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PREFACE

CIAT is increasingly moving to a project orientation in order to make its research and capacity building activities more effective, efficient and accountable.

This Guide for project identification, design, approval and administration provides the staff of CIAT and its partner institutions with an overview of the conceptual approach and the procedures to be followed for designing and implementing a project.

The guide was initially prepared and presented to CIAT's Management Committee. The document was approved in principle and a small working group from the Management Committee was appointed to oversee final revisions. A CIAT Task Force on Project Prioritization also made valuable contributions.

Table of Contents

Why Projects

1

How to Design Projects

2

**How to Prepare Project Profiles,
Concept Notes and Proposals**

3

**How to Prepare Contracts, Progress and
Evaluation Reports for Donors**

4

CIAT Internal Policies

5

	<i>Page</i>
<i>Notes</i>	iv
<i>Definitions</i>	v
<i>List of Figures</i>	vii
<i>List of Appendices</i>	viii
<i>Acronyms</i>	ix
1 0 Why Projects	
1 1 Objectives	1
1 2 Background	1
1 2 1 Core Versus Complementary Funding	1
1 2 2 Donor Trends	1
1 3 PROJECTS The Hub of Activity	2
2 0 How to Design Projects	
2 1 Objective	1
2 2 Background	1
2 3 Project Design	1
3 0 How to Prepare Internal Project Profiles, Concept Notes to Donors and Full Proposals	
3 1 Objectives	1
3 2 Background	1
3 3 Internal Project Profiles	2
3 4 Concept Notes to Donors	2
3 5 Proposal Format	2
3 6 Organizational Structure for Project Management as Outlined in Proposals	8
3 7 Budget Formulation for Proposals	17
3 8 Writing Style for Proposals	20

4 0	How to Prepare Contracts, Progress and Evaluation Reports for Donors	
4 1	Objectives	1
4 2	Background	1
4 3	Contracting	1
4 4	Progress Reporting and Project Monitoring	3
4 5	Evaluation	6
4 6	End-of-Project Reporting	6
5 0	CIAT Internal Policies	
5 1	Objectives	1
5 2	Background	1
5 2 1	Internal Project Profile	1
5 2 2	Technical and Management Review and Prioritizing of Project Ideas	1
5 3	Roles and Responsibilities	1
5 3 1	Roles and Responsibilities of the Project Development and Project Support Offices in Project Design and Administration	3
5 4	Overview of the Project Identification, Prioritizing and Implementation Process	4
5 5	Approval Responsibilities for Project Ideas, Profiles and Proposals	4
5 6	Responsibilities for Proposal Preparation	7
5 7	CIAT Guidelines for Costing Project Budgets	9
5 7 1	Indirect Costs	9
5 7 2	Personnel Costs	9
5 7 3	Hotel Accommodation for Conferences	10
5 7 4	Simultaneous Translation Costs for Conferences	10
5 7 5	Daily Rental Rate for Conferences Rooms	10
5 7 6	Vehicles Lease	10
5 7 7	Provision for Publications/Documentation	11
5 7 8	Photocopies	11
5 7 9	Miami Office Purchases	11
5 7 10	Telecommunications/Fax Charges	11
5 7 11	Airfares (1995)	11
5 7 12	Inflation	12
5 8	Technical And Management Review of Draft Proposals	13
5 9	CIAT Organization	13
5 10	Relationship between Core and Complementary Funded Projects	13

List of Figures

<i>Figure</i>		<i>Section</i>	<i>Page</i>
1	Logical Framework Matrix for Project Design	2	2
2	Example of a Work Breakdown Structure	2	4
3	CIAT Internal Project Profile for Management Approval of New Ideas	3	3-5
4	CIAT Concept Note/Pre-proposal for Donors	3	6-7
5	CIAT Proposal Checklist	3	9 10
6	Sample Project Organization Chart	3	11
7	Sample Project Implementation Schedule	3	12
8	Sample Project Experience Sheet	3	13
9	Sample CIAT CV	3	14-16
10	Sample Project Budget Format By Standard Object of Expenditure	3	18
11	Sample Project Budget Format by Both Activity and Standard Object of Expenditure	3	19
12	Sample Outline for a Project Contract	4	2
13	Sample List of Contents for a Project Technical and Financial Progress Report	4	4
14	Examples of Issues and Questions in Project Evaluations	4	7
15	Sample of an Evaluation Report Outline	4	8
16	Sample Format for an End-of-Project Report	4	9
17	CIAT Technical and Management Review of Project Ideas/Project Profiles	5	2
18	Overview of Activities in Special Project Identification Approval and Implementation	5	5
19	CIAT Responsibility for Special Project Ideas and Proposals	5	6
20	CIAT Technical and Management Review of Full Proposals	5	8
21	CIAT Organization Chart	5	14
22	The Project-based Organization of CIAT Today	5	15



Notes

- Note 1** The guide described herein refers to CIAT's policies and procedures for project development and administration
- Note 2** This guide refers to policies and procedures for both projects that are funded as special projects and those that are funded from core
- Note 3** This guide is initially presented in English only. A bilingual (English/Spanish) version will be released in due course



Definitions

Critical Assumptions

Factors or conditions outside the control of the project team but which can influence the attainment of the project objectives

Effectiveness

The extent to which the project produced its expected outputs and thereby achieved its purpose and contributed to its goal

Efficiency

The extent to which project inputs were supplied and managed and activities organized in the most appropriate manner at the least cost to produce the necessary outputs

Evaluation

The process of objective and independent assessment of the rationale, effectiveness and impacts of the project activities including the efficiency of the means used to produce results

Goal

The higher level objective above the project purpose The goal represents the broad program or sector objective to which this project and other projects are expected to contribute

Impact

The long term planned and unplanned consequences of the project related to its goal

Indicators

Ways of measuring the presence or absence of change They should be targeted in terms of quantity, quality, time and location and should demonstrate the achievement of the project objectives

Inputs

The resources used and the activities undertaken in the project

Logical Framework Matrix

A one or two page overview of the project design which provides a hierarchy of project objectives, the indicators for signalling successful achievement of the objectives, the means of verification, and the critical assumptions beyond the control of the project team

Monitoring

The review and reporting on the implementation, results, schedule and costs of a project during execution

Outputs

The things or results for which the project management are committed to produce and for which they will be held accountable

Project

An undertaking that has a beginning and an end and is carried out to meet an established goal within cost, schedule and quality guidelines

A specific set of activities or task that receive a fixed amount of money in a determined period of time to meet the proposed objective

Purpose

The reason for producing the project outputs. The purpose is the higher level objective for investing to produce the outputs. It assumes that the outputs produced by the project will be utilized. For example, if the outputs are food products, then the purpose might be improvement in the nutritional status of a target population

Rationale

The technical and developmental arguments underlying the choice of topic for a project and its objectives. In the case of a project evaluation, rationale refers to the extent to which the project is expected to contribute to the achievement of the donor's and national partners' development priorities

Work Breakdown Structure

A systematic process of linking the program or sector goal, project purpose, the project outputs and the activities to produce these outputs. A graphical description of this breakdown

Acronyms

AD-IR	Associate Director, Institutional Relations
AD-RMR	Associate Director, Resource Management Research
CGIAR	Consultative Group on International Agricultural Research
DC	Directors' Committee
DDG	Deputy Director General
DG	Director General
IARCs	International Agricultural Research Centers
LFA	Logical Framework Analysis
ODA	Official Development Assistance
PL	Program Leader
PO	Project Officer
PDO	Project Development Office
POC	Program and Operations Committee
PSO	Project Support Office
SRC	Scientific Resources Committee
SRGL	Scientific Resources Group Leader
UH	Unit Head
WBS	Work Breakdown Structure

Why Projects?

