aims at adapting/adjusting the project design to the specific framework of the agencies involved in a project and the different target groups, who are connected by the project (COMIT, 1998).

Participation analysis is a tool to:

- give an overview of all persons, groups, organizations, and institutions connected and concerned with the project in anyway
- incorporate and find out all interests and expectations of persons and groups significant to the project
- analyze the consequence and implication that have to be considered for designing a project planning

Participation analysis (in other references may be called “**stakeholders analysis**”) is individuals or groups with a direct, significant and specific stake or interest in a given territory or set of human and natural resources and, thus, in a proposed project, participation analysis identifies all primary and secondary groups who have a vested interest in the problems with which the project is concerned.

The goal of participation analysis is to develop a strategic view of human and institutional situation, and the relationship between the different stakeholders and the objectives identified. Participation analysis is a continuing process that should engage different groups as issues, activities, and agenda evolve (Gawler, 2005).

It is important that participation analysis not be exclusive, or controlled by any one group. Once the project has found common ground, and has negotiated its goal with partners including local stakeholders, the stakeholder agreement should be recorded in writing. This may seem overly formal, but it has been shown over time and again to provide clarity, and to help avoid (or resolve) conflict in the future.

Gawler (2005) specifies that participation analysis involves determining:

1. **Primary or direct groups** – those who, because of power, authority, responsibilities or claims over the resources, are central to the outcome’s concern. As the outcome of any action will affect them directly, their participation is critical. Primary groups may include local community-level groups, private sector interests, and local and national government agencies. This category also includes powerful individuals or groups who control policies, laws or funding resources, and who have the capacity to influence outcomes. Failure to involve primary stakeholders at the start can lead to subsequent difficulties in achieving outcomes.

2. **Secondary or indirect groups** – those with an indirect interest in the outcome. They may be consumer, donors, national government officials and private enterprises. Secondary groups may need to be periodically involved, but need not to be involved in all aspects of the initiative.
3. **Opposition groups** – those who have the capacity to affect outcomes adversely through the resources and influence they command. It is crucial to engage them in open dialogue.
4. **Marginalized groups**, such as women, indigenous people, and other impoverished or disenfranchised groups. They may be primary, secondary or opposition groups, but they lack of recognition or capacity to participate in collaboration efforts on an equal basis. Particular effort must always be made to ensure their participation.
5. **The nature and limits** of each group's stake in the project – e.g. livelihoods, profit, lifestyles, cultural values, spiritual values.
6. **The basis of the stake** – e.g. customary rights, ownership, administrative or legal responsibilities, intellectual rights, social obligations.
7. **Resources** that each group has at her/his disposal and could bring to the project.
8. **The potential role(s)** in the project, if any, of each group
9. Any **capacity gaps** that may need to be filled so that the group can fulfill her/his role. This will form the basis of the project's capacity-building strategy.

Some participants may belong to several of the above mentioned groups. During the project planning process, information should be obtained from all various participant groups. All of them have important information to give to the potential/future project group. For the project group, it is crucial to structure all the reasons/causes of problems in order to find sustainable solutions. This can only be done with the aid of the information gathered from local participants/groups (Örtengren, 2004). The participation analysis consists of description on name of person/group, its characteristics, its interests, motives, attitudes, the potentials, and the implication for the project planning (GTZ, 1988).

Projects are thus influenced by many actors. Their different interests, potentials, deficiencies and other characteristics play a role in the process of designing and implementing a project.

<p><b>Characteristics of the group/participant/party involved – what, who, how are they:</b></p> <ul style="list-style-type: none"> <li>▪ Social characteristics (members, social background, religion, cultural aspects, etc.)</li> <li>▪ Status of the group (formal, informal, etc.)</li> <li>▪ Structure (organization, leaders, etc.)</li> <li>▪ Situation and problems (point of view respected persons/institutions/groups)</li> </ul>	<p><b>Problems, interests, motives, attitudes (from the point of view different participants):</b></p> <ul style="list-style-type: none"> <li>▪ Unsatisfied needs, problems, fears, constraints</li> <li>▪ Interests (openly expressed, hidden, vested)</li> <li>▪ Motives (hopes, expectations, fears, threat, etc.)</li> <li>▪ Attitudes (friendly, neutral, hostile attitude towards implementing agencies, and other groups)</li> </ul>
<p><b>Potentials and deficiencies (from the prospective project’s point of view):</b></p> <ul style="list-style-type: none"> <li>▪ Strengths of the group (resources, rights, skills, etc), “what could make use of?”</li> <li>▪ Deficiencies, restrictions, weaknesses and shortcomings (e.g. with respect to access to resources), “what makes it difficult for us?”</li> <li>▪ What could the group contribute to or withhold from the project</li> </ul>	<p><b>Implications for potential projects: What will we do about it?</b></p> <ul style="list-style-type: none"> <li>▪ How should the group be judged?</li> <li>▪ In which way should the persons/institutions/groups be considered?</li> <li>▪ Which actions should be taken (with respect to a specific group)?</li> <li>▪ How should the project act/react towards the group (should it act/react at all)?</li> </ul>

Participation analysis is not a substitute for the analyses of target groups, envisaged beneficiaries and affected groups or of implementing/co-operating agencies. Instead, it is either a procedure to identify those actors that need to be analyzed more in detail or a concise way of presenting the results of such analyses.

Participation analysis could be implemented after project’s aims and activities are determined (in the objectives analysis and alternatives analysis). However, it is most useful to be undertaken at the stage of identification and design of planning.

Quality of the planning product indeed depends on all given information. Before starting, all parties should have respective field expertise involved or represented during designing the plan.



When making a participation analysis, those who are influenced by or exert an influence on the activities that take place in the project should be considered. The information from important groups, such as the target group, when planning a project should be included. The different stakeholders' combined knowledge about the situation is a key to identification of appropriate solutions. Participation analysis should be made by local personnel.

### **How to conduct a participation analysis**

The procedure for a participation analysis is fairly open and undetermined. Generally, there are two phases foreseen while conducting a participation analysis:

- Phase of collection of 'participants' and their characterization
- Phase of analysis of each individual group identified as crucial

The degree of detail in these phases depends on the information available (based as little as possible on speculation) and the need of the project for adoption of measures to different groups (on the institutional as well as on the grass roots level).

#### **Steps on how to do a participation analysis**

Step 1. Identify into metaplan cards, *all* persons/institutions/groups connected with or influenced by the project

Step 2. Categorize them (e.g. beneficiaries, target-groups, actors, counterpart, etc.)

Step 3. Characterize all persons/institutions/groups connected with or influenced by the project and analyze to every party:

- Importance/priority
- Potential/ability
- Proprietary of limitation and obstacle

Step 4. Based on condition of all persons/institutions/groups, **analyze** consequences and implication that have to be considered as activities and risks for the project work (e.g. reactions of project)

Step 5. Identify **consequences** for a potential project (e.g. specific approaches required, conflict areas, etc.)

**Important notes:**

- a) Two approaches for deciding the target group of the studied population:
  1. decide the target group who is mostly affected/vulnerable
  2. decide the target group as the potential one since the core problem is not yet identified
  
- b) All items in the matrix are related to the project.

**Result of Participation Analysis:**

*Table, matrix or summary that containing list of all individuals/groups connected with/influenced by the projects who have a vested interest in the problems which the project is concerned complete with their characterization*

**Table 3.1. Example of participation analysis matrix (COMIT, 1998)**

Participants/their characteristics	Problems/needs	Expectations/interest	Weaknesses/constrains	Potentials	Consequences for a project
Bus Company (Institution)	Loss of revenue/confidence in service	High utilization rates of buses	Inefficient management (no flexibility)	High demand for transport service, if supplied according to demands	Improvement of the management
Passengers (envisaged beneficiaries 150.000 people per day)	Movement by public transport is unreliable and dangerous	- To be at the market as early as possible - To have enough space for transporting vegetables	No capital available to afford alternative means of transport	Politically influential on local level	Improve existing transport system
Bus-driver (from various origins)	- little incentive - Do not know traffic rules	Satisfactory working conditions	Dangerous driving (many accident)	Willingness to better their reputation	- Training - Incentive system
Us repair workshop	High ratio between qualified personnel and number of buses over-worked under poor condition service	Guaranteed jobs with less stress	Shoddy repair work	Technical know how and facilities are available	- Replacement of ageing buses - In service training to improve workmanship

### 3.1.2. Problem analysis

Problem analysis is a tool to:

- analyze existing problems and connected with the condition that should be improved
- identify core/main/focal problem from existing context
- decide core problem
- visualize these problems into one cause-effect diagram or problem tree

The basic questions that a problem analysis should answer are the following:

- What is the core/focal problem that shall be solved with the aid of project? (*Why is a change/project needed?*)
- What are the causes of this problem? (*Why does it exist?*)
- What effects do the problems have? (*Why is it important to solve the problem?*)
- Who are affected by the problem and who owns the problem?

Following on from the participation analysis, a problem analysis identifies all problems related to the main issue and ranks them hierarchically. The analysis, usually a “brainstorm” exercise, identifies issues and problems that are of priority to the parties involved. As such, representatives of all local communities, formal and informal groups, concerned organizations, government, and the private sector should contribute to this analysis.

A number of projects are started in which the solution is given, without an analysis being made of the focal problem and its causes and effects. The causes are analyzed in order to find the reasons for the focal problem and, thereby, the solutions/the relevant activities. The effects demonstrate the arguments (the needs) for implementing the change/the project. A complex problem is easier to deal with if its causes and effects are thoroughly analyzed. The causes could be divided into several groups of problems or clusters. Sometimes this has the effect that, in the end, the project is divided into different projects. If the project is to be manageable, limitations must be imposed and priorities set. The priorities are based on relevance, needs, mandate and resources. Focus is important. However, before setting the priorities, it is necessary to get a total picture of the situation by making a complete problem analysis (Örtengren, 2004).

Problem analysis, objectives analysis, and the subsequent steps in project design can be carried out through participatory workshops with an experienced planner and facilitator. The problems analysis is undertaken by identifying the main problems and developing a so-called ‘problem tree’ through an analysis of cause and effects.

### **Participatory Rural Appraisal (PRA)**

In a developing world context at the village level, PRA has proven to be an extremely effective method for promoting local participation in many projects, and for facilitating local ownership.

PRA is a set of techniques for gathering community-based socio-economic information. The process involves semi-structured activities that are highly participatory, drawing the knowledge and skills of local communities, and helping them to assess their environment and resources, their use of resource, their needs and problems, and ideas for addressing those problems.

The techniques in PRA include, among others, unstructured or semi-structured group contact sessions, resource mapping, seasonal activity, resource use matrices, and resource inventory analysis.

### **Identifying the core problem**

Brainstorming techniques are used to identify the core problem. Before the brainstorming commences, it is important that the facilitator explain the process and the group agrees on some rules for brainstorming (Jackson, 1997).

An example of brainstorming rules:

- All ideas are accepted without argument
- Aim for quantity rather than quality
- No debate about whether ideas are accepted or not, only about whether the idea has already been listed.
- No evaluation now (limit the discussion on the significance of the material and concentrate on getting full cross-section of ideas)

For maximum participation, brainstorming groups should be no more than ten or twelve people. For larger groups it is better to split the group into smaller groups. The brainstorming exercise commences by asking workshop participants to identify the main problems that the project will address. The core problems should be written on metaplan card (small pieces of card/paper) and stuck on the wall/board for everyone to see.

After all of the problems are displayed on the wall, they should then be clustered into groups of similar issues. Problems that are duplicated can be discarded (Jackson, 1997).

### *How to decide the core problem?*

By designing a project based on real, existing problems of the parties involved, the project designers can avoid imposing their pre-conceptions about the desirable objectives of the projects.

To begin building the problem tree, the group selects one problem from the board that appears to have a number of causes and effects, and is close to the main issue identified in the situation analysis. This becomes the starter problem around which the problem tree is built.

Once problems and issues have been identified, cause-effect relationships are established between these issues to form a “problem tree” diagram for the project situation. Taking the raw information generated from the stakeholder-driven problem identification, the problems are ordered in an organized, hierarchical fashion flowing from causes (bottom) to effects (top). The diagram is only a small subset of a real problem tree. The actual problem tree would be more complex for real multi-stakeholder project.

Then the tree is constructed by taking each problem one by one, and asking “Is this a cause or an effect of a problem on the board?” The card for this problem is then pinned on the board below or above the problem it is related to, depending on whether it is a cause of that problem or an effect. As more and more problems are added to the tree, different hierarchies of causes and effects begin to emerge. Some of the problems will be lower order causes, and some will be higher order effects.

As the tree is built, the group keeps asking questions about the logical, cause-effect relationship between different problems in the tree. When all of the problems have been added to the problem tree, the group checks the validity of the hierarchy, asking:

- are the cause-effect relationships logical and complete?
- have any intermediate steps been left out?

Then necessary changes to the tree are made. When the group is satisfied with the relationships, the lines tracing these relationships are drawn (Gawler, 2005).

The two most common difficulties that arise during the problem analysis are: 1) inadequate problem specification, and 2) the statement of “absent solutions”. Inadequate problem specification occurs when the detail of formulation is insufficient, so that it does not communicate the true nature of the problem. Overly general statements will need to be broken down. Obviously, getting the level of right detail is a matter of judgment on the part of the facilitator and the participants.

Absent solutions are problem statements that describe the absence of a desired situation (e.g. no pesticides available), rather than accurately describing the actual problem (e.g. harvest is infested by pests). The danger with absent solutions is that they risk biasing the intervention towards that solution. For each absent solution, the facilitator asks: “If this solution were delivered, what problem would be solved?” Absent solutions may not be an issue at the very bottom of the problem tree, as they identify what means are needed to address the problem above (Gawler, 2005).