The CIAT Project Context

1 1 Objectives

- To increase the relevance, impact, effectiveness and efficiency of CIAT's research and training
- To provide increased accountability and visibility for donor funds by developing impact oriented projects that integrate developmental relevance to donor priorities with CIAT's strategic research interests and NARS' priorities
- To provide a mechanism that enables a resource mobilization strategy to be integrated with the research strategy of CIAT's Strategic Plan

1 2 Background

1 2 1 Core Versus Complementary Funding

CIAT receives donor funding in three different ways, each of which is or potentially can be project based

- Unrestricted core (untied donor contributions to implement the approved mid-term plan)
- Restricted core (donor contributions to implement a specific part of the approved mid-term plan)
- Complementary (donor contributions for specific projects that are related to, but usually not included in the mid-term plan)

1 2 2 Donor Trends

- Traditional CGIAR donors are facing constant or decreasing ODA budgets at home and pressure to shift resources to initiate new programs (e g , for Eastern Europe and the republics of the former Soviet Union)
- The number of IARCs has increased from 13 to 16 resulting in increased competition among the centers for donor CG core funding

- There is increasing competition among centers for special project funding (usually the donor's geographic desks or environmental programs) with the traditional donors because most centers have not diversified their donor base
- Most centers have not actively approached non-traditional donors such as the private sector

1.3 Projects The Hub of Activity

Donors are increasingly interested in funding well-designed projects that generate tangible outputs with measurable impact in finite periods of time. In turn, by structuring its research along project lines, CIAT can maintain a highly flexible and dynamic research program that can respond to the expectations and priorities expressed by the CGIAR, CIAT's national and regional clients, and donors and potential investors in CIAT.

By organizing research along project lines, CIAT introduced a total budget approach to funding these projects. Budgets for core and complementary projects are integrated, thus enabling staff and management to better ascertain the real cost of any activity, report expenditures for auditing, avoid inefficiencies in resource utilization and identify constraints on outputs, and assess project performance.

The move towards projectization will result in

- decentralization of operational decisions and accountability
- entrepreneurship for funding projects
- zero based budgeting based on a knowledge of real costs and total costs

How to Design Projects

2 1 Objective

- To outline a design framework for research and development projects

2 2 Background

- Most bilateral and multilateral donors utilize a project design approach based on some version of a logical framework analysis and a work breakdown structure of project activities. The combined LFA/WBS framework facilitates not only project design but also progress reporting and evaluation.
- The logical framework analysis approach to project design is a planning process which specifies the program or sector goal, the specific project purpose, the outputs, inputs, the objectively verifiable indicators for measuring the attainment of the goal, purpose, outputs and inputs, the means of verification of these indicators, and the critical assumptions over which the project team has no control but may influence the project. The logical framework matrix is a one or two page overview of the project which summarizes this design information. Activities are not listed in the LFA since they are provided in the work breakdown structure.
- The work breakdown structure is a systematic process of breaking down a project into hierarchical levels of work, gradually reducing the scope and complexity of the work packages or activities until the desired level is reached. It can be summarized in a one page graphical presentation of the project which links the goal, purpose and outputs defined in the LFA to specific project activities.

2 3 Project Design

- Program staff designing projects should first prepare a **logical framework analysis** as shown in Figure 1.

The **goal** refers to the broad program or sector goal to which the project is expected to contribute. It represents a development objective.

Figure 1

Logical Framework Matrix for Project Design

Narrative Summary	Objectively verifiable indicators	Means of verification	Critical Assumptions Beyond the Control of the Project Team
<p>Program goal</p> <p>The reason for the project the desired end toward which the efforts are directed (program or sector goal) and for which the project is a logical precondition</p>	<p>Measures of goal achievement</p> <p>Conditions which will indicate that the goal has been achieved</p>	<p>The way that the indicators can be objectively verified</p> <p>(e.g. Government Statistics)</p>	<p>Assumptions for Achieving Goal</p>
<p>Project Purpose</p> <p>The anticipated benefit to be achieved if the project is completed successfully and on time and the outputs provided by the project are actually utilized by the intended beneficiaries</p>	<p>Conditions that will indicate that the purpose has been achieved <u>End of project status</u></p> <p>The objectively verifiable condition which is expected to exist if the project achieves its purpose. The signs which will indicate that the project is a success</p>	<p>The way that the indicators can be objectively verified</p> <p>(e.g. End-of-project and Evaluation Reports)</p>	<p>Assumptions for Achieving Purpose</p>
<p>Outputs</p> <p>The specific kind of results that are expected from good management of the project inputs</p>	<p>Magnitude of Outputs</p> <p>The parameter and magnitude of the results and the projected completion dates</p>	<p>The way that the indicators can be objectively verified</p> <p>(e.g. Progress Reports)</p>	<p>Assumptions for Achieving Outputs</p>
<p>Inputs</p> <p>Resources for activities necessary to produce the outputs</p> <p>Personnel Equipment</p>	<p>Types of Resources</p> <p>(e.g. FTE years of senior scientists time by discipline)</p>	<p>The way that the indicators can be objectively verified</p> <p>(e.g. Progress Reports)</p>	<p>Assumptions for Providing Inputs</p>

Sample
Forages for Smallholders Project
Logical Framework Matrix

Narrative Summary	Objectively Verifiable Indicators	Means of Verification	Important Assumptions
<p>Goal</p> <p>To increase agricultural productivity and soil sustainability on smallholder farms in Southeast Asia</p>	<p>Increased animal production</p> <p>Improved forestry and agroforestry systems</p> <p>Improved crop productivity in ley/fallow systems</p> <p>Reduced erosion in uplands</p> <p>Increased farm disposable income</p>	<p>Government statistics & RRA</p> <p>Government statistics & RRA</p> <p>Government statistics & RRA</p> <p>Less rapid runoff & RRA</p> <p>RRA</p>	<p>That improved forage technology will be simple cost effective and adopted by smallholders</p> <p>Effective information transfer to smallholders by national extension services is achieved</p>
<p>Purpose</p> <p>To increase the availability of adapted forages and the capacity to deliver them to different farming systems in particular agroforestry and other upland systems</p>	<p>New forages introduced to project areas and adopted by farmers</p> <p>New awareness of forages by smallholders</p> <p>Committed and well trained local staff</p>	<p>Inspection of test sites and RRA</p> <p>Adoption as assessed by RRA</p> <p>Reports from Project and RG s</p>	<p>Satisfactory cooperation with RG's and related projects</p>
<p>Outputs</p> <p>Forages available for different ecoregions and farming systems</p> <p>Forages integrated into smallholder farming systems</p> <p>Local staff trained in forage agronomy and technology transfer</p> <p>Information system on forage R&D</p> <p>Efficient project management</p>	<p>Superior forages identified</p> <p>New agroforestry and forage-crop systems adopted by farmers</p> <p>Nos of local staff trained</p> <p>Effective communication within project region</p> <p>Outputs and activities achieved on schedule</p>	<p>Book of recommendations published and distributed</p> <p>Rapid Rural Appraisal</p> <p>Reports from RG supervisors</p> <p>Newsletters and regional meetings held</p> <p>Six-monthly and Annual Reports</p>	<p>Superior varieties can be sourced in forage genetic resource centers</p> <p>Socioeconomic risk factors that prevent change</p> <p>RG assigns staff</p> <p>Cooperation of RG agencies</p> <p>Adequate funding</p>

The **purpose** refers to the anticipated effect which is expected as a result of producing the project outputs. It is the immediate objective which describes the intended impact of the project on the direct beneficiaries, but is beyond the direct control of the project team since it relies on how the beneficiaries will make use of the project outputs. There should only be one immediate project objective or purpose.

The **outputs** are the specific kinds of results that can be expected from the good management of the project inputs and activities. The project team should be held accountable for the production of the outputs.

The **inputs** are the resources (funds, personnel and goods) that are needed for the production of the outputs.

The **indicators** are parameters, preferably those that can be quantified, which verify the achievement of the goal, purpose and outputs. The indicators should define attainment in terms of target group (for whom), type of output (what), quantity (how much), quality (how good), time (by when) and location (where). The indicators provide a basis for monitoring and evaluation.

The **means of verification** should specify both the instrument for measuring the indicator and the sources of information necessary to use the indicators (e.g., questionnaires and structured interviews; the results of which are found in Ministry statistical reports, project technical and financial progress reports).

The **critical assumptions** are the events or conditions over which the project team have little control but which must be assumed to exist if the inputs are to be applied, the outputs delivered, and the objectives achieved. These external factors determine the risks of the project. They clarify and set the limits of responsibility for the project management. Unsuccessful projects may be due to

- unreasonable assumptions being made during the design phase
- reasonable assumptions not holding up
- poor management of the inputs

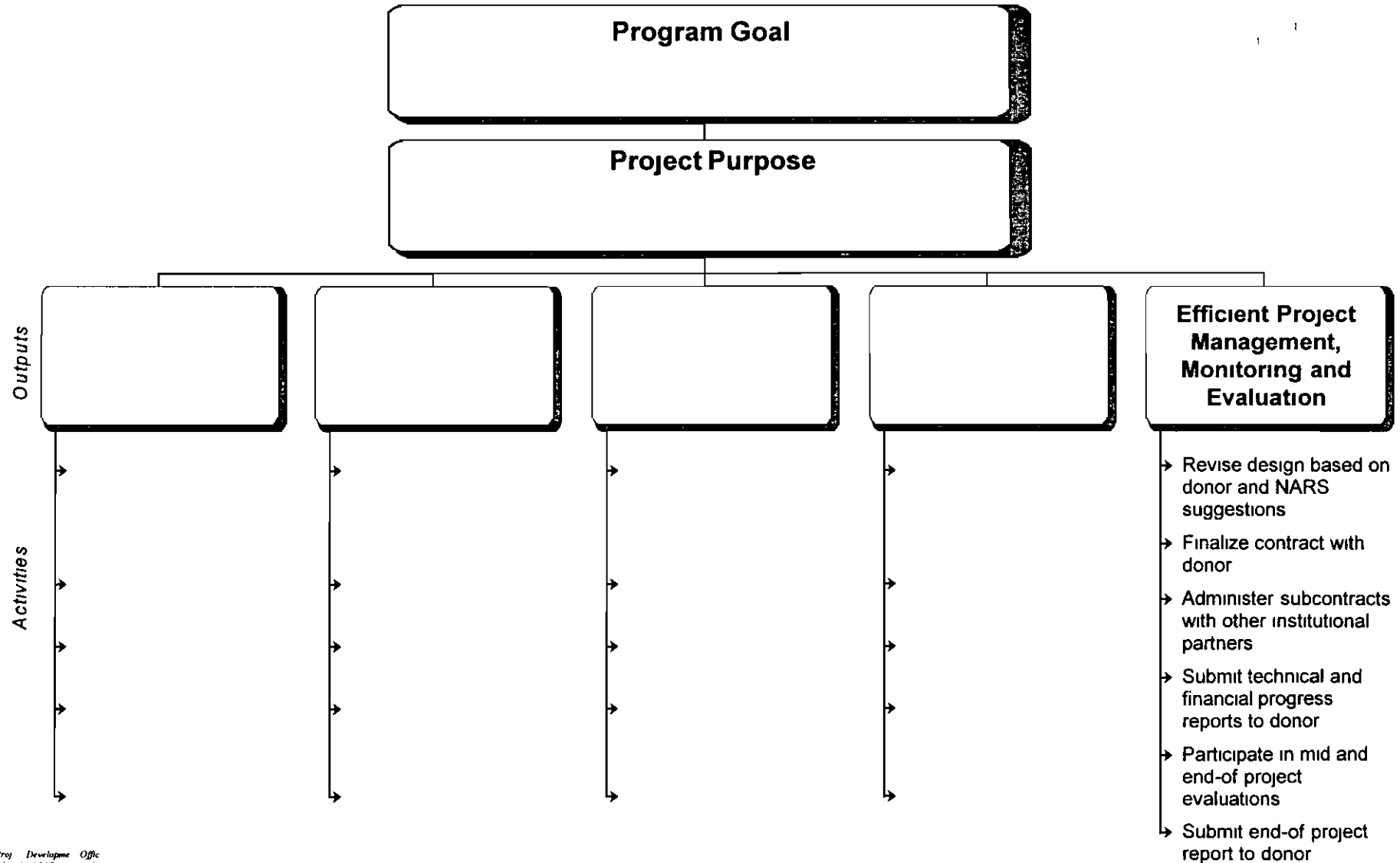
The identification and clear expression of the **assumptions** are therefore extremely important in the evaluation process.

- After completing the logical framework analysis, the program staff responsible for designing the project should next prepare a work breakdown structure (WBS). A sample format is shown in Figure 2.



Figure 2

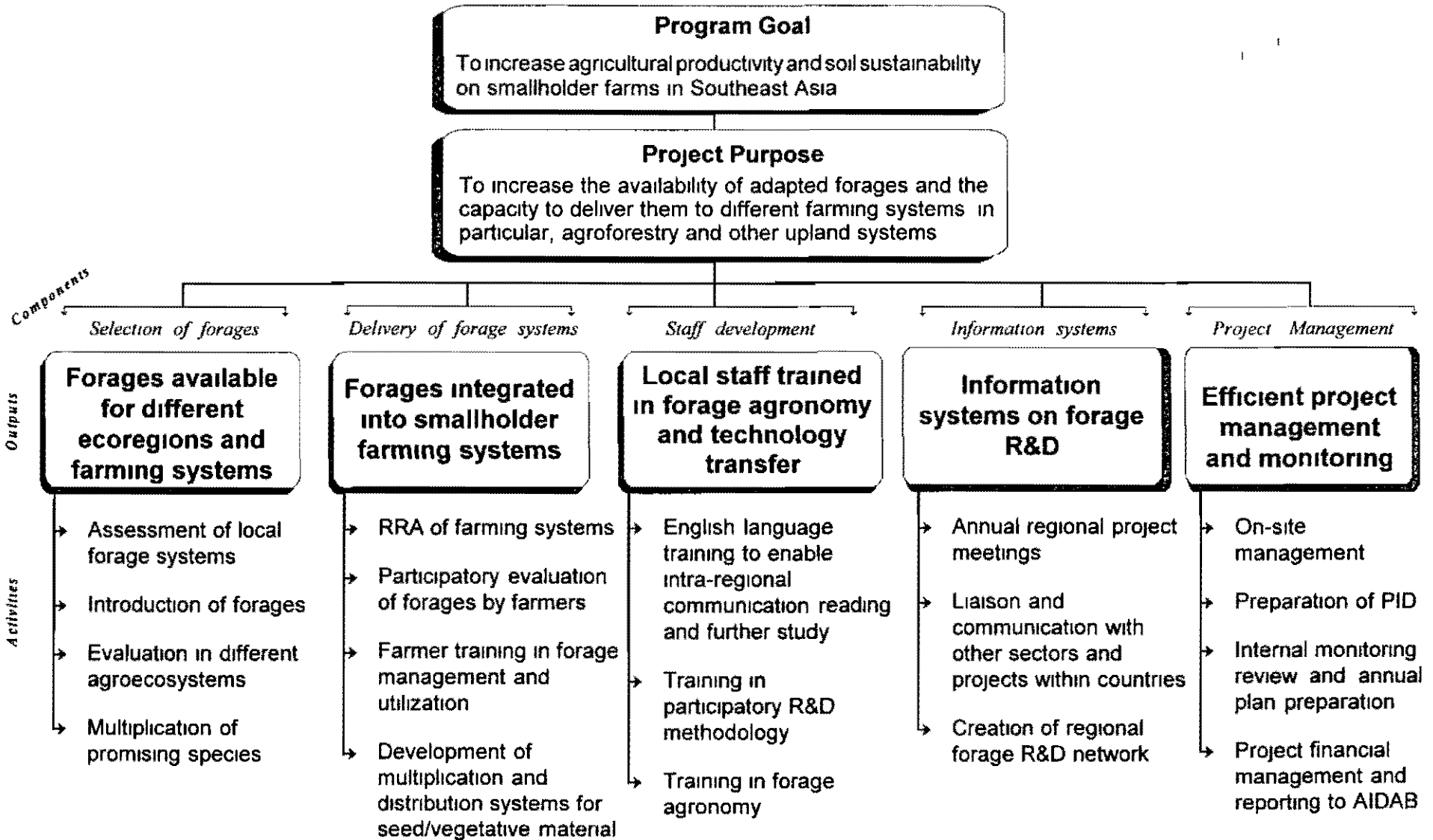
Example of a Work Breakdown Structure Linking Project Activities to Project Outputs



Sample

Forages for Smallholders Project

Work Breakdown Structure Linking Project Activities to Project Outputs and Components



The outputs section of the LFA provides the link to the WBS. The WBS is a graphical presentation or block diagram which groups the project activities around the specific project outputs.