All the explanation above can be summarized into six steps below with the important notes that should be considered during problem analysis process.

### Steps on how to do a problem analysis

Step 1. **Identify** all main problems in short words/terminology into metaplan cards and stick on the board.

Step 2. **Choose** one core problem

Step 3. **Decide** underlying causes of the core problem. Put them below the core problem.

Step 4. **Analyze** all problems that are generated by core problem. Put them up to the core problem.

Step 5. **Create** one diagram illustrates causal effect that connecting those problems with arrows, **problem tree**.

Step 6. **Review** overall diagram and if necessary needed, verify its validity and completeness of the problem analysis. Use the relationship: **if... then....** (if-then relationship).

#### Important notes:

1. To begin the problem analysis, the group checks the validity of the formulation of each problem:
  - The problems have to be precisely worded, and their meaning understood by everyone in the group
  - Problems are real
  - A problem is not the absence of a solution, but an existing negative state
  - State one problem in separate card
  - Any information gaps should be marked

2. The problem analysis has to be made by the relevant participants/groups, including the owners of the problem, the people who know the situation, not by consultants or financing agencies.

***Result of Problem Analysis:***

*Diagram of problem tree which have one core problem.*

*Immediate and direct causes of the core problem are placed in parallel beneath it, meanwhile immediate and direct effects of the core problem are placed in parallel above it.*

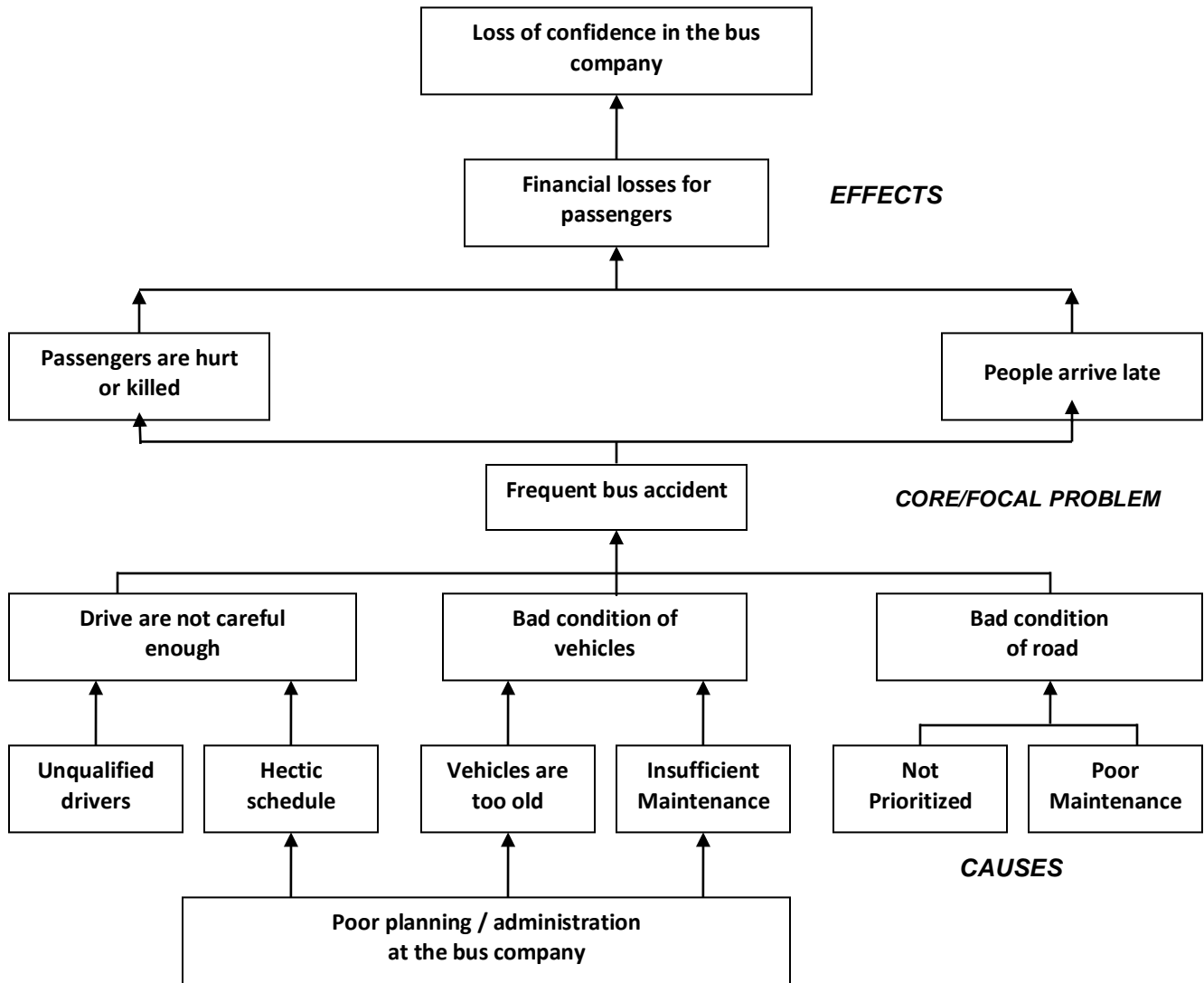
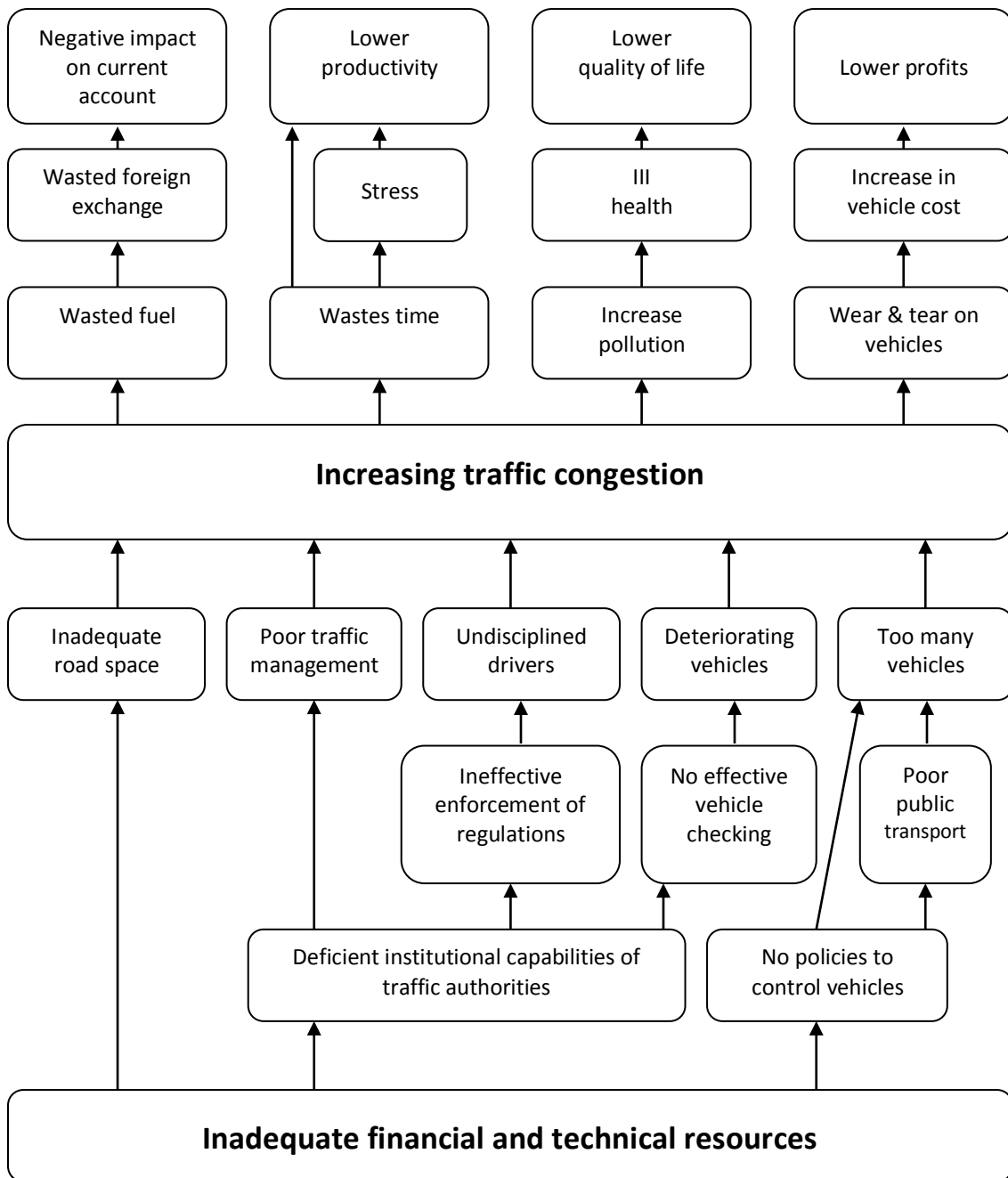


Figure 3.1. Example of a problem tree (1): Public passenger transport in a rural district (SIDA, 2004)





**Figure 3.2. Example of a problem tree (2): traffic management problem (ADB, 1998)**

### 3.1.3. Objective analysis

When the groups have identified the problems that the project shall contribute to eliminating, it is time to develop the objectives, to make an objective tree/analysis. The objective analysis is the positive reverse image of the problem tree/analysis.

Objective analysis is a tool to:

- analyze objectives that will be achieved by solving the problems which is mentioned in problem analysis
- identify potential alternatives for the project
- examine means – ends relationship among those objectives
- reveal this information as series of relationship means – ends within a diagram (objective tree)

The objectives should answer the following questions:

- What shall the project contribute to achieving in the long run? Why is the project important? What are the long-term policy objectives to which the projects will contribute? (*Overall Objectives*)
- What is the project-owner's picture of the ideal situation? It is expected that the purpose will be achieved as a direct effect of the project results. It clarifies why the target group needs the project. What is the focus of this project? (*Project Purpose*)
- Which different components/sub-goals are needed in order to achieve the purpose and overall objectives? (*Results*)

The objective analysis follows from the problem analysis. As it is mentioned before, objective analysis is the positive mirror image of the problem tree, and describes the desired situation following completion of the project. It illustrates this desired situation as a hierarchy of means-to-end relationships in an objective tree diagram, which is derived from the problem tree (Gawler, 2005).

The process of analyzing the objectives begins by simply converting the negative states of the problem tree diagram into positive states. The shape of tree generally remains the same; only the grammar changes. The relationship between the issues identified is no longer one of cause-and-effect as in the problem tree, but rather means-to-end (Jackson, 1997).

As was done for the problem tree, the group should again verify the hierarchy of objectives, asking if all the means-to-end relationships are logical and complete, and if there are any intermediate steps that should be added. It may be that there are gaps in the logic of the objectives tree that were not apparent in the problem tree, in which case the-means-ends linkages should be added or reviewed and re-organized as

necessary. It is usually necessary to reorder the position of objectives as you develop the tree (Gawler, 2005).

The objectives tree provides the basis for determining the project's hierarchy of objectives, which will eventually be used to build the project's logical framework. As with the problem analysis described previously, the objectives analysis process should be conducted as a participatory exercise with all stakeholders concerned. Hence, the objectives are explanations of what the project is going to achieve in the short, medium and in the long term.

### Steps on how to do an objective analysis

**Step 1. Restate** all negative conditions of the problem tree into positive conditions that are desirable and realistically achievable.

**Step 2. Elaborate** all objectives and its relationship in order to have reasonable and proper connection. Adjust it if necessary needed. Use "if – then" to validate the relationship between cards from the lower cards to the upper ones.

**Step 3. Examine** the "means – ends" relationships thus derived to assure validity and completeness of your diagram. If necessary:

- *Sub-step 3.1.* Validation may result in **revising, adding, and/or deleting** cards. This will affect the cards arrangement in the problem tree, check again the relationships using "if-then"; revise the problem tree when necessary
- *Sub-step 3.2.* **Add** new objectives if these appear to be relevant and necessary to achieve the stated objective at the next higher level
- *Sub-step 3.3.* **Delete** objectives which do not seem to be useful or necessary

**Step 4. Verify** overall diagram and sharper the content as well as its relationship to ensure the validity and completeness of objective analysis.

In a workshop:

- the problems (analysis) are written (for example) on yellow metaplan card and made into a problem tree
- the objectives (analysis) are written on green metaplan card.

The different colors of the cards make it easier to clearly visualize the analysis.

**Important notes:**

1. Objective analysis is a critical point in OOPP's step. Objective analysis is expected has more valid, complete and comprehensive results than problem analysis.
2. Structure of objective analysis might be different from problem analysis, with regards to:
  - Previous statements perhaps need to be deleted or defined again.
  - Additional objectives are very possible to be added if it has a correlation and importance to achieve certain objectives in objectives analysis.