The broad level of activities identified then serves as the basis for monitoring the project implementation, preparing both the technical and financial progress reports to the donor, and providing the framework for mid-term and/or end-of-project evaluations.



CIAT

International Center for Tropical Agriculture
Centro Internacional de Agricultura Tropical

Date April 1995

A CIAT GUIDE FOR PROJECT IDENTIFICATION, DESIGN, APPROVAL AND ADMINISTRATION

Page 1 of 20

How to Prepare Internal Project Profiles, Concept Notes to Donors, and Full Proposals

3.1 Objectives

- To provide an overview of the internal review and submission process for project proposals requesting special project funding
- To provide guidelines to program staff for the preparation of detailed proposals

3.2 Background

Some donors rely on a peer review to evaluate proposals based on the following criteria

- scientific merit/quality
- relevance to international development
- innovation
- potential to enhance the capacity of developing countries to conduct innovative research

Other donors establish an in-house evaluation team to evaluate large bilateral proposals. The team normally consists of one or two sector specialists who focus on the technical merit of the proposal, a country desk officer who is usually a generalist interested in the developmental relevance of the project, and a management specialist who focuses on the organizational and financial aspects of the proposal.

The evaluation team may use a point system or grid to evaluate the proposals based on

- relevant institutional experience
- qualifications and relevant experience of the project team
- technical merit/methodology
- costs

Donors receive considerably more proposals than they can fund. Consequently, proposals must be of exceptional quality in order to compete successfully. This means proposals should have

- **technical quality** in terms of the definition of the problem, its developmental relevance and rationale and the proposed solution or methodology to solve the problem

- ♦ **comprehensiveness** in terms of addressing the major areas donors expect to see in any proposal (e.g., justification and anticipated impact on target beneficiaries, gender implications, relevant institutional and project team qualifications and experience, project management organization, roles and responsibilities methodology outputs and activities, implementation schedule, budget, reporting and evaluation plan)
- ♦ **clarity and conciseness** in how the proposal is written (it should be understandable by both generalists and specialists)
- ♦ **visual impact** of page layout and graphics presentation so as to make it easy for the reader to follow

3.3 Internal Project Profiles

Prior to preparing a detailed proposal, program staff should first prepare a 3 or 4 page *internal project profile* including a Work Breakdown Structure. A sample format is shown in Figure 3. This will be reviewed by the Program Leader and the Directors to ensure consistency with the CIAT and CG mission and to set priorities for funding raising, if it is a special project.

3.4 Concept Notes to Donors

The project concept note should be sent to the donor agency to ascertain interest-in-principle and funding availability before any work on a detailed proposal for a special project commences. A sample format is shown in Figure 4.

3.5 Proposal Format

Many donors have specific guidelines for preparing proposals and the guidelines within each agency may differ depending on the program.

While donor guidelines may vary, there are usually elements or components which virtually all donors expect to find in a proposal. For those cases where donors do not supply specific proposal guidelines, staff should ensure the following components are included:

- ♦ Title Page, Table of Contents, List of Tables, Figures, Appendices, Acronyms
- ♦ Executive Summary or Abstract
- ♦ Background and Rationale
- ♦ Project Description
- ♦ Implementation Schedule
- ♦ Project Organization and Management
- ♦ Budget
- ♦ Reporting and Control
- ♦ Evaluation Plan
- ♦ Appendices (CVs and institutional project experience sheets, CIAT background sheet)



Figure 3

Date April 1995



INTERNAL PROJECT PROFILE FOR MANAGEMENT APPROVAL OF NEW IDEAS

1 Implementing Program or Unit

2 Project Officer

3 Project Title

4 Project Purpose

5 Development Rationale

Identification of problem and its importance How will this project output contribute to overcoming the problem?

6 What is the innovative contribution of this project to strategic research?

7 After achieving the output of this project, what else needs to be done to produce an output that can be utilized by ultimate users (farmers)? Who will do it? How long will it take? What is the probability of success?

8 If this project produces an intermediate output, such as an improved method or information, how and how much will this output contribute to achieving an output for ultimate users?

(e.g. will speed up research by X years will increase probability of success from 40% to 50%)

9 How much will the output of this project contribute to increased productivity or sustainability?

(Be specific will increase yields x kgs will reduce soil erosion by x amount?)

10 Who are the potential users/beneficiaries (both short and long term) from the output of this project?

(Be specific what countries ecosystems, how many ha ?)

11 What NARS or other partners are supporting CIAT to produce this output?

12 Name who in NARS or other partners has given explicit support to project?

Minister _____

Institute/Research Director _____

Program Leaders _____

Individual Scientists _____

Other _____

No specific support _____

13 How long will it take to produce project output?

14 What is probability of successfully producing desired output of this project with expected resources and in time frame specified above? (%)

15 Has this project idea been discussed with a donor representative? Who? When? What was the response?

16 What other donor could this project donor be presented to? Why is interest expected?

- 17 Resources to CIAT from proposal (\$)**
- Resources to partners (\$)**
- Core substitution effect (\$)**
- Core resource input needed (\$)**
- Core senior scientist input (yrs)**

96	97	98	99

18 What scientists in CIAT would be involved in project?

19 To develop this idea into a successful proposal, what needs to be done in the next six months? Who would do it? By when?

(e g , draft proposal, visit specific donor or partner)

Task	Responsible	Month Finished
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

20 Signatures of Program Leaders, Unit Heads, or SRG Leaders who sponsor this project as a priority for their area

21 Please fill out the attached work breakdown structure for the project

Date April 1995



CONCEPT NOTE/PRE-PROPOSAL FOR DONORS

TITLE

PROJECT PURPOSE

DEVELOPMENTAL RATIONALE/NEED

- Identification of the problem and its importance to the developmental needs of the country or region
Intended Beneficiaries (target group)
Anticipated Impact
 - Contribution to agricultural productivity
 - Contribution to poverty alleviation
 - Contribution to sustainable resource management
 - Internationality of project output
 - How will this research help NARS and farmers

PROJECT DESCRIPTION

- Provide Work Breakdown Structure as an attachment (See Figure 2)

RELEVANCE TO NARS PRIORITIES

- NARs priorities
- Capacity building

RELEVANCE TO DONOR PRIORITIES

INNOVATIVENESS

(What is new or innovative and how does the proposed research represent a significant departure from other work in this area?)

INSTITUTIONAL COLLABORATING PARTNERS AND THEIR ROLE IN THE PROJECT

CIAT capacity to deliver this output

Relevant prior institutional experience with the donor and with the sector

PROJECT MANAGEMENT

Specify the institution which is the executing agency and responsible for progress reporting to the donor

TOTAL PROJECT BUDGET

- Financial resources required for each year of the project and for the total project

IMPLEMENTATION PERIOD

Figure 5 provides a checklist for proposals being submitted by program staff to the Project Development Office. Samples of organizational charts, implementation schedules, institutional project experience sheets and CVs are shown in Figures 6 to 9 inclusive.