***Result of Objective Analysis:***

*Diagram of objective tree.*

*In the objective analysis, the problem tree is transferred into an objective tree. Not every cause-effect relationship in problem tree becomes a means-ends relationship in objective tree. This depends upon the rewording.*

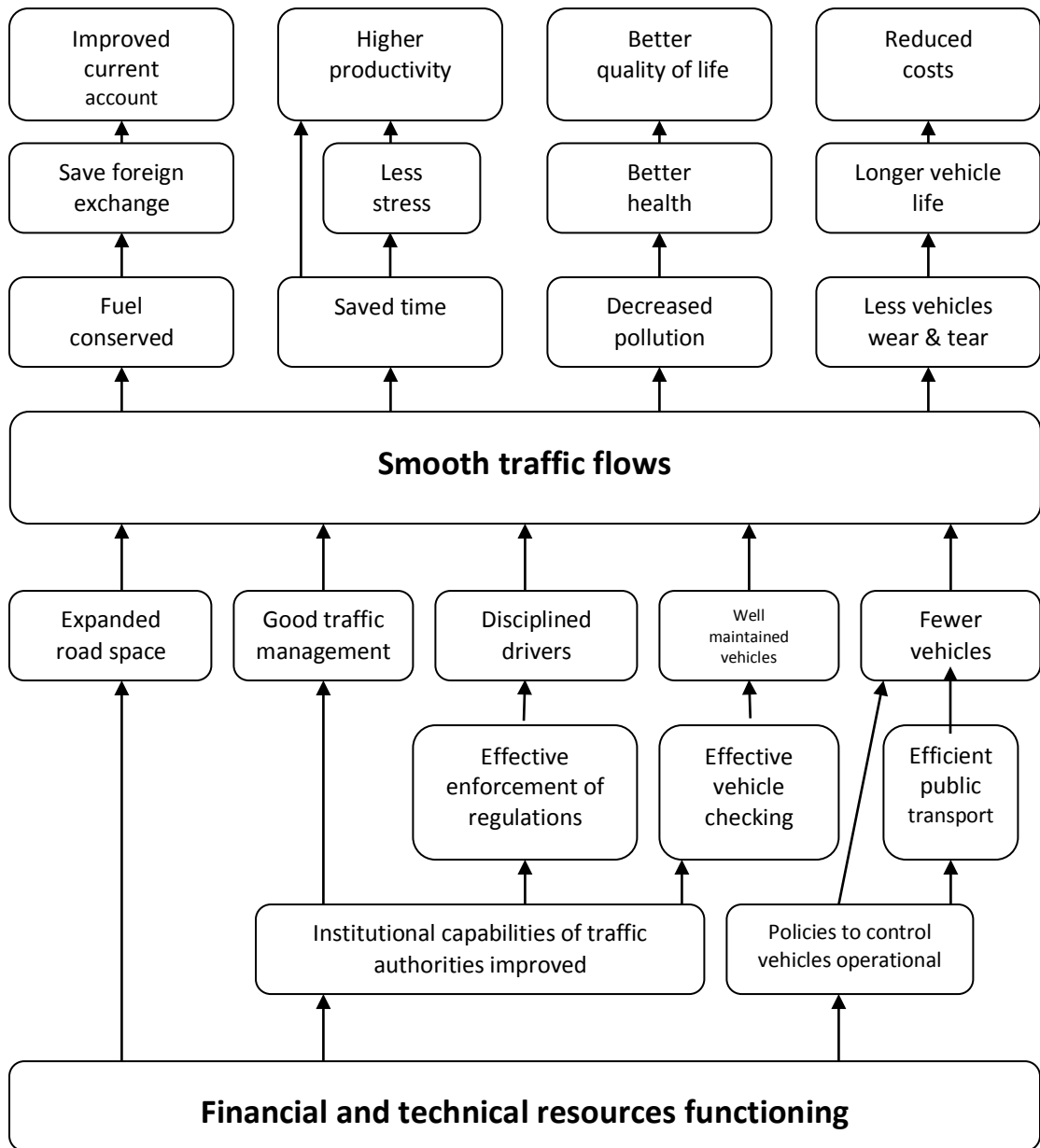


Figure 3.3. Example of an objective tree: traffic management (ADB, 1998)

### 3.1.4. Alternative analysis

The purpose of the alternative analysis (others call it “**strategy analysis**”) is to identify possible alternative options, assess their feasibility and agree upon one strategy for action.

Alternative analysis is a tool to:

- identify alternative solutions which could be project strategies
- select one or more potential project strategy
- decide upon one strategy to be adopted by the project

An analysis of alternatives is a systematic way of searching for and deciding on ways of problem solutions. It follows a problem analysis and it is a prerequisite to designing action strategies (COMIT, 1998).

Choices among different solutions to problem may concern:

- overall concepts, strategic plans, objectives
- people, target groups, organizations, agencies
- methods, procedures, processes
- technologies, services, products, outputs
- measures, actions, materials, inputs

Once the objectives and their relationships have been identified, it is time to select where the project executants and groups will be able to intervene. **A project can not do everything**. A selection must be made of which objectives (i.e. problems) will be addressed, based on a pragmatic assessment of the capacities of the organizations and groups involved. The aim of the alternative analysis is to determine **what is IN** and **what is OUT** of the project, among the many objectives that could possibly be addressed (Gawler, 2005).

The alternative analysis involves clustering objectives and examines the feasibility of different interventions. The main objective becomes the project purpose and the lower order objectives become the outputs or results and activities (Jackson, 2005).

All alternative problem solutions considered must have a common characteristic:

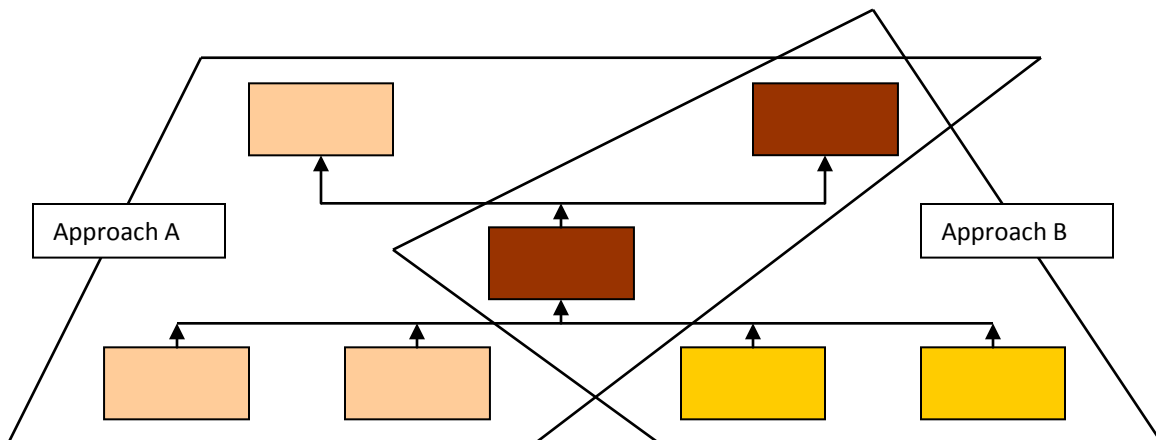
they must contribute to solving a problem

*or in the other words*

they must be suitable steps towards the attainment of identified guiding objectives

In the alternative analysis, those objectives identified in the objectives tree diagram are clustered in terms of their commonality of purpose according to lower order objectives and higher order objectives. Some of these alternatives will fall within the capacities of the project stakeholders, and potentially may be included in the project. Others will clearly fall outside the capabilities of project stakeholders, and will thereby be outside the remit of the project.

Mark the alternative as approaches e.g. education approach, infrastructure approach, etc.



**Figure 3.4. Alternative analysis diagram (ADB, 1998)**

Once the different possible strategies have been clustered, the group decides on one overall project goal – the central objective at the heart of the project. This is a key step in the alternative analysis although the exact formulation of the goal may be revised later, its essence should be clear at this point.

### **Steps on how to do an alternative analysis**

**Step 1. Identify** objectives that are desirable or achievable

**Step 2. Classify** differing means – ends ladders, as possible alternative project strategies or project components

**Step 3. Assess** each alternative whether appropriate to be used as basic to develop optimal project strategy. For this reason, decide the criteria and proper requirement.

**Step 4. Choose** one alternative.

**Important notes:**

1. OOPP method does not determine fix criteria and how to value alternatives due to:
  - the selected alternative really depends on importance and priorities all parties involved in the project
  - the significance to stimulate a discussion/process about these alternatives
2. Criteria for assessing alternatives are an integral part of the decision-making process.
3. Feasibility criteria for projects may comprise of:
  - resource available
  - probability of achieving objectives
  - political feasibility
  - cost-benefit ratio
  - social risks
  - time horizon
  - sustainability, etc.
4. Such criteria at least have to put into the open and preferably **should be jointly agreed upon** in order to increase the acceptance of the choices made. Hardly ever will all criteria be of equal importance for assessing different alternatives. It may be helpful to distinguish between:
  - Obligatory criteria ('must' criteria) which are indispensable (laws, norms, limitations of any kind, human standards, given guidelines) and must be realistic
  - Desirable criteria ('should' criteria) which reflect political and individual priorities, sectoral objectives, professional standards and considerations, etc. these latter criteria may be weighed (by percentage figure or marks) in order to put the basis of assessment into the open.

These criteria need to be weighted in terms of their importance and significance. This is usually done using a scale of 1 to 10, with 10 signifying the highest level of significance. All options must be scored against each criterion with the best option scoring the highest. The options need to be **mutually exclusive**. The comparative analysis provides an understanding of the value of each option in achieving the desired objectives (COMIT, 1998).



### **Steps on how to do weighting in the alternative analysis**

Step 1. Identify criteria and assign weights to them on a scale of 1 to 10, make sure the weight is distinct so that the result of the weighting analysis will discriminate clearly among the approaches

Step 2. Identify the options

Step 3. Collect data to allow you to compare each option against each criterion

Step 4. Score each option against each criterion on a scale of 1 to 10

Step 5. Multiply the score (against each criterion) with the weight (of that criterion) to obtain the weighted score of each option on each criterion

Step 6. Add the weighted scores for each option

Step 7. Identify the options with the highest scores.

This technique simply provides a way to document the assessments. The result of the analysis is an identified investment opportunity. The next step is to plan a project to make the best use of that opportunity.

#### ***Result of Alternative Analysis:***

- 1) *Identified approaches which are made into clusters of objective cards*
- 2) *Table or matrix of alternative analysis which consisted of:*
  - *feasibility criteria for project,*
  - *alternative options gathered from objectives tree/analysis, and*
  - *weighted score of each option based on agreed criteria by the group*

**Table 3.2. Example of alternative analysis: Performing an alternative analysis in the transportation sector (ADB, 1998)**

Criteria	Relative Weight	How well does each alternative perform against each criteria? Which one gets best score?											
		OPTION											
		Road Expansion	Score	WT SC	Traffic Management Improvement	Score	WT SC	Drive discipline improvement	Score	WT SC	Vehicle Restriction policy	Score	WT SC
1. Will most quickly reduce congestion	10	Build new roads takes time	6	60	New system can be introduced within a year	8	80	Changing bad driving habits will take time	6	60	Will have an immediate effect. Introducing policy should take 3-6 month	10	100
2. Institutional capacity to implement	9	Capacity to implement is there though delay should be expected	7	63	Staff will need extensive training in new system	7	63	Police enforcers will need training and incentives to implement	8	72	Is probably the easiest option to implement	9	81
3. Financial and economic viability	8	Most expensive option, many times the cost of other option	5	40	Can be expensive depending on software, hardware, and infrastructure required	8	64	Cost implications only relate to training of enforcers	10	80	Least cost alternative	10	80
4. Social and political acceptability	5	Most 'visible' option and will give temporary relief to all	10	50	Will be appreciated because it will cause least disruption to introduce	8	40	Will be unpopular with drivers initially till they see the benefits	5	26	Will be difficult for people to accept. Some will be car-less on some day. A PR program required	4	20
5. Most widespread effect	7	Will only affect a few major arteries where expansion is possible	4	28	Can affect all major roads if implemented widely	9	63	Can affect whole metropolis if implemented widely	9	63	Will have widest and most immediate impact where introduced	10	70
<b>Total : Index of performance</b>				241		310		300		351			

The result of the alternative analysis above suggests that three of the four options are fairly closely balanced. The *Road Infrastructure Option* is the least preferred. The *Policy Option* has the highest return followed by *Traffic Management* and *Driver Discipline* options.

### 3.2. Project Planning Matrix (PPM)

PPM is a tool to:

- develop project plan
- give a summary about its plan in the form of one-page summary/matrix containing:
  - Why a project is carried out (*project purpose, project goal*)
  - What the project is expected to achieve (*outputs*)
  - How the project is going to achieve these results (*activities*)
  - Which external factors are crucial for the success of the project (*important assumptions*)
  - How we can assess the success of the project (*objectively verifiable indicators*)
  - Where we will find the data required to assess the success of the project (*means of verification*)
  - What the project will cost

**Table 3.3. PPM – General format (COMIT, 1998)**

PROJECT	PROJECT PLANNING MATRIX (PPM)	Country: Project no. Time frame of PPM:	PPM prepared on (date): Remark
<b>Intervention strategy</b>	<b>Objectively verifiable indicators</b>	<b>Means/sources of verification</b>	<b>Important assumptions</b>
Overall goal, general strategic orientation of the project	For the achievement of the overall goal	For respective indicator	For sustaining the achievement of the overall goal in the long term
Development goal to which the project contributes	For the achievement of the development goal	For respective indicator	For sustaining the achievement of the development goal in the long term
Project purpose	For the achievement of the project purpose	For respective indicator	For achieving the overall goal
Outputs/results	For achievements of the outputs/results	For respective indicator	For achieving project purpose
Activities	Specification of inputs/costs of activity each		For achieving the outputs/result

The matrix above is developed from the alternative analysis by filling the column of the matrix. The overall goal, objectives, development goal, project purposes, outputs/results and activities are transposed from the alternatives analysis to the columns and rows in the matrix. Table below indicates the approach to preparing the matrix/logframe and indicates the sequence for completing it (Jackson, 1997).

**Table 3.4. Logframe matrix: General sequence of completion (Jackson, 1997)**

<b>Objective/activities</b>	<b>Indicators</b>	<b>Means of verification</b>	<b>Assumptions</b>
<b>1</b> Overall Objective	<b>15</b> Indicators	<b>16</b> Means of verification	<b>8</b> Assumptions
<b>2</b> Project Purpose	<b>13</b> Indicators	<b>14</b> Means of verification	<b>7</b> Assumptions
<b>3</b> Results	<b>11</b> Indicators	<b>12</b> Means of verification	<b>6</b> Assumptions
<b>4</b> Activities	<b>9</b> Means and Indicators	<b>10</b> Cost and Means of verifications	<b>5</b> Assumptions

### Steps on how to do a PPM

Step 1. **Review** again at the agreed/fixed objective tree and alternative analysis.

Step 2. **Formulate** objective and activities of the project (in the first column)

Step 3. **Decide** all indicators which can be evidenced objectively with its source of verification

Step 4. **Put in order** important assumptions

Step 5. **Analyze** the needs of means and cost of the project

- Vertical and horizontal logic
- Procedures: how to complete the matrix
- How to define OVI (objectively verifiable indicators)
- What is MoV (means of verification)
- How to define assumption
- Specification on inputs (e.g. budget and time)

### 3.2.1. Objectives/activities

In the past use of OOPP, there have been two levels of objectives, the development goal and the project purpose. According to recent discussions and efforts to make the instrument more flexible, additionally two new levels of goals have been introduced (COMIT, 1998):

- One goal, which expresses the orientation of the development on a policy on a national, sectoral or regional level. The co-operation between partners is considered as stable, when goals in this level correspond with each other.
- One goal, which describes the improvements of the situation, strived for by the target groups.

According to specific planning situation, the levels of objectives/goals necessary to describe the intervention strategy have to be discussed and decided upon. Projects may only be successful when they are accepted by the target groups and partner organizations. There also has to be an active engagement for development strived for. The planning process, therefore, is always “bottom-up”, starting with the needs and objectives declared by the target groups. Nevertheless, important parts of the objectives are determined before the planning starts. The development goal and overall goals are fixed by national guidelines. This “top-down” element in the planning process provides the frame conditions, in which projects may be conceptualized.

Objectives and activities of the project (first column), mean of important terminologies (GTZ, 1988):

1. **Overall Goal (OG):** benefit which can be generated as a result from changing group.  
Question should be addressed: How do we word the OG taking into account the results of the analysis of the objectives?
2. **Project Purpose (PP):** reaction/changing behavior of the target group which tackled by project.  
Question should be addressed: With which PP (independent of factors manageable by the project management) will we make a considerable contribution to the achievement of the OG?
3. **Results/Outputs:** service, infrastructure or material which is produced by project for target group.  
Question should be addressed: Which results/outputs (as a whole and in effective combination) will have to be obtained in order to achieve anticipated impact (the Project Purpose)
4. **Activities:** project activities which are needed to “generate” Results/Outputs Project.  
Question should be addressed: Which activities (also as complex packages of measures) will the project have to tackle and implement in order for the all results/outputs to be obtained?

A more comprehensive explanation of the levels of objectives is given below:

**Table 3.5. Definition and descriptions of the elements of the project strategy (COMIT, 1998)**

<b>OVERALL GOAL</b>	The goal describes the strategic orientation of the development cooperation	In a policy, the partner governments agree to the common orientation of their development cooperation. A project may be linked to several Overall Goals. They do not only provide criteria for the selection of projects for cooperation but also provide guidelines for the conceptualization of the single projects.
<b>DEVELOPMENT GOAL</b>	The goal describes the improvement of the situation which the target groups are striving at.	The development goal draws the attention to all actors, who participate in the project, to the development process of the target groups. In development cooperation impacts shall be achieved especially on this level. Projects take place, to support processes of change. The ones concerned are certain people and organizations. But they are not passively accepting the projects services, but actors. They want and have to decide which in direction they want to develop. The function of the development goal is, to give process of change a common perspective.
<b>PROJECT PURPOSE</b>	The purpose describes the changes in behavior of the envisaged beneficiaries or related structures which are brought about by the utilization of whatever the project has to offer (i.e. outputs and related activities)	The practical relevance of this specification may be even more important than the one for the goal: <ul style="list-style-type: none"> <li>• This strategy element constitutes the ‘customer orientation’ (or applies the more common term in development the ‘target group orientation’) of a project; it forces the planners to explicitly state who and how the offer of the project will be used.</li> <li>• Obviously, the resulting change of behavior will be beyond the direct control of the project management.</li> <li>• The planned offer (i.e. outputs and activities) will have to be adjusted so that the envisaged beneficiaries will make use of the project’s output facilities and services.</li> <li>• Utilizing the project’s offer is necessary in order to accrue benefits from the project; thus this definition is the logically required link between ‘outputs’ and ‘goal’.</li> </ul>
<b>OUTPUTS/ RESULTS</b>	The outputs or results describe the facilities, services and goods provided by the project. For planners they are the ‘deliverables’ of a project.	Outputs are what the project is offering from its own side. They should not be mixed up with ‘desired future situations’. Those effects would be taken care of by the purpose and goal level.
<b>ACTIVITIES</b>	Activities describe what the project staff eventually does in terms of deliberate efforts measures in order to achieve the outputs.	Activities refer to tasks/actions to be carried out by utilizing project resources (human, financial, equipment, etc.). The detailed plan showing who performs which task, using what resource.

### **Steps on how to develop objective/activities**

Step 1. The chosen project is derived from the objectives tree and transferred into the first vertical column of the PPM. We proceed as follows:

- Start at the top and work downwards
- Decide on one *overall goal* and one *project purpose*

Step 2. The project purpose describes the intended impacts or the anticipated benefits of the projects as a precisely stated future condition. The project purpose contributes to achieving the overall goal.

Step 3. The results/outputs are expressed as objectives which the project manager must achieve and sustain. Their combined impact must be appropriate, necessary and sufficient to achieve the project purpose.

Step 4. Write down those activities which are necessary to achieve the results/outputs to ensure clarity.

- Do not list too many detailed activities, but rather indicate the basic structure and strategy of the project
- In contrast to the objectives levels, we express the activities as an action.

Step 5. Activities and results/outputs are given consecutive, related numbering. The numbering can be used to indicate the sequence of events or the priorities.

Step 6. The column entitled summary of objectives and activities must describe the operational means-ends relationships in the project structure.

- The activities are implemented in order to obtain the results/outputs
- The results/outputs are necessary and (together with the assumptions) sufficient basic requirements to achieve the project purpose
- The project purpose is a prerequisite to obtain the overall goal

#### ***Result of analyzing objective/activities:***

*The defined of objective goal, project purpose, output/results and activities of the project under first column of PPM.*

### 3.2.2. Important assumptions

Assumptions are major conditions (frame conditions) which are outside the direct control of the project, but which are so important that they will have to be met or have to hold true if the project is to achieve its objectives (COMIT, 1998).

The aim of specifying assumptions are:

- to assess the potential risks to the project concept right from the initial stages of project planning
- to support the monitoring of risks during the implementation of the project
- to provide a firm basis for necessary adjustments within the project whenever it should be required

Many projects succeed in doing the activities they plan, but fail to make the impact they desire because of factors outside their influence. Assumptions are outside the scope of the project, yet their fulfillment is necessary for the successful achievement of each successive level in the intervention logic.

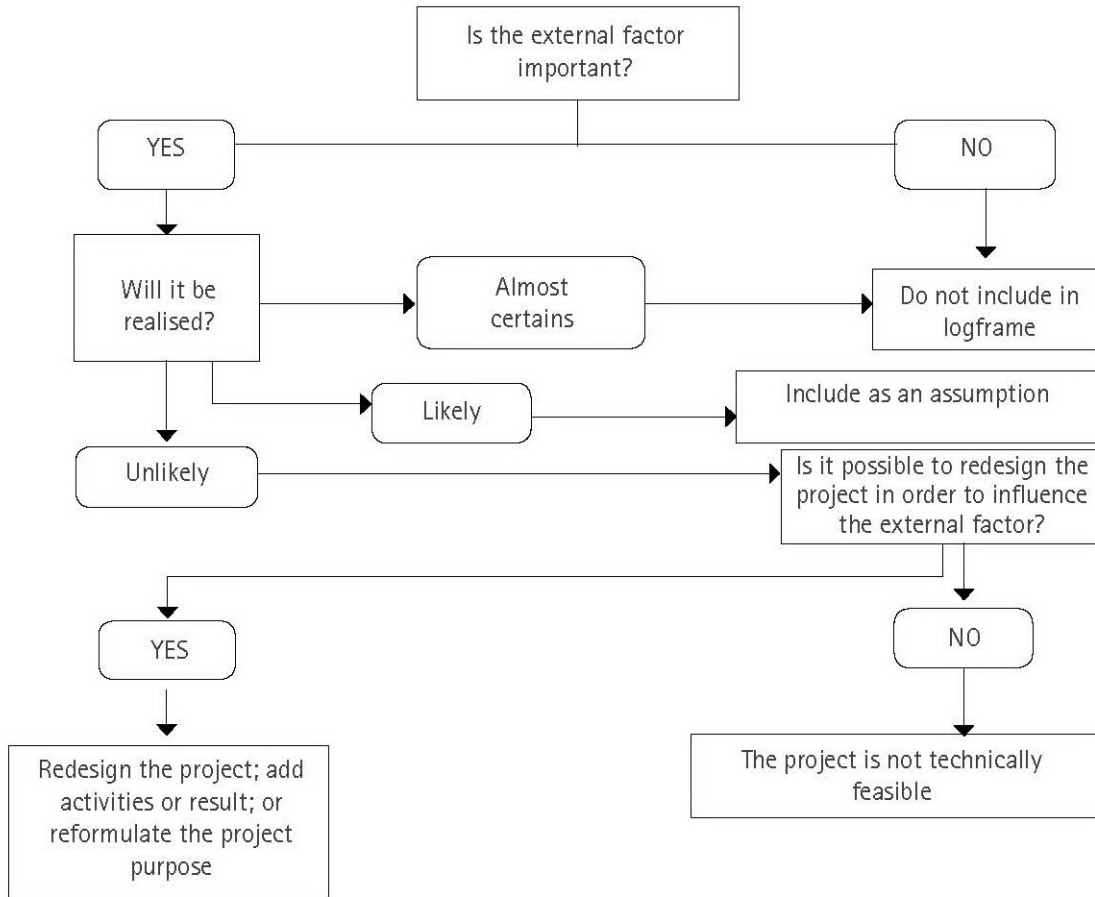
Often, many potential risks and assumptions at different levels in the project come to light during the problem identification stage. It is important to take risks and assumptions into account in project design, as they can significantly impact the outcome of a project (Gawler, 2005).

An assumption describes a factor which is external to the project (i.e. outside the direct control of the project), relevant to the implementation/success of the project, and the realization of which must be probable.

An assumption is important when there is evidence that the failure of such condition to hold true may jeopardize the project's success. If assumptions are likely to hold true, then the project's success is assured. An assumption with an uncertain degree of probability needs to be monitored because it may seriously endanger the project if finally it does not hold true. Major risks or assumptions may become "killer assumptions", capable of completely derailing the project if they can not be addressed. Killer assumptions are important assumptions that are likely to fail, and that can not be brought under the control or influence of the project. Killer assumptions are red flags, indicating that the project may not be viable, and should be refocused or dropped.

The following **Figure 3.5.** explains how to determine and analyze the relevance of an assumption.





**Figure 3.5. The Assumption Algorithm (IUCN, 1997)**

***Result of analyzing the important assumption:***

*Assumptions which are put as objective wording and has been evaluated for its relevance using the above algorithm. Assumptions are under fourth column.*

### 3.2.3. Objectively verifiable indicators (OVIs)

Is the project achieving its goals? To answer this question, the project group needs to identify indicators, which make it possible to measure the progress of the project at different levels. Establishing a suitable indicator for an objective is a way of ensuring that an objective becomes specific, realistic and tangible (Örtengren, 2004).

Indicators are the means by which one can regularly gauge the performance, success and impact of a project. They are the tools that make monitoring work. Indicators are factors that can be measured, recorded or described, and which illustrate either the difference between the current state of a system and the desired state of that system; the changes in pressures stressing the system; or the changes in responses to those pressures and/or to the state of the system (Gawler, 2005).

Indicators are performance standards which translate the alternative analysis of the project strategy in the PPM into empirically observable, quantified and concrete, i.e. “Objectively Verifiable Indicators” (OVIs). Together with the means/sources of verification, they provide the basis for monitoring a project.

“Objectively verifiable” means that in the same situation, different persons using the same indicator with the same methodology would find the same measurements. Therefore, when different persons, who may be involved in monitoring the progress of a project or evaluating the achievements of project objectives, use OVIs for measuring reality, they should arrive at the same conclusions.

For each output and activity indicators need to be developed. OVIs should meet the following criteria (Jackson, 1997):

<b>Measurable:</b>	An indicator must be able to be measured in either quantitative or qualitative terms
<b>Feasible:</b>	An indicator should be feasible in terms of finances, equipment, skills and time available
<b>Relevant &amp; Accurate:</b>	An indicator should reflect what we are trying to measure in an accurate way
<b>Sensitive:</b>	An indicator should be capable of picking up changes over the time period that we are interested in and,
<b>Timely:</b>	An indicator should be able to provide information in a timely manner

OVIs describe the intervention logic in operationally measurable terms: quantity, quality, target group, time, place, etc. They should give a precise picture of the situation, measurable in consistent way, realistic to measure in terms of budget, time, capacity of

project staff, and be SMART (Specific, Measurable, Achievable, Relevant, and Time-bound).