3.6 Organizational Structure for Project Management as Outlined in Proposals

Donors want to see a clearly defined organizational chart for managing the project and an outline of the roles and responsibilities of each member of the project team and for each consortium partner.

It is important to designate a **Project Officer** for each research project funded by donors. One individual must be held accountable for coordinating the delivery of the project.

The underlying principle is that one organization should have overall responsibility with the donor for contracting, implementing the project, and reporting to the donor. Within the lead organization, there will be one individual that is designated as the Project Officer.

In some cases, there may be a project team associated with overseeing the project. The team may consist of several CIAT staff members from different programs or scientific resource groups along with participants from other research institutes, should it be a consortium project.

For most projects, CIAT will be the lead partner and will maintain the contracting and reporting responsibility with the donor. CIAT may, however, sub-contract to other consortium members for implementing specific components or activities of the project.

The CIAT Project Development and Project Support Offices do not fulfill the function of project management. That rests with the Project Officer appointed from one of CIAT's programs. The Project Officer is responsible for drafting the initial proposal, overseeing the technical implementation of the project and ensuring it is done within budget and on schedule, and drafting the technical progress reports to the donor.

Figure 5

CHECKLIST

For Proposals being submitted to Project Development Office

* *These guidelines are for CIAT proposals where the donor has not issued their own guidelines for proposals*



Check that appropriate section has been included

PROPOSAL ORGANIZATION (Printed Version)

Table of Contents and Misc Lists

- Provide table of contents list of figures tables appendices and acronyms

Executive Summary

- Provide 1 or 2 page executive summary and attach Work Breakdown Structure as a third page

Background and Justification

- Statement of Problem and target beneficiaries
- Developmental relevance priorities for NARS and expected benefits/impact
- Relevance to donor priorities
- Comparative advantage of CIAT and consortia partners

Project Description

- Location and general description including goal purpose target groups outputs inputs objectively verifiable indicators and critical assumptions (logical frame matrix)
- End of-project status
- Methodology and description of major activities Refer to Work Breakdown Structure (WBS) figure linking activities to outputs
- Implementation time table/duration of project (refer to chronogram of activities which specifies milestones in Appendices)
- Cross sectoral design issues (gender implications environmental implications) and spin-off opportunities
- Future sustainability of the project (plans to ensure some activities continue even after donor funding for the project ceases)

Project Organization and Management

- Specify roles and responsibilities for each institutional partner the executing agency and for the Project Officer position
- Organizational chart showing financial/management reporting and liaison lines and Project Officer's position
- Composition roles and responsibilities of Advisory/Steering Committee

Budget

- Consult Project Support Office (Controller's Office) for
 - * Appropriate budget format and line items
 - * Standard unit costs (personnel vehicle lease land use etc)
 - * Inflation rate for years 2 and hence
 - * Applicable indirect cost recovery rate
 - * Budget provision for Publications/Documentation (publishing and distributing of research findings acquisition of books journals data base searches)
 - * Budget provision for Training (preparation of training materials and delivery of training per diems and travel of instructors and trainees)
- State any sub-contracting provision with institutional partners
- State rationale/assumption for each major budget item
- Describe equipment procurement plan (i.e. use of CIAT Miami Office) if appropriate
- Submit completed budget to Project Support Office for final review and discussion (Budget page of final proposal document to be signed off by Financial Controller)

Reporting, Monitoring and Project Control

- State reports required format (linked to WBS activities) and frequency (e.g. annual work plans semi-annual technical and financial progress reports end-of project reports)

Evaluation Plan

- State if mid-project evaluation is planned and budgeted
- State if end-of-project evaluation is planned and budgeted
- Provide criteria for measuring project success in terms of efficiency effectiveness and impact

Appendices

- Map of project research locations
- Chronogram by quarter showing duration of each major activity
- Terms of reference for sub-contracts
- Relevant prior CIAT project experience preferably for the same targeted donor
- Abbreviated CVs of CIAT Project Officer and project coordinators at the collaborating partners
- Background sheet on CIAT
- Discussion of any technical issues related to the project description

Attachments

- Provide covering letter to donor for DG signature
- Provide letters of support/commitment from partner institutions and beneficiaries (if a joint proposal)

Diskette

- Provide diskette with proposal in Word Perfect single spaced within paragraphs, double space between paragraphs and with NO PARAGRAPH INDENTATIONS (please, DO NOT INDENT WITH MANUAL SPACINGS!) and no right justification We will reformat using PageMaker desktop publishing software

Photos for front cover and text

- Preference is for 5 to 10 relevant color slides or negatives The PDO will arrange for internegatives or contacts to be made