### Steps on how to wording the indicators

Step 1. The indicators **define** the contents of the objectives (OG, PO and R/O). Either the objectives or the indicator must also contain:

- the time period
- the region
- the target group
- the partner institutions

Step 2. The details in the indicators allow us to exactly measure how far the objectives have been achieved at different **periods in time**. We must also **quantify** the quality factors as far as possible.

Step 3. When the contents of the objectives have been fully incorporated, we must state how to **measure** them and set the quantities required.

Step 4. The prescribed measuring process must be **accurate** enough to make the indicator objectively verifiable. An indicator is objectively verifiable when different person using the same measuring process obtain the same measurements quite independently of one another.

### **Result of analyzing OVIs:**

*Clear indicator for each objective/activities level which cover time boundary, area, target groups, and the stakeholders involved in the projects. OVIs are under second column.*

**Table 3.6. Dimensions of indicators (in terms of required aspects)**

<b>LEVEL OF OBJECTIVES</b>	<b>Target group</b>	<b>Quality</b>	<b>Quantity</b>	<b>Area</b>	<b>Time</b>
<b>Development goal:</b> Which benefits are expected from the projects outputs?	<i>Who will use the project outputs and benefit in a way?</i>	<i>What precisely will be benefited of using the project outputs?</i>	<i>How many person, groups or organizations will benefit? Or how much will be the total benefit?</i>	<i>What is the smallest area in which the benefits will materialize?</i>	<i>When will the benefits materialize?</i>
<b>The purpose as specified by the indicators must be sufficient to contribute to the achievement of the development goal</b>					
<b>Purpose:</b> How will the target groups change their activities, practices and behavior by utilizing the projects outputs/results?	<i>Who is expected to use the outputs?</i>	<i>How precisely will the target groups use the project outputs?</i>	<i>How many person, groups or organizations will use the project outputs?</i>	<i>What is the smallest area in which the outputs will be used?</i>	<i>When will the target groups use the outputs?</i>
<b>All outputs/results as specified by the indicators must be sufficient to facilitate the achievement of the purpose</b>					
<b>Output/result:</b> Goods and services made available to its target group by the project	<i>Who will receive or have access to the outputs?</i>	<i>What precisely will be the goods and/or services provided to the envisaged beneficiaries?</i>	<i>How many of these goods and/or services will be available?</i>	<i>What is the smallest area in which the goods and/or services will be available?</i>	<i>When will the goods and/or services will be available?</i>

### **3.2.4. Means of verification (MoV)**

Means of verification indicate:

- How to acquire evidence that the objective have been meet
- Where to find proof which will be provide the data required for each indicator

OVI and MoV form the basis of the monitoring system of a project. In practice, in an OOPP workshop, MoV can only be defined provisionally. They are revised as the monitoring system is elaborated.

Once indicators have been developed, the source of the information and means of collection (means of verifications/MoV) should be established for each indicator. A MoV should test whether or not an indicator can be realistically measured at the expense of a reasonable amount of time, money and efforts. The MoV should specify (Jackson, 1997):

- The format in which the information should be made available (e.g. reports, records, research findings, publications)
- Who should provide the information, or where it can be found
- How regularly it should be provided (e.g. monthly, quarterly, annually)

When an indicator is formulated, its MoV should be specified simultaneously (i.e. the data source and means of collection). This will give a good idea of whether or not the indicator can be realistically measured. The cost of data collection is directly related to the complexity of the source of verification. If data for an indicator are too complicated or costly to collect, a simpler, cheaper indicator should be chosen.

### **Steps on how to describe the means of verification:**

Step 1. **Stipulate** the sources of information to be used to verify each indicator.

Step 2. The third column of the matrix is to give an **exact description** of what information is to be made available, in what form and, if necessary, by whom.

Step 3. Sources of verification outside to the project are reviewed as to:

- How much information they contain on the region and on the target groups
- How reliable, up-to-date and accessible they are
- Their composition and how they were obtained

Step 4. When suitable sources of verification outside the project can not be identified, the information necessary to verify the indicators must be **collected**, processed and stored internally by the project itself.

Step 5. The collection, preparation and storage of information in the project itself and the individual activities are to be **incorporated as an activity** in the activities column and calculated in the specification of inputs and costs.

Step 6. Indicators for which we can not identify suitable sources of verification must be **replaced** by other, verifiable indicators.

Step 7. Indicators which, after consideration of cost and benefits, are too expensive must be replaced by simpler, cheaper ones.

### ***Result of analyzing MoVs:***

*Detail source of information for every indicator needed in the PPM according to the level of objective/activities. MoVs are under the third column.*

**Important notes:**

Developing a PPM is an iterative process which usually requires a frequent back-and-forth analysis and review in the process:

- Start from one project idea which may be still in a raw one.
- Then, redone iteratively thus the PPM become:
  - complete
  - logic (both vertical and horizontal logic)
  - realistic

**Figure 3.6.** below explains the logical role of the assumptions in the PPM both vertically and horizontally. Express verbally, this diagram would read (Gawler, 2005):

- *If certain preconditions are met, then the project activities can commence.*
- *If the project successfully undertakes the activities, and if parties outside the project ensure that important assumptions are met, then the outputs will be realized.*
- *If the project succeeds in realizing the outputs, and if parties outside the project ensure that important assumptions are met, than the targets will be realized.*
- *If the project achieves its targets, and if parties outside the project ensure that important assumptions are met, then the project goal will be achieved.*
- *If the project goal is achieved by the end of the project, and important assumptions are also met (including the success of other related projects), then the high level strategic objectives will be achieved.*

	Intervention Logic	Indicator + Sources of Verification	
High Level strategic objective			Assumption and Risks
Project goal			+ Assumptions
Targets			+ Assumptions
Outputs			+ Assumptions
Activities			+ Assumptions Precondition

**Figure 3.6. Vertical and horizontal (zigzag) logic (WWF, 2005)**

This **vertical logic** of the matrix identifies what the project intends to do, clarifies the causal relationships, and specifies the important assumptions and uncertainties beyond the project's control. The **horizontal logic** relates to monitoring, i.e. the indicators to measure the effectiveness of the intervention, and the sources of verification for these measurements.

**Remember!**

- All components in PPM is interconnected.
- Changes content from one box may require changing other box content to ensure integration and consistency of PPM.
- Using horizontal logic, an indicator is set to measure whether the objective/activity in the same ladder is successful.
- Assumption is defined by importance of an external condition, if an external condition is regarded not important for the specific objective/activity then assumption is not necessary.
- Time needed for developing the matrix varies, since revision on the objective tree is sometimes still necessary, therefore the completeness of the matrix is based on the group's decision.



**Table 3.7. Example of the complete matrix/logframe (1): ‘Bus System’ project (COMIT, 1998)**

RURAL Bus system	PROJECT PLANNING MATRIX (PPM)	Country : Zoppesia Project No: 123XY Time Frame of PPM : from month of .....199y to month of.....199z	PPM prepared on (date) : today Remark: Demonstration example
Descriptive Summary	Objective Verifiable Indicators	Means / Sources of Verification	Important Assumptions
<b>Development Goal to which the Project contributes</b> Peasants of village A.B.C. increase their income through market production	For the achievement of the development goal After year 3 of project implementation income from market sales of more than 70% of peasants is at least stable (or increased)	Households Income survey at village A.B.C 3 years after the project’s start	For sustaining the achievement of the development goal in the long term
<b>Project Purpose</b> Peasants arrive at the market place safely and on time	For the achievement of the goal 3 years after the beginning of the project’s implementation phase, more than 50% of the female peasants who produce a marketable surplus are able to transport 80% of their marketable product (plus dependent children) from their villages to the market place arriving there early morning hours	Annual survey at market Place 1 month after beginning of the harvest season	For achieving the development goal: competing producers do not receive excessive subsidies by other intervening agent
<b>Output / results</b> 1) Buses are regularly maintained and repaired 2) Standard training courses for bus drivers implemented 3) Management system for optimal deployment of drivers and flexible bus use established	For the achievement of the result 1. After year 2 of project implementation a repair of a serious breakdown of a bus does not take longer than 10 days after the bus reaches the workshop 2. After year 3 of project implementation accidents caused by drivers’ themselves reduced to below 30% of all accidents 3. After year 3 of project implementation the bus transport capacities are adjusted to the marketing requirements in different villages in the course of the harvesting	Workshop service cards Police records of bus accidents Bus schedules	For achieving the project purpose: a. Trained bus drives apply their new knowledge b. Road Improvement measures are implemented (possibly by a project of another donor) c. Ticket price are in line with the purchasing power of the farmers
<b>Activities (example)</b> 2.1. Check knowledge and deficits of..... 2.2. Design appropriate course curriculum for.... 2.3. Carry out courses for... 2.4. Evaluate impact of course and revise curriculum 2.5. ....	Specification of input / costs of each activity		For achieving the output/result: 1..... 2. Drivers attend courses regularly and are sufficiently motivated 3.....

**Table 3.8. Example of the complete matrix/logframe (2):  
'Drinking Water' project (SIDA, 2004)**

	Intervention logic	Objectively measurable and verifiable indicators	Sources of verifications	Important assumptions
<b>Development objectives/Goal</b>	Target groups' health shall improve	20% fewer cases of diarrhea, scabies, eye infections, malaria, blood parasites (bilharzias) and malnutrition	Reports from health clinics in the project area	
<b>Project objective/Purpose</b>	Consumption of clean water shall increase from x to y and the use of latrines from a to b	xx water points erected and xx latrines constructed and their use recorded	Project half –yearly reports	Water sources remain unpolluted Primary health care and education are still provided
<b>Results/Outputs</b>	1. 50% of the target group supplied with sufficient quantities of clean water ----- 2. 50% of existing water points in the target area repaired ----- 3. Maintenance and repair organization commences operations ----- 4. 20% of households in the target area supplied with latrines ----- 5. Hygienic habits of the target group improved	Water points taken into operation; water quality tested ----- 50% of existing water points in working order ----- All water points included in the maintenance program ----- Latrines built and used correctly ----- Target groups' habits more hygienic	Project personnel who visit all construction sites when the installations are complete ----- Project half-yearly reports ----- Reports from the District Development Fund ----- Reports from the District Council ----- Half-yearly reports from the Min of Health ----- Examinations of the target group which is	Maintenance system will continue to function ----- Action to be taken: budget for current costs to be established at the health authority ----- Target group is willing to adopt new habits in respect of water and sanitation ----- Action to be taken: methods used for the active participation of the target group
<b>Activities</b>	1.1 Train xx personnel 1.2 Designate xx places for water points 1.3 Procure materials 1.4 Drill and construct xx wells ----- 2.1 Train xx "water groups" 2.2 Acquire materials 2.3 Repair xx old water points ----- 3.1 Form maintenance organization 3.2 Establish a cost-coverage mechanism ----- 4.1 Acquire materials 4.2 Train xx builders 4.3 Identify target group 4.4 Build xx latrines ----- 5.1 Survey present habits of hygiene 5.2 Train in hygiene	<u>Project and costs</u> <b>Foreign financing</b> Capital goods----- Operating costs----- Infrastructure----- Technical assistance (4 technicians) Total cost District 1           20.000 euro Total cost District 2           22.000 euro <b>Total foreign cost               42.000 euro</b> <b>Local financing</b> Personnel (unit at local health authority) Infrastructure Maintenance Operating costs ----- Total cost District 1           15.500. Total cost District 2           19.800. ----- Total local cost in local currency   35.300. <b>Total local cost in euro       17500.</b> ----- <b>Total cost for Sweden and Rec. Country in euro       59500</b>	Necessary capital goods, materials and personnel are available ----- Action to be taken: study to be made ----- Target group will cooperate ----- Action to be taken: target group participates in planning, implementation and follow-up ----- Implementing organization fulfils its obligations ----- Action to be taken: health authorities sign an agreement	
<b>Inputs/Resources</b>			<b>Conditions</b>	1. Adequate supply of ground water of good quality ----- 2. Government continues to support the project

An OOPP planning event will require follow-up activities similar to those in preparatory steps, as the planning group might realize that important background information is not available during the workshops, or that time constraints did not permit the finalization of each of the planning steps. In most cases the latter holds true with regard to the identification and elaboration of professional and meaningful indicators. Therefore, time and resources within the project should be allocated since the finalization will be done mainly by the project team.

### 3.3. What is next after PPM?

This handbook does not offer answers to everything. It is not the last word on any particular subject, and it is a living document.

PPM has great value in clarifying thinking about the task to be achieved and how to evaluate change. PPM also has value as a means of improving communication between participants in any given activity. And if they are constantly referred to and reported upon, people will understand what they are doing and why.

However, PPM is dynamic, not static, and is therefore subject to change. There is a standard procedure for achieving this:

- Those managing any particular activity usually have the discretionary authority to change Activity level objectives for their PPM.
- Changes to Result level objectives require consultation with immediate managers or supervisors, but should be initiated by the person concerned
- Changes to Purpose level objectives must be initiated by the level above and discussed with the staff affected.

On the other hand, changes impact downwards as well as up: changes to Activity level and Result level objectives, so consulting downwards about proposed changes is always valuable.

After developing the PPM, the next step is the implementation or execution phase. However, the PPM is the final product in OOPP. The implementation/execution phase requires further planning processes to operational what is planned in the initiation phase (i.e. in the PPM document). Briefly talking about operational phase, it commences usually when the project team starts implementing the activities in order to achieve the expected results. In many cases this may be one or two years after the project concept had been established at the end of the design phase (as laid down in the PPM of the project appraisal). In the meantime framework conditions may have changed, so that a verification of the PPM must take place during the operational planning. The project purpose and development goal, however, should be altered only in exceptional cases when major changes have occurred.

The plan of operations is the detailed plan for the implementation of project. It is established by the project team and will be documented as work plan, project budget, personnel plans, material and equipment plan/procurement plan/staff training plans. The period of reference for the plan of operations is identical with the ongoing or actual project phase (normally a period of 2 – 5 years). It is sometimes necessary to prepare a

more detailed one-year plan of operations after the general 2-3 year plan has been outlined.

The accepted Plan of Operations is binding for all parties collaborating in the project implementation (e.g. implementing agencies and funding agencies). The Plan of Operations often has legal status of an international contract, when the project has external funds, such as contributions from a donor agency. The work plan and the project budget may be integrated into a combined worksheet: the combined Work-plan and project budget. This constitutes the core of the Plan of Operations (COMIT, 1998).

## References:

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# Appendices



## **Logical Framework Approach/Analysis (LFA)**

LFA is used to:

- identify problems and needs in a certain sector of society
- facilitate selecting and setting priorities between projects
- plan and implement development projects effectively
- follow-up and evaluate development projects.

LFA was developed during the 1960s and has been widely spread all over the world since the 1970s. Today it is used by private companies, municipalities and by almost all international development organizations, when assessing, and making follow-ups and evaluations of projects/programs. The UN-system, German GTZ, Canadian CIDA, USAID, Norwegian NORAD and Swedish SIDA all encourage their counterparts to use the LFA method when planning, implementing and evaluating a process of change, a project/program. Note the different needs for LFA, depending on the role a party may have. The international donor agencies use the method for assessing, following up and evaluating projects and programs, while implementing parties use the method for planning, implementing and following up projects/programs.

A brief summary of how LFA (particularly the matrix, activity and resource schedules) can be used during project formulation, implementation and evaluation is provided below:

**Table A1.1. The use of LFA in various project cycle stage**

Project cycle stage	Use of LFA
<b><i>Formulation</i></b>	<ul style="list-style-type: none"> <li>- The Logframe Matrix provides a summary of key project elements in a standard format, and thus assists those responsible for appraising the scope and logic of proposed investments.</li> <li>- The tools that make up LFA can be applied to de-construct the proposed project, to further test its relevance and likely feasibility</li> <li>- The objectives specified in the Logframe, combined with the activity, resource and cost schedules, provide information to support cost-benefit analysis</li> <li>- The cost-schedules allow cash-flow implications to be assessed (including the contributions of different stakeholders), and the scope of Financing Agreements to be determined</li> </ul>
<b><i>Implementation</i></b>	<ul style="list-style-type: none"> <li>- The Logframe provides a basis on which contracts can be prepared – clearly stating anticipated objectives, and also the level of responsibility and accountability of project managers and other stakeholders</li> <li>- The Logframe and associated schedules provide the basis on which more detailed operational work plans can be formulated</li> <li>- The Indicators and Means of Verification provide the framework for a more detailed Monitoring and Evaluation Plan to be designed and implemented by project managers</li> <li>- The Assumptions provide the basis for an operational risk management plan</li> <li>- The Results, Indicators and Means of Verification (+ activities, resource and costs) provide the framework for preparing project progress reports (to compare what was planned with what has been achieved)</li> </ul>
<b><i>Evaluation and Audit</i></b>	<ul style="list-style-type: none"> <li>- The Logframe provides a framework for evaluation, given that it clearly specifies what was to be achieved (namely results and purpose), how these achievements were to be verified (Indicators and Means of Verification) and what the key assumptions were.</li> <li>- The Logframe provides a structure for preparing TOR for Evaluation studies and for performance audits.</li> </ul>

The outcomes from such planning processes are summarized in a project planning matrix (PPM) or logframe table as illustrated below. It is important to distinguish between the logical framework approach and the project planning matrix. Often poorly planned projects, that in fact do not reflect an LFA approach, are summarized in such a matrix.

**Table A1.2. Project Planning Matrix (PPM) or Logframe**

<b>Objective Hierarchy</b>	<b>Indicators</b>	<b>Monitoring mechanism</b>	<b>Assumption and Risks</b>
Goal			
Purpose			
Results (Outputs)			
Activities			

The matrix cells are organized in four columns along a logical structure. The left hand column contains the project’s development hypothesis and the “overall goal”, “project purpose”, “results” and “activities”, all connected by “if-then”-links. The second column contains “objectively verifiable indicators” for the overall goal, the project purpose and the results. The third column allocates “sources of verification” for the indicators and the fourth column contains the “assumptions” for each planning level. The cell containing the “specification of inputs and costs” is attached to the “activities” cell. Project management is responsible for the “results”, “activities” and “specification of inputs/costs” cells (i.e. the manageable dimensions).

Different terminology is used by different donors and other groups for both the logframe objective hierarchy and the headings for the columns in the project planning matrix. The main terminology used by the key donors is summarized below. It’s also worth remembering that the staff of development agencies are not always themselves familiar with the correct definitions of some of the terms they are using. Different parts of the same organization may be using the same terms in different ways. Sometimes, the adoption of new terminology within these organizations takes some time to reach all of the employees.

Outputs is the most commonly used term for the level between activities and purpose, however the term results is now becoming more widely used, partly reflecting the move towards results based management approaches and partly because there is some confusion within the monitoring and evaluation terminology about the meaning of outputs. The project planning matrix is usually only shown with one level of results (outputs) however it is understood that there can be several levels of results (i.e. key results and sub results) for a large and complex program or project.

**Table A1.3. Comparison of LFA terminology used by different donor agencies**

		CIDA	DANIDA	DFID	EC	FINNIDA	GTZ	SIDA	World Bank	UNDP
<b>Goal</b>	<i>Goal is becoming the standard term at this level</i>	Goal	Goal	Goal	Overall Objective	Overall Objective	Overall Goal	Development Objective	Country Assistance Strategy-related Goal	Development Objective
<b>Purpose</b>	<i>Purpose or Immediate Outcome are the main alternatives at this level</i>	Purpose	Immediate Objective	Purpose	Purpose	Purpose	Purpose	Project Objective	Project Development Objective	Immediate Objective
<b>Results</b>	<i>At this level, the alternatives are outputs or results</i>	Outputs	Outputs	Outputs	Results	Results	Results	Results	Outputs	Outputs
<b>Activities</b>	<i>Activities are used by all</i>	Activities	Activities	Activities	Activities	Activities	Activities	Activities	Activities	Activities

*(Source: ITAD Ltd Draft Glossary Developed for IUCN)*

## Appendix 1.2.

### **Results Based Management (RBM) and Results Orientated Assistance (ROA)**

Over recent years the Canadian International Development Agency (CIDA) and the United States Agency for International Development (USAID), in particular, have moved to what has been called a results based approach and away from any explicit use of the LFA. This development has arisen for two reasons. First because it was recognized that more attention needs to be given to the actual management of program and projects if planned results are to be achieved. Second because there has been growing pressure from donor governments for donor agencies to demonstrate more explicitly the impacts of development assistance.

While RBM and logical framework approaches do have slightly different emphasis the underlying principles are quite similar. In essence they both attempt ensure logical project design, that results are actually achieved and that there are mechanisms for monitoring projects and demonstrating what has been achieved.

Part of the reason for a movement away from the logical framework approach was a perception that it was too rigid and did not provide for enough flexibility in project implementation. Also the move to results based approaches is an attempt to link development projects more explicitly to an overall development strategy for the donor, the country or the region. Donor agencies have become interested in showing the collective impact of their entire portfolio of development assistance. There is also a strong theme within the results based management of managing a project to ensure higher level results or project purpose. This reflects an explicit recognition of the need for adaptive project management.

CIDA defines Results Based Management (RBM) as: “a management approach that centers on the establishment of a process and environment where individuals work together to accomplish expected results. The RBM process allows project managers to allocate or reallocate scarce project resources based on performance information and incorporates lessons learned into project management.”

Furthermore, USAID defines Results Orientated Assistance (ROA) or what is also referred to as Managing for Results (MFR) as: “A grant or cooperative agreement awarded to a Development Partner to achieve results that contribute to USAID’s performance goals.”

There are three principal elements of ROA:

- a results orientated program description
- a performance measurement system
- responsibility for performance

The ROA approach of USAID is designed to show how a particular project contributes to the overall development assistance goals that have been set by USAID and approved by the US Congress.

The main difference between RBM/ROA and LFA/ZOPP is that RBM/ROA places as much emphasis on management and monitoring and evaluation as it does on the design, while LFA/ZOPP has tended to focus more on planning and design.

The RBM/ROA approaches are specifically designed to enable project managers to cope with change and uncertainty and move away from 'blue print' development planning. For example, USAID states: "Overly prescriptive input-related detail should be avoided, in order to preserve subsequent flexibility to adapt to changing circumstances "on the ground" during implementation of the activity"

However, even within each approach there are often differences in the use of terminology and many adaptations have been made as different groups put the approaches into practice. Further, those within agencies who should understand the approach being used are often not as clear in their understanding as would be ideal. This difficulty is compounded when agencies are in a transition from one approach to another.

Nevertheless, some experiences with USAID would suggest that this principle is yet to be fully integrated into the various departments and processes that deal with project approval. At times one will find different understanding between the planning departments and the financial management and contracting departments of agencies, the former saying flexibility and adaptive management is fine while the latter demands much great rigidity.

In essence there is no particular conflict between LFA and results based approaches, and LFA can be used in a perfectly complementary way within a RBM context.

## Appendix 2.1.

### Root Cause Analysis

Root cause analysis (RCA) is a class of problem solving methods aimed at identifying the root causes of problems or events.

Root Cause Analysis is any structured approach to identifying the factors that resulted in the nature, the magnitude, the location, and the timing of the harmful outcomes (consequences) of one or more past events in order to identify what behaviors, actions, inactions, or conditions need to be changed to prevent recurrence of similar harmful outcomes and to identify the lessons to be learned to promote the achievement of better consequences.

The practice of RCA is predicated on the belief that problems are best solved by attempting to address, correct or eliminate root causes, as opposed to merely addressing the immediately obvious symptoms. By directing corrective measures at root causes, it is more probable that problem recurrence will be prevented. However, it is recognized that complete prevention of recurrence by one corrective action is not always possible. In a nuclear power industry it is required that "In the case of significant conditions adverse to quality, the measures shall assure that the cause of the condition is determined and corrective action taken to prevent repetition." In practice, more than one "cause" is allowed and more than one corrective action is not forbidden. Conversely, there may be several effective measures (methods) that address the root causes of a problem. Thus, RCA is often considered to be an iterative process, and is frequently viewed as a tool of continuous improvement.

RCA is typically used as a reactive method of identifying event(s) causes, revealing problems and solving them. Analysis is done *after* an event has occurred. Insights in RCA may make it useful as a pro-active method. In that event, RCA can be used to *forecast* or predict probable events even *before* they occur.

Root cause analysis is not a single, sharply defined methodology; there are many different tools, processes, and philosophies for performing RCA analysis. However, several very-broadly defined approaches or "schools" can be identified by their basic approach or field of origin: safety-based, production-based, process-based, failure-based, and systems-based.

- Safety-based RCA descends from the fields of accident analysis and occupational safety and health.
- Production-based RCA has its origins in the field of quality control for industrial manufacturing.
- Process-based RCA is basically a follow-on to production-based RCA, but with a scope that has been expanded to include business processes.

- Failure-based RCA is rooted in the practice of failure analysis as employed in engineering and maintenance.
- Systems-based RCA has emerged as an amalgamation of the preceding schools, along with ideas taken from fields such as change management, risk management, and systems analysis.

Despite the different approaches among the various schools of root cause analysis, there are some common principles. It is also possible to define several general processes for performing RCA.

#### General principles of root cause analysis

1. The primary aim of RCA is to identify the factors that resulted in the nature, the magnitude, the location, and the timing of the harmful outcomes (consequences) of one or more past events in order to identify what behaviors, actions, inactions, or conditions need to be changed to prevent recurrence of similar harmful outcomes and to identify the lessons to be learned to promote the achievement of better consequences. ("Success" is defined as the near-certain prevention of recurrence.)
2. To be effective, RCA must be performed systematically, usually as part of an investigation, with conclusions and root causes identified backed up by documented evidence. Usually a team effort is required.
3. There may be more than one root cause for an event or a problem, the difficult part is demonstrating the persistence and sustaining the effort required to develop them.
4. The purpose of identifying all solutions to a problem is to prevent recurrence at lowest cost in the simplest way. If there are alternatives that are equally effective, then the simplest or lowest cost approach is preferred.
5. Root causes identified depend on the way in which the problem or event is defined. Effective problem statements and event descriptions (as failures, for example) are helpful, or even required.
6. To be effective, the analysis should establish a sequence of events or timeline to understand the relationships between contributory (causal) factors, root cause(s) and the defined problem or event to prevent in the future.
7. Root cause analysis can help to transform a reactive culture (that reacts to problems) into a forward-looking culture that solves problems before they occur or escalate. More importantly, it reduces the frequency of problems occurring over time within the environment where the RCA process is used.
8. RCA is a threat to many cultures and environments. Threats to cultures often meet with resistance. There may be other forms of management support required to achieve RCA effectiveness and success. For example, a "non-punitive" policy towards problem identifiers may be required.