Figure 6

Sample Project Organization Chart

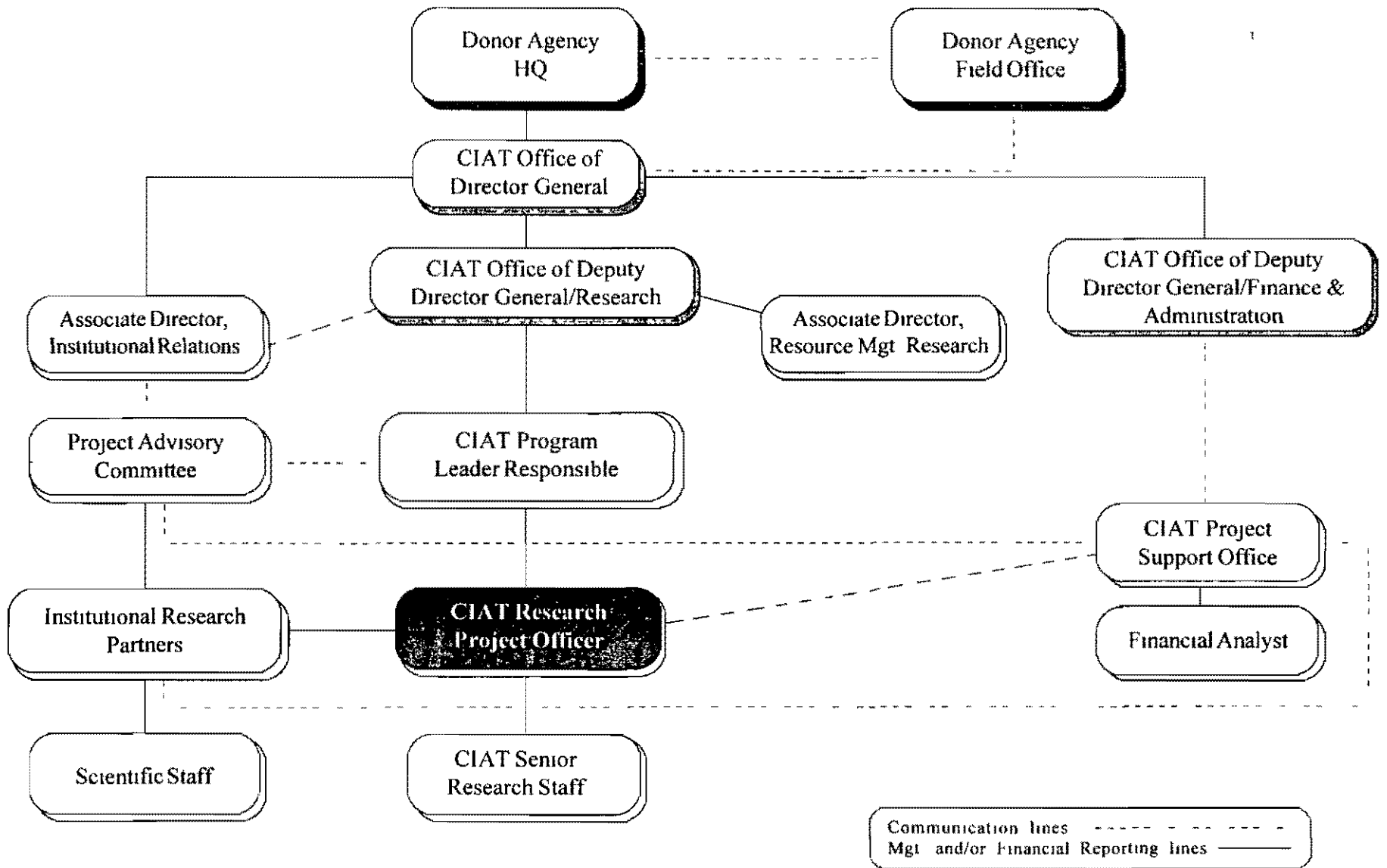


Figure 7

Sample Chronogram for Project Implementation Schedule of Activities by Quarter

Output and Activities	Year 1				Year 2				Year 3			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
100 TRAINED SCIENTISTS FROM NARS												
110 Conduct needs analysis		■										
120 Prepare training materials			■	■								
130 Deliver training workshops							■		■		■	
200 RESEARCH												
210				■	■	■	■	■	■			
220				■	■	■	■					
300 PROJECT MANAGEMENT CONTRACTS, PROGRESS REPORTS AND EVALUATION REPORTS												
310 Finalize contract with donor agency	■											
320 Finalize sub-contracts with institutional partners	■											
330 Prepare Annual Work Plans	■				■				■			
340 Participate in Project's Annual Steering Committee Meetings	■				■				■			
350 Submit semi-annual project technical and final progress reports		■		■		■		■		■		■
360 Participate in end-of-project evaluation												■
370 Submit end-of-project report to donor agency												■

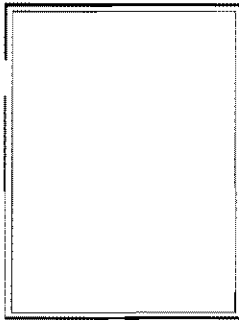
Figure 8

Sample CIAT Project Experience Sheet

DEVELOPMENT OF CASSAVA GERMPLASM FOR THE DRIER TROPICS AND SUBTROPICAL AGROECOSYSTEMS OF AFRICA, ASIA AND LATIN AMERICA	
Donor	International Fund for Agricultural Development (IFAD) U S A
Location	EMBRAPA/CNPMF Cruz das Almas, Bahia Brazil
Duration	5 years (1990 1994)
Status	Ongoing
Total value	US\$950 000
Goal	This project aims to enhance food security in the drier tropical and the subtropical areas of the world through the introduction of preselected cassava germplasm from Brazil
Objectives	<p>to reduce food deficits in marginal areas of the drier tropics with special emphasis on sub humid and semi arid sub Saharan Africa</p> <p>to broaden the genetic base of the international cassava collection by collecting and evaluating the Brazilian germplasm and developing improved populations adapted to the drier tropics and the subtropics</p>
Outputs	<p>improved welfare of small farmers in the target region</p> <p>improved germplasm management and overall research capacity of national institutions working with cassava</p>
Description of activities	This project is being conducted in Brazil, under agreements among CIAT Empresa Brasileira de Pesquisa Agropecuaria (EMBRAPA) through its Centro Nacional de Pesquisa de Mandioca e Fruticultura (CNPMF) and the Empresa Catarinense de Pesquisa Agropecuaria (EMPASC)
Principal activities include	<p>collecting and conserving cassava germplasm in the drier regions of Northeast Brazil</p> <p>evaluating cassava germplasm in sites in Brazil</p> <p>developing elite plant populations through traditional and advanced breeding techniques</p> <p>transferring improved populations to Africa Asia and Latin America through the international cassava network</p>
CIAT's role	CIAT is the lead partner responsible for overall project management donor reporting and administering subcontracts to the secondary partners in the consortia
Evaluation	During the fourth year of the project an external committee will review the work of the project in Brazil and will make recommendations for a possible project extension for a further five year period
CIAT personnel involved	<p>Dr Carlos Iglesias</p> <p>• Dr Anthony Bellotti</p>
Consortia partners	CNPMF and EMPASC
Other partners	IITA (International Institute for Tropical Agriculture Nigeria)

Figure 9

SAMPLE CIAT CV



C.V.

Peter C Kerridge

Position in Project

Managerial Experience

Centro Internacional de Agricultura Tropical (CIAT)

Cali Colombia (1992-present)

Leader Tropical Forages Program Responsible for supervision of scientists and projects within the Program and liaison with other CIAT Programs and national and donor organizations

Division of Tropical Crops and Pastures (DTCP) CSIRO

Bnsbane, Australia (1978-1992)

Project Leader 'Phosphorus requirements for beef cattle' (1981-90) Grazing legumes and sustainability of savannas (1990-92)

Malaysian Agricultural Research and Development Institute (MARDI)

Serdang Malaysia (1973-1978) AIDAB secondment

Responsible for Australian contribution to development of a forage research and development unit within MARDI

Research Experience

CIAT Cali Colombia (1992-present)

Adaptation of tropical forages to soil and climate

DTCP-CSIRO (1978-1992)

Nutrient requirements for plants and cattle

Adaptation of forage legumes to different soils

Smallholder feeding systems for livestock -Southeast Asia

MARDI (1973-1978)

Adaptation of tropical forages

Nutrient and rhizobia requirements of forage legumes

Productivity of tropical forages for beef and milk production

DTCP-CSIRO (1968-1973)

Fertilizer requirements of tropical pastures used for milk production

Molybdenum requirements of legumes

	<p>Oregon State University Corvallis Ore USA (1964-68) Tolerance of aluminium toxicity in wheat</p> <p>Agricultural University Bogor Indonesia (1961-1964) Adaptation of forage legumes to acid soils Use of crop residues for draught animals</p> <p>University of Queensland Brisbane (1958-61) Fodder conservation in Western Queensland Ecology of a native legume -<i>Psoralea enantha</i></p>
Consultancies	<p>In areas of research management, review of research and development and project design to Indonesia Philippines Thailand Fiji Brazil, Colombia and Ethiopia</p>
Membership in Scientific Societies	<ul style="list-style-type: none">• Tropical Grassland of Australia• Australian Society of Animal Production• Australian Society of Soil Science
Education	<p>Ph D Plant Nutrition Oregon State University 1978</p> <p>B Agr Sci University of Queensland, 1957</p> <p>Professional Development Courses (CSIRO and CIAT) Project Management Communication</p>
Languages	<p>English -Fluent Indonesian Spanish -Conversational</p>
Citizenship	<p>Australian</p>
Country of Residency	<p>Colombia</p>

Recent Publications

(Author of 36 articles and 13 book chapters, a representative sample of which appear here)

Kerridge, P C 1994 Opportunities for forage research and development in tropical Latin America ACIAR Conference Strategic Directions for Tropical Pasture Research in ACIAR Brisbane November 1993

Kerridge, P C and Lascano C E 1993 Primary and secondary evaluation of forage germplasm AFRNET Workshop, Bamako, Mali 14p

Rao, I M and Kerridge P C 1993 Mineral nutrition of forage *Arachis* In Kerridge, P C and Hardy, B (eds) Biology and agronomy of forage *Arachis* CIAT, Cali, Colombia (In press)

Kerridge, P C and Argel, P J 1993 *Arachis pintoi* Una leguminosa productiva y persistente para pastos tropicales Ciencia e Investigacion Agraria (Chile) 20 29

Kerridge P C McLean R W and Jones, R M 1992 The impact of soil fertility and legume on the yield and persistence of buffel grass Proc Aust Agron Conf p

Kerridge P C 1991 Adaptation of shrub legumes to acid soils Proc Symp Plant-Soil Interactions at Low pH p 977

Kerridge P C, Gilbert M A and Coates D B 1990 Phosphorus and beef production in northern Australia 8 The status and management of soil phosphorus in relation to beef production Trop Grassl 24 221

Kerridge P C and Mclean, R W 1989 Soil fertility and beef production in the semiarid tropics XVI International Grassland Congress p 1191

Salinas J G P C, Kerridge, and R M Shunke 1987 Mineral nutrition of Centrosema 51 p In R Schultze-Kraft and R J Clements (eds Centrosema - Biology, Agronomy and Utilization

Kerridge, P C Edwards D G and Sale, P W G 1986 Soil fertility constraints amelioration and plant adaptation In Forages in Southeast Asian and South Pacific Agriculture (Eds G J Blair D A Ivory and T R, Evans) p 179-187 (Australian Centre for International Agricultural Research Canberra)

3.7 Budget Formulation for Proposals

All budgets contained in proposals being submitted for external funding should be reviewed and signed off by the lead institute's Financial Controller before the proposal is forwarded to the donor

This applies both to proposals submitted directly to the donor by CIAT and consortium proposals where another institute submits the proposal to the donor, but where the project budget has a component for CIAT

The Project Support Office works with program staff in preparing the budget for a project proposal and then obtains the signature of the Financial Controller on the budget page. A sample format for project budgets is shown in Figure 10

The Project Officer must first identify the rationale or underlying assumptions for each major budget item. For example, the number of full-time staff (senior staff, research associates, assistants, technicians, bilingual secretaries, visiting scientists) should be estimated along with an estimated number of trips annually for the senior staff involved

The Project Support Office will then provide the most recent standard cost to be used in estimating the budget requirements for each category of staff associated with the project (e.g., for senior staff this will be an average cost that includes salary, housing allowance, official vehicle, schooling for dependents, medical insurance, retirement contributions, and paid home leave). See Section 5.7 for the 1995 CIAT budget guide for project inputs

Similarly, the Project Officer should identify and document the assumptions (i.e., number of participants and length of stay) for any conferences and training activities to be conducted as part of the project. The Project Support Office will provide the Project Officer with per diem rates that can be used for conferences held at CIAT (assuming participants are lodged at CIAT's hotel) and the monthly allowances and benefits for trainees and visiting scientists. See Section 5.7 for the 1995 CIAT rates

The Project Support Office will also provide estimates that can be used to cover library acquisitions and the preparation of specialized training materials. These will be based on a small percentage of the overall project costs

Some donors require a project budget by major activity not just by standard object of expenditure. In these cases, the Project Support Office will assist the Project Officer in preparing a budget that is activity based. A sample format of an activity based budget is shown in Figure 11

Figure 10

Sample Project Budget Format by Standard Object of Expenditure (in current US\$)

LINE ITEM	Year N° 1	Year N° 2	Year N° 3	TOTAL
PERSONNEL				
Senior staff	-	-	-	-
Support staff	-	-	-	-
Clerical staff	-	-	-	-
Temporary	-	-	-	-
Honoraria	-	-	-	-
Total personnel	-	-	-	-
TRAVEL				
National	-	-	-	-
International	-	-	-	-
Total travel	-	-	-	-
OPERATIONS				
Supplies and services	-	-	-	-
Research station support	-	-	-	-
Steering committee	-	-	-	-
Total operations	-	-	-	-
INSTITUTIONAL DEVELOPMENT				
Workshops/Conferences	-	-	-	-
Information dissemination	-	-	-	-
Document acquisitions and materials development	-	-	-	-
Staff training	-	-	-	-
Support for projects at other institutions	-	-	-	-
Total institutional development	-	-	-	-
DIRECT COSTS				
Vehicles use (leasing rental)	-	-	-	-
Space use (Land office)	-	-	-	-
Total direct costs	-	-	-	-
CAPITAL				
Vehicles	-	-	-	-
Office	-	-	-	-
Field and laboratory	-	-	-	-
Total capital	-	-	-	-
INDIRECT COSTS				
	-	-	-	-
TOTAL	-	-	-	-

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Financial Controller

Figure 11

Sample Project Budget Format by Both Activity and Standard Object of Expenditure (in current US\$)

ITEM	ACTIVITY I		ACTIVITY II		ACTIVITY III		ACTIVITY IV		ACTIVITY V		ACTIVITY VI		GRAND TOTAL	
	COBTS C	US\$	COBTS C	US\$	COBTS C	US\$	COBTS C	US\$	COBTS C	US\$	COBTS C	US\$	COBTS C	US\$
PERSONNEL														
Senior staff		--		--		--		--		--		--		--
Support staff		--		--		--		--		--		--		--
Clerical staff		--		--		--		--		--		--		--
Temporary		--		--		--		--		--		--		--
Honoraria		--		--		--		--		--		--		--
Total personnel		--		--		--		--		--		--		--
TRAVEL														
National travel		--		--		--		--		--		--		--
International travel		--		--		--		--		--		--		--
Total travel		--		--		--		--		--		--		--
OPERATIONS														
Supplies and services		--		--		--		--		--		--		--
Research station support		--		--		--		--		--		--		--
Steering committee		--		--		--		--		--		--		--
Total operations		--		--		--		--		--		--		--
INSTITUTIONAL DEVELOPMENT														
Workshops/Conferences		--		--		--		--		--		--		--
Information dissemination		--		--		--		--		--		--		--
Document acquisitions and materials development		--		--		--		--		--		--		--
Staff training		--		--		--		--		--		--		--
Support for projects at other institutions		--		--		--		--		--		--		--
Total institutional development		--		--		--		--		--		--		--
DIRECT COSTS														
Vehicles use (leasing rental)		--		--		--		--		--		--		--
Space use (land office)		--		--		--		--		--		--		--
Total direct costs		--		--		--		--		--		--		--
CAPITAL														
Vehicles		--		--		--		--		--		--		--
Office		--		--		--		--		--		--		--
Field and laboratory		--		--		--		--		--		--		--
Total capital		--		--		--		--		--		--		--
INDIRECT COSTS		--		--		--		--		--		--		--
GRAND TOTAL		--		--		--		--		--		--		--

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FORM 125

Financial Controller

Inflation

The Project Support Office will advise the Project Officer what inflation rate should be applied in order to convert a budget prepared in constant dollars to one which is based in current dollars. Most CIAT proposals submitted to donors will be based in current dollars with a stated inflation rate included.

3.8 Writing Style for Proposals

The following principles should be followed:

Sentence Length

- Sentences should be kept short (16 to 20 words on average which is the equivalent to a maximum of two lines of text)

Paragraph Length

- Discuss only one major idea in a paragraph. It is much easier to read a page with 4 to 6 paragraphs than 2 or 3 paragraphs. Try not to exceed ten lines of text for a single paragraph.

Voice

- Where possible, use the active not the passive voice.

Technical Jargon

- Write the main text so that a generalist in a donor agency can easily understand the material. Put in the appendices those technical sections with additional background information that will only be of interest to the sector specialist.

Type justification

- Use left justification only. Text which is justified on both the left and right margins is harder for the reader to scan.

Logic

- Ensure the sequence of thoughts, both within and between paragraphs, is logical.

For further guidance, staff should consult CIAT Working Document #120 'Notes for Authors using CIAT's Editorial Services'.



CIAT

International Center for Tropical Agriculture
Centro Internacional de Agricultura Tropical

Date April 1995

**A CIAT GUIDE FOR
PROJECT IDENTIFICATION,
DESIGN, APPROVAL AND
ADMINISTRATION**

Page 1 of 9

How to Prepare Contracts, Progress and Evaluation Reports for Donors

4 1 Objectives

- To provide guidelines to program staff for the preparation of the budget requirements and evaluation plan to be included in project proposals
- To provide an overview of the contracting, reporting and evaluation requirements during the project implementation stage

4 2 Background

The Project Support Office, as part of the Office of Finance and Administration, provides project support to both scientific and management staff in the areas of budget formulation and control, contracting, financial progress reporting, coordination of donor project evaluations, and central archiving and record keeping for projects. It works closely with the Project Development Office during the proposal preparation phase.

4 3 Contracting

When the project requires a formal contract, the Project Support Office works with the Project Manager to prepare the project contract with the donor. The terms of reference for the Scope of Work specified in the contract are usually based on the methodology, activities, implementation schedule, organizational structure, budget reporting provisions and the evaluation plan outlined in the project proposal. A sample outline of a project contract is shown in Figure 12.

The terms of payment to CIAT are also specified in the contract (e.g., semi-annual advances based on submission of progress reports).

The CIAT lawyer reviews the draft contract before it is sent by the Project Support Office to the donor.

Figure 12

- Sample Outline For A Project Contract

<u>Contract Between</u>	<u>And CIAT</u>
Description of Services	(An appendix should contain selected parts of the project proposal)
Date of Completion of Services	
Contract Amount	
Basis of Payment	
Method of Payment	
Interest on Overdue Accounts	
Confidentiality	
Appropriate Law	
Termination or Suspension of Services	
Effective Date	

4.4 Progress Reporting and Project Monitoring

The responsibility for preparing donor reports lies with the Project Officer based on input from the program side and financial input from the Project Support Office. The principal reports associated with most projects are

- Annual Project Work Plan
- Technical and financial Progress Reports (e.g., Quarterly, Semi-annually or Annually)
- Mid-project and/or End-of-Project Evaluation (completed by the external evaluator)
- End-of-Project Report

The format for the reporting will be discussed by the Project Support Office and the donor and will hopefully be specified in the contract. Reporting will usually be activity based.

For a report to qualify and be seen as a Progress Report, it should always link what has actually happened with what was originally planned and approved. Failure to do so will render the report virtually useless as a management tool.

Linkages

Three major linkages should be addressed when reporting progress on an activity basis. They are

- Accomplishment progress toward achieving or accomplishing an expected result,
- Schedule time lapsed on the activity against what was scheduled, and
- Cost funds spent on the activity against what was budgeted.

A sample format for progress reports is shown in Figure 13 and can be used for those cases where the donor does not provide specific guidelines for progress reports.

Figure 13

Sample List of Contents for Project Progress Reports

A	REPORT SUMMARY
B	REPORT ON PROJECT ACTIVITIES
Output No 100	(Title) _____
Activity 101	(Title) _____
Activity 102	(Title) _____
Activity 103	(Title) _____
Activity 104	(Title) _____
Output No 200	(Title) _____
Activity 201	(Title) _____
Activity 202	(Title) _____
Output No 300	(Title) _____
Activity 301	(Title) _____
Activity 302	(Title) _____
Output No 400	(Title) _____
Activity 401	(Title) _____
Activity 402	(Title) _____
Activity 403	(Title) _____
C	FINANCIAL STATEMENT
D	QUARTERLY FINANCIAL FORECAST
E	APPENDICES
Appendix A	Logical Framework Analysis
Appendix B	Work Breakdown Structure
Appendix C	Implementation Schedule (Gantt chart)

A. REPORT SUMMARY

This is the third progress report and covers the first and second quarters of fiscal year 1993/94 (April 1st to September 30, 1993)

Start April 1, 1993

Finish September 30, 1993

Cost Limitation \$

Project Progress and Performance to Date

- (a) Accomplishments
- (b) Schedules
- (c) Cost
- (d) Underspending
- (e) Overspending
- (f) Forecast

Progress Toward Achieving Project Objectives

Review of Critical Assumptions

Project Milestones

- (a) Reached
- (b) Scheduled

Can Donor Help?

B. REPORT ON PROJECT ACTIVITIES

Output No 100

Activity No 101

Estimated Result

<u>Start</u>	<u>End</u>	<u>Estimated Time</u>	<u>Estimated Cost</u>
<u>Accomplishment</u>		<u>Time</u>	<u>Finances</u>
Achievement to Date		Time to date	Used to Date \$
Planned to Date			Planned to Date \$
Variance			Variance

Activity Review and Comment

Provide a narrative report on project activities where significant variances have occurred

Period Expenses



4 5 Evaluation

The evaluation plan and indicators for measuring the success of the project should be identified in the project proposal as should the budget for any planned evaluations. Most projects have an end-of-project evaluation. In addition, some large projects lasting 4 years or longer may have a mid-term evaluation. It is the responsibility of the Project Support Office to coordinate any donor project evaluations.

Project evaluations usually deal with issues of project rationale, efficiency, effectiveness and impact. Examples of evaluation questions related to each of these major issues are shown in Figure 14. A sample format for the outline of an evaluation report is shown in Figure 15.

4 6 End-of-Project Reporting

Some donors require the submission of an end-of-project report. It is the responsibility of the Project Officer, with input from the project staff, to prepare these reports according to guidelines provided by the Project Support Office.

In the case where the donor does not specify the reporting format to be used, Figure 16 is a guide for the preparation of an end-of-project report.



Figure 14

Examples of Issues and Questions in Project Evaluations

<i>Evaluation Issues</i>	<i>Evaluation Questions</i>
Rationale	<p>Does the project relate to the policy framework at the donor?</p> <p>Does it reflect the recipient country's development priorities?</p> <p>Does it contribute to the donor's program in the country and sector?</p> <p>Does it contribute to the donor's development priorities (WID rural poor environment)?</p> <p>Are the objectives still relevant?</p> <p>Among the array of alternatives to meet project objectives, was this an appropriate choice?</p> <p>Will achievement of the project's objectives ensure attainment of its purpose and goal?</p> <p>Are the project assumptions still valid?</p> <p>Are the LFA assumptions valid?</p> <p>Are there any unstated assumptions which are or could become problematic?</p>
Effectiveness	<p>To what extent has the supply of inputs conformed to what was planned?</p> <p>To what extent has the project produced its expected outputs?</p> <p>Has the project achieved its objectives?</p> <p>To what extent has the purpose been achieved?</p> <p>To what extent has the project contributed to the goal of the program or sector it supports?</p> <p>Has it achieved objectives related to the donor's development priorities (WID rural poor environment)?</p>
Efficiency	<p>How well has project implementation been managed?</p> <p>Were inputs supplied and managed at the least cost?</p> <p>Were there better ways of achieving the same results at less cost or in lesser time?</p> <p>Were the most cost-effective alternatives used in managing the project?</p> <p>Was there adequate coordination with other interventions?</p> <p>How did inclusion of the donor's development priorities (WID rural poor environment) affect efficiency?</p> <p>If the outputs were not produced, what changes in the pattern of inputs might have remedied this?</p> <p>How would an improved production of outputs result in a better degree of achievement of project purpose and goal?</p> <p>What should be done, with what financial implications, to modify or improve the project?</p>
Impacts and Effects	<p>What are the impacts and effects on women, the rural poor and the environment?</p> <p>What are the unplanned effects?</p> <p>What are the probable long term project consequences on the program and sector?</p> <p>Why were anticipated effects not achieved?</p> <p>What lessons can be learned from this project experience?</p> <p>Do project activities complement, duplicate or work at cross-purposes with other projects/programs sponsored by the specific donor aid, recipient country or other donors?</p>

Figure 15
Sample of an Evaluation Report Outline

Abstract

1 0 Introduction

- 1 1 Background
- 1 2 Project Description
- 1 3 Evaluation Methodology
 - 1 3 1 General Approach
 - 1 3 2 Sources of Data
 - 1 3 3 Instruments
 - 1 3 4 Personnel
 - 1 3 5 Limitations
- 1 4 Organization of Report

2 0 Project Rationale

- 2 1 Introduction
- 2 2 Project Assumptions
- 2 3 Project Design Issues
- 2 4 Donor Priorities

3 0 Efficiency

- 3 1 Project Organizational Structure
- 3 2 Coordination
- 3 3 Priority Modifications
- 3 4 Inputs

4 0 Effectiveness

- 