## Appendix 2.2.

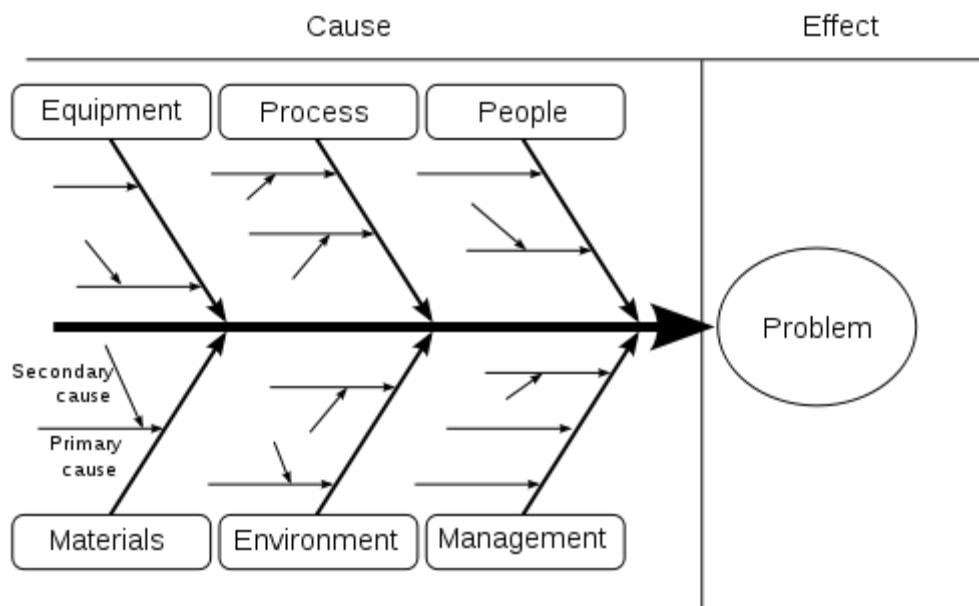
### Ishikawa Diagram/Analysis

Ishikawa diagrams (also called *fishbone diagrams*, or *herringbone diagrams*, *cause-and-effect diagrams*, or *Fishikawa*) are causal diagrams that show the causes of a certain event - proposed by Kaoru Ishikawa.

Common uses of the Ishikawa diagram are product design and quality defect prevention, to identify potential factors causing an overall effect. Each cause or reason for imperfection is a source of variation.

Causes are usually grouped into major categories to identify these sources of variation. The categories typically include:

- **People:** Anyone involved with the process
- **Methods:** How the process is performed and the specific requirements for doing it, such as policies, procedures, rules, regulations and laws
- **Machines:** Any equipment, computers, tools etc. required to accomplish the job
- **Materials:** Raw materials, parts, pens, paper, etc. used to produce the final product
- **Measurements:** Data generated from the process that are used to evaluate its quality
- **Environment:** The conditions, such as location, time, temperature, and culture in which the process operates



**Figure A2.2.** The visual of Ishikawa diagram which resembles as fishbone

## Appendix 3.

### OOPP Workshops

#### Planning Workshops

Ideally the analysis should be undertaken in a workshop situation which includes key stakeholders. However, more often than not, the situational analysis is developed by a consultant or staff member in isolation from other stakeholders. This latter approach should be avoided where possible.

The purpose of an initial planning workshop is to clarify why a change (why a project) is needed and to gain consensus on what shall be done.

Arranging a project-planning workshop is an efficient way of avoiding mistakes in the planning procedure. The advantages of a workshop are:

- That the most important stakeholders are invited and together make their voices heard.
- The possibility for the stakeholders to decide on a joint and structured picture on the situation and what the needs are /the problems are (the cause and effect relations). A process, which creates consensus on the issue.
- Arriving at a joint understanding of the situation makes it possible to focus and avoid conflicts during implementation of the project.
- To obtain local ownership and ensure that responsibilities are assumed by the relevant stakeholders
- The workshop is a time-saving and a cost efficient method of obtaining good insight into the situation, which could replace some studies.

Before commencing the workshop, the above preliminary steps should be completed and the following issues should be considered:

- Who will be involved in the workshop?
- Where will the workshop conducted?
- Who will facilitate the workshop?
- What background materials, papers and expertise may be needed for the workshop?
- What materials and logistics are required?

OOPP workshops may last from 1 day to 2 weeks, with a typical session lasting for 1 week. The workshop should preferably start with an introduction to OOPP approach, about one-two hours.

Participants are selected to represent all interest groups, project technical staff as well as high-level authorities, and community leaders. A basic premise is that the main interest groups must be represented from all levels, particularly top government officials. The number of persons in the planning team and the duration of the OOPP planning analysis depend on the specific terms of reference for the project, and can range from 5 to even 50 participants. However, for practical reasons and to enable everyone to participate actively, no more than 25 persons should attend the workshop. Senior management, i.e. decision makers who motivate staff and must “live” with the results of the potential projects, play a decisive role. Though their appointment schedule may not allow them to participate in the whole OOPP analysis, they should participate and exercise their management functions at least when interim results are formulated or important strategies or directives are set. The OOPP results in no way limit the decision-making competence of authorities involved, but rather embeds their decision in a richer knowledge basis, so that they can better steer the course of the project, and more exactly assess success or failure.

It is customary in some OOPP workshops to sequester the participants in distance locales to enforce unhindered focus on the activities. To mitigate participant dissatisfaction, the locations are invariably selected for their desirable features, and a venue in distant resorts is not uncommon.

An OOPP workshop requires a moderator with a high degree of experience and skill. Even a new professional profile was created – the OOPP workshop facilitator. This workshop should be arranged with the assistance of the moderator/facilitator who is independent of the future project. The moderator is responsible for the planning process during the workshop. He or she does not need to know the field, the sector, *but* should be fully conversant with the planning method, OOPP. It may even be an advantage if the moderator does not know the field, the subject, since he or she will ask for clarifications, which the stakeholders may take for granted. Successful project planning needs clear answers. Hundreds of workshop facilitators were trained in Germany and in partner countries. Even, there are certified moderators in several countries. The donor organization can usually provide the group with lists of names of facilitators.

OOPP workshops use visualization techniques such as small colored cards to express the different work steps and results. An elaborate custom-built suitcase ( as shown in the next page) is provided for the workshop with markers, pins, glue-sticks, varied colored shapes and sizes of paper strips. A smaller ‘refill’ suitcase is available as materials are exhausted in subsequent workshops.



Prior to the workshop, an initial stakeholder analysis has to be made in order to find out *who should be invited* to the workshop. The stakeholders are fully familiar with the situation and hence they do not have to make preparations in advance.

Most of the workshop takes place in the form of a plenary session; however, parts could preferably be arranged as group activities and then later presented and discussed in plenum.

Ensure that the workshop is held in a big conference room, with a large wall surface. Bring pens, lots of notepaper in different colors, scotch tape, an overhead projector/powerpoint projector (for the presentation of the OOPP approach) and a large piece of paper to cover the wall for the problem analysis and objective analysis (shown below).



A draft report on the results of the workshop should be written. Normally this is done by the moderator/facilitator. The report is mainly written for the project group, but is naturally distributed to all the stakeholders who participated in the workshop. The report *is not a complete project plan*, but represents the initial planning document and it will be used for the final part of the planning procedure, the detailed planning by the project group.

In some situations more than one round of analysis may be needed. This is particularly the case where there are large differences of opinion between stakeholders. Such differences can be geographic, social, economic or political. For example, a project may be focused on assisting village communities to manage natural resources while operating simultaneously at district, regional and national levels. Bringing stakeholders together from the national policy level to the resource user level in a single workshop/exercise is unlikely to be feasible or productive. An alternative approach involves using a participatory approach to planning at the village level which feeds into a series of workshops at the higher levels. The outcomes of the participatory planning exercises and workshops can be fed into an overall project workshop at the national level involving key stakeholders national, regional, district and grassroots organization levels.

### **Management Workshops**

During the *management workshop, the “how-workshop”*, the project group identifies the details of the project and draws up the final project plan. The basis of the management workshop is the outcome of the initial OOPP workshop i.e. plan documented in the PPM.

The OOPP steps dealt with in a management workshop are:

- A revised stakeholder analysis
- A revised objective analysis
- A plan of activity
- A plan of resources
- Establishing the indicators for the objectives (verification of what was planned in the PPM)
- A risk analysis including a risk management plan
- Establishing the assumptions (verification of what was outlined in the PPM)

There are advantages in having separate workshops, since different stakeholders have different roles and mandates. Further, time for reflection is needed between the workshops. The project group needs to be formed and the necessary resources need to be discussed and verified.

**CASE STUDY**

## **The Republic of Tuafonu: Situation of the Health Sector in the Capitol City Region**

### **Contents:**

1. General Description of the Republic of Tuafonu
2. Natural Environment and Living Conditions of the Urban People in Alkuni
3. Health Care Systems
4. Health and Nutritional Status of Mothers and Underfive Children
5. Women Role in the Urban Community
6. Community Lifestyle

Worksheet

## **1. General Description of the Republic of Tuafonu**

### **Natural Environment**

The republic of Tuafonu is situated in a tropical continent with a population of about 220 million inhabitants, with unequal distribution between rural and urban area. The year is clearly divide into a dry and a rainy season with no remarkable fluctuations temperature. The country has thousands islands (more and less 18,000 islands) meets the sea along them. Political disputes often occur in some conflicts area in the northern and eastern border. Furthermore, most big islands in Tuafonu are fertile as it was composed of lava from the volcanoes which are mostly still active until now. Natural disasters such volcanic eruptions, earth quacks, floods, and land sliding are common.

The most fertile land is Rabasar Island which has become the important source for rice production - and a broad variety of tropical farms products are produced by other islands. The country capitol city, Alkuni, is located in Rabasar Island.

During working days, population in Alkuni is bigger than in the afternoon/night. The reason is because many commuters live in the outskirt area around the capitol city.

Tuafonu is the fourth most populous country in the world. In the year 2000, 12.8 million people lived in Alkuni that was ranked 13<sup>th</sup> biggest city in the world. The total area of Alkuni is 590 square km, which is only 0.03% of the whole country. In 1992 the population density in Alkuni was 14,600 per square km, while the population density of the whole country was 97 per square km. The population has become more urbanized from 15% living in urban areas in 1961 to 34% in 1994, making Alkuni more urbanized than half of the nation in both the region and the continent. Almost 70% of the total growth in population between 1980 and 1990 occurred in urban areas.

### **Social, Economic and Administrative Conditions**

Decentralized system is newly implemented within the last 5 years. The country's local administrative system consists of provincial, district, sub-district and village level. After decentralization, starting from provincial governors up to the chief of the village, the election was done by their own. It implies that the authority of central government no longer strongly influences the provincial and district offices. The policies formulation and decision of every program including health sector has fully become the authority of provincial and district offices.

As rural area is greater than urban area, the majority of the inhabitants work as farmers (in rural area). Major income of this country comes from non-oil and gas sector. In oil and gas sector, petroleum is the biggest product which is supporting the economy of the country. Like many other countries, ownership and responsibility of this sector is under

the central government. However, some mining activities are still in operation under private (in-country and/or overseas) companies.

### **Health and Nutrition**

In the Republic of Tuafonu, like in many other developing countries, malnutrition is one of public health problem, which becomes the priority in national development plan. One formulations of 'Guidelines of the States Policies' is the improvement of intelligence and productivity. The development of health and nutrition condition is part of development of human resources to attain the target of second long term of development program. The development is to create modern, mentally independent people, as well as physically prosperous people. The aim of development is to improve nutritional status of the community, especially for the low income group, with the main target is under-five children, pregnant and nursing mother, low-income mothers, and people in food shortage areas.

The country is facing both communicable diseases and non communicable diseases. Chronic diseases such diabetes, obesity, stroke and hypertension is getting prevalent especially in urbanized areas. The "old" disease such as TB still exists in this country. Diarrhoeal disease and acute respiratory infection are most common diseases among underfive children that contribute to the cause of child death in this country. HIV/AIDS cases are emerging in some tourism areas and in the eastern region of the country.

In 1998, monetary crisis – then followed by economic crisis – stroke some countries including the Republic of Tuafonu. The crisis influences the purchasing power of the community, so it affects nutrition status of most underfive children. The urbanization has also become greater. It implies that urban health and nutrition program is on the call.

Based on the Republic of Tuafonu Health Profile 1996, both Infant (IMR) and Maternal Mortality Rate (MMR) were still high and had close relation with health and nutrition performance in the community. During the last 8 years, the IMR has decreased from 71 per 1000 Life Births (LB) at 1986 to 390 per 100,000 LB at 1994.

Malnutrition is the underlying cause of 60% of all under-five years' deaths. The main nutritional problems in the Republic of Tuafonu are under nutrition, iron deficiency anemia (IDA), iodine deficiency disorder (IDD) and vitamin A deficiency (VAD). The impacts from this bad situation lead to poor physical and cognitive development, lowered resistance to illness and even death. However, emerging phenomenon on over nutrition is getting more and more prevalent among school children and adolescent especially in urban areas. This is suspected due to demographic transition, better economic condition and food habits changes especially among urban community.



The Ministry of Health policies formulation for nutrition program is based on the following considerations:

1. Self sufficient for having a good nutrition
2. Epidemiology, demography, geography, socio-economic and culture factors
3. Intersectoral approach
4. Community participation
5. Decentralized to district level
6. Priority to vulnerable groups
7. Increasing Human productivity
8. Food and nutrition surveillance system
9. Research and development

The national prevalence of iron deficiency anemia among pregnant women is 63.5% and children under-five is 55.5%. The major causes of nutritional anemia are low food intake of heme iron (all animal protein) and non heme iron (green leafy vegetables) and helminthiasis infection and others. The impact of anemia among mothers is low immunity, high risk of post-partum bleeding, abortion and low birth weight (LBW) baby. The impact of anemia among under-five children is low immunity, growth disorder and lower cognitive performance.

The national prevalence of Total Goitre Rate (TGR) in endemic area is 47.7%. High risk group are pregnant women and under-five children. The iodine deficiency disorder (IDD) among pregnant women may cause abortion, mental retardation and low IQ among children. The IDD among children may cause mental and psychomotor disorder.

The national prevalence of xerophthalmia (X1B) among under-five children in the Republic of Tuafonu was 0.45% - lower than the WHO cut off for community health problem (0.5%). However, there are still many cases of sub-clinical vitamin A deficiencies (low serum retinol in the blood). The impact of sub clinical vitamin A deficiency on children is low immunity or easier exposed to infections.

Based on the National Socio-Economic Census, the average of energy intake per capita per day was 1985 kcal (90.26%) and protein 54.4 gram (108.84%). It was also reported that vegetable and fruit intake were very low.

## **2. Natural Environment and Living Conditions of the Urban People in Alkuni**

Regional government income in the country capitol city - Alkuni - can afford to compensate local government budget. However, the income per capita is not equally distributed among the population. It was also reported that some people receive income lower than the regional minimum wage. This has affected the increase number

of people living under the poverty line to 18.5%. The biggest source of income comes from taxes. Majority of the community works as labor, followed by civil servant, private employee and entrepreneur.

Integrated health post as the center/place for growth monitoring of under-five children are poorly utilized. Other government formal health facilities such as health centers at subdistrict and village level are also not optimally utilized by the surrounding community. Many prefer to visit private doctors and private midwives for treatment service. Prevention of disease is lacking as most community health seeking behavior is induced when symptoms of a disease has been experienced for several days.

The following covers information on specification of each district in Alkuni namely North Alkuni, Central Alkuni and South Alkuni.

### **North Alkuni District**

North Alkuni sites in low land area as a part of main industrial zone (Makun) and make it as important role in supporting the economic of Alkuni. The total area is 659.75 hectares and half of it is becoming the industrial zone (398 hectares). The population is 47,065 (15,591 households) and its density is 7,758 per square kilometres. The average of the household member is three and population growth is 12.65%. The number of the children under-five is 11, 89%.

The main occupations among people are labor (30.7%), traders (27.2%), craftsmen (16.4%), private workers (14.4%) and others (government officers, militaries and others). Around 80% of women are working women. The educational levels in this area are graduated primary school 58.5%, graduated junior high school is 20.4%, graduated senior high school is 18.4% and graduated academy or collage is 2.7%. The housing condition of this area is mostly semi-permanent (60.5%).

Below are information about the detail facilities mostly found in North Alkuni district:

- The education facilities are kindergartens (8), elementary schools (20), junior, senior high schools (4) and universities (2)
- The health facilities are health centres (1), maternity hospitals (2), pharmacy (2), clinics (1), private practice (15), traditional birth attendance (20), integrated health post/integrated health post (22).
- The economic facilities are main market (3), furniture street markets (2), furniture shops (5), street vendor, big/medium/small industries (155).
- The transportation facilities are bus (22), truck, minibus/cars/jeeps (70), motorcycle (700), *bajaj/bemo* (20).
- The religion facilities are mosques (70), mushalla (45) and church (15).
- The sport facilities are soccer (2), badminton (8), tennis (2), table tennis (18) and volley ball (10).
- The sanitation facilities are garbage truck/caravans/permanent containers (275).

The community participation in the socio-economic development among people of this area has been through activities such as furniture cooperative, primer cooperative, women social group, health cadres, integrated health post cadres. Turn over of health post cadres is high. This area has implemented bottom up planning through community dialogue forum twice per year but community participation is still lacking.

Women also play an important role in the society e.g. managerial level in many companies, faculty member of the universities etc. Many of these women are at their reproductive age. This has consequence on high proportion of professional care giver used for child caring.

The community in this region is more individualist. Therefore community participation in many activity based community is low. Since the health post attendance is low, the coverage of vitamin A capsules for children under the age of five is also low. Immunization and growth monitoring was mainly done in private doctors, clinics or hospitals.

### **Central Alkuni District**

Central Alkuni is also part of Makun industrial zone. However, only 20% of this area is used for industrial zone. The rest is used for housing zone for most of the labors who work in industries.

The population is 42,628 (11,463 households) and its density is 9,505 per square kilometers. The average of the household member is 3.7 and the number of the children underfive is 21.3%.

The main occupations among people of this region are: labors, private workers, craftsmen, civil servant and others. The housing condition of this region is mostly non permanent (47.6%).

Below are information about the detail facilities in Central Alkuni district:

- The education facilities are kindergartens (12), elementary schools (24), junior high school (4), and senior high schools (3).
- The health facilities are health centres (2), mother-child health centre (2), pharmacy (1), clinic (1), practice medical doctors (20), midwives (6), integrated health post (24).
- The economic facilities are main market (2), traditional shop or vendor (655), shop (354), street vendors (71), small industries (825), primer cooperative (1), small supermarket (2) and small industry village (1).
- The transportation facilities are bus (25), truck (11), minibus (511), cars (2,357), motor cycles (3,571), tricycles (4).
- The religion facilities are main mosques (170 and mushalla (55) and religious congregation (36).

- The sport facilities are soccer (1), badminton (14), lawn tennis (1), table tennis (28) and volley ball (14).
- The sanitation facilities are garbage truck (2), garbage caravans (58), garbage permanent containers (5), private latrine (3,718), well pump (1,215), public latrine (4).

There are more inhabitants during night time compared to day time. Proportion of male versus female workers is about equal. This area has implemented bottom up planning through community dialogue forum. Integrated Health Post is used only for weighing the underfive children. Health post cadres are those who have been serving for more than five years, very slow regeneration as the younger people often refuse to be serving as cadres.

### **South Alkuni District**

South Alkuni is considered as peri-urban area. The area is 260.10 hectares with 51,110 inhabitants (11,585 households) and its density is 15,550 per square kilometres.

The main occupations are: civil servant, private employee (50%), traders (35%) and farmers.

Below are information about the detail facilities in South Alkuni district:

- The education facilities are kinder gardens (15), elementary school (25), junior high school (20), and senior high school (15).
- The health facilities are health center (1), hospitals (2), pharmacy (1), clinics (2), MCH clinics (2), integrated health post (18), traditional birth attendance.
- The economic facilities are traditional markets (3), small store or kiosk (1960), shops (738), mini markets (3), supermarkets (2).
- The transportation facilities are bus (10), minibus (200), tricycles (35), and motorcycles (3000).
- The religion facilities are mosques (19) and church (7).
- The communication facilities consist of private phone (6,306), public phone (960), and the post office (1).
- Meeting places (50).

In this region, many women have played an important role in the society but in other parts many women are still placed for only domestic function and do not have power to make decision.

Community participation in many activities is quite high. They have regular meeting to discuss any issues happened in the region. The coverage of vitamin A capsules for children under the age of five and immunization is high. The health staffs regularly visit the Integrated Health Post for immunization and curative activities. Health and nutrition

extension is very rare. Some still go to the traditional birth attendants for delivery and postpartum assistance.

### **3. Health Care Systems**

The health care system for people in urban area consists of the following services:

#### ***Internal Health Services:***

Drugs stores play important roles, many of the communities treat themselves by buying over-the-counter (OTC) drug or traditional medicine (53.3%). Meanwhile, the rest have been reported to go to midwife, nurse, private physician, and hospital. Traditional herb medicine has effectively been used for skin diseases, but it has been utilized less frequently in recent years.

Mostly, babies are born at midwife clinics, with assistance by female family members.

#### ***External Health Services:***

There are existing government operated health service system, such as integrated post health, community health centre, and state hospital.

#### ***Health Volunteers:***

The Ministry of Health invites applications for health volunteers among cadres in their area and gives them training in identifying simple disease. They are expected to lead health activities in their area. The reality is, however, that in most cases they assist health workers from sub district health centres or serve as communication channels between government health service personnel and community. They are not paid by MoH.

#### ***Community Health Workers:***

Community Health worker are part time local staff under MoH control. They receive training in health and medical treatments at MoH and give guidance and assistance to the health volunteers. They are paid little and their activities are limited under the inadequate supporting system.

### **4. Health and Nutritional Status of Mothers and Underfive Children**

Alkuni as a capital city of the Republic of Tuafonu has a better community health condition than that of other provinces; such as IMR is 50 per 1000 LB and children under five mortality rate is 67 per 1000 LB (data from Central Bureau of Statistics, 1995).

Based on Household Health Survey in 1992, the big three of diseases among children under-five year which cause of death are diarrhoeal diseases (35%), respiratory infection

(25%), diphtheria-pertussis-measles (17%). Coverage of vitamin A capsules distribution for children under the age of five is 42.7%. Exclusive breastfeeding rate until 6 months of age is pretty low (2%). Breastfeeding rate among children below 1 year is 60%. Around 45% of lactating mothers had BMI below 18.5.

Table 1. Health status among children under-five (%)

Indicator	North Alkuni	Central Alkuni	South Alkuni	Total
Night blindness	7.4	7.2	8.2	7.6
Sub-clinical VAD	45.0	55.7	58.3	53.0
Iron Deficiency Anemia	54.2	52.0	52.4	55.5
Total Goiter Rate*	17.1	19.0	20.3	18.8

\*Assessment among school age children

The prevalence of low birth weight (LBW) is 7.7% and it is lower than national prevalence (15%).

The prevalence of under-nutrition (WAZ) among children under five year in Alkuni is 30.8% or better than national average prevalence (42.7%).

Table 2. Nutritional status among children under-five according to Z-scores (%)

Z-Score	North Alkuni	Central Alkuni	South Alkuni	Total
HAZ				
<-2 SD	8.0	17.9	14.6	13.1
≥-2 SD	92.0	82.1	85.4	86.9
WHZ				
<-2 SD	4.9	28.0	23.1	18.5
≥-2 SD	95.1	74.0	76.9	81.5
WAZ				
<-2 SD	10.2	38.9	29.3	26.1
≥-2 SD	89.8	61.1	70.7	73.9

The coverage of several nutritional and health program for mothers such as antenatal care is 37.1%, vitamin A capsule distribution for mother after delivery is 12.8% and 58.5% for iron tablets among pregnant women.

Prevalence of under-nutrition among mothers according to Mid-upper arm circumference (MUAC < 23.5) is 26.4% - better than national prevalence (30%).

According to Body mass index (BMI), 13.5% of mothers were overweight and 15.0% were obese - higher than national level (14.7% for obesity).

In the other hand the prevalence of over nutrition has been increasing, such as in 1996 for female adult (18-40 years) overweight is 10.0% and obesity is 9.8%.

## **5. Women's Roles in the Urban Community**

In general, in Alkuni city women have been playing an important role in the society. The number of women in the parliament has increased from years before. The teaching staff in the medical faculty of the university is majority consisting of women. However, in many parts of the country, gender inequality and patrilineal pattern still strongly influence the community lifestyle. In this situation there are very few activities in which women can make decisions on their own, which show that women status is still very low. Women are in charge of household jobs such as:

- Preparation of household activities (women get up around 04.00 in the morning and begin cleaning the house)
- Taking care of household needs
- Childbirth and childcare
- Being in charge for other household affairs

Some family still live together with their parents (biological or in-law). The importance of taking care their old parents is still highly valued. Biological mother and mother in-law to some extent influence the type and quality of child caring.

## **6. Community Lifestyle**

In Alkuni snacking habit especially among school children is high. For practical reason, mothers prefer to give money for buying snack to substitute children's breakfast and/or lunch rather than cooking food by themselves at home. Many street food vendors sell foods with illegal food additives e.g. Rhodamin B, borax, etc.

In some households with low income, the quality of food is mainly caloric-dense. Interestingly in higher income households, children aged older than 3 years receive lesser attention in getting nutritionally adequate meals. These children were considered to be more independent and hard to take care.

Consumptive attitudes and practices are common among most women in Alkuni. Such practices include shopping unnecessary goods (jewellery, clothes, and accessories), consuming wide range of junk foods, etc. This happened due to many of hypermarkets or trade centres increasingly developed in the latest 5 years.

Food taboo is still practiced by some mothers during pregnancy and lactation such as not consuming four-legged animals, fruits that are orange in color and else. For those who have higher education level or more access to the information, food taboo is less practiced. Especially in South Alkuni region where living in extended family is a common practice, parents/in-law still strongly influence the mothers' choices and decisions.

Among mothers who are full-time house-wives, enjoying some TV dramas together with neighbour is a common scenery. Influence of peer is pretty strong among this group. In average, around 70% of the community is exposed to TV; 40% to newspaper; 20% to radio. However, information on health and nutrition is mostly received from community health workers, general practitioners and midwives.



## **The Republic of Tuafonu: Situation of the Health Sector in the Urban Area in Capitol City**

### **W O R K S H E E T**

For the further continuation of the planning process the situation is defined as follows:

You are a member of a planning team whose task it is to work out planning documents for a development project aimed to improve the health and nutrition sector in the capitol city region. The planning documents should serve as a basis for the further decision making process about the financing and implementation of the project to be defined. The planning team has been invited by the Ministry of Health of Tuafonu, which closely cooperates with all international donor agencies active in the health sector.

You are asked to work out planning documents using the so called OOPP method. Tentative project duration is about 3 years, the overall budget of the project should not exceed 5 million USD.

The expected planning documents include:

- 1.** Participation analysis
- 2.** Problem Tree
- 3.** Objectives Tree
- 4.** Analysis of Alternatives
- 5.** Project Planning Matrix for the Overall Project Duration



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ISBN 978-602-19494-1-2



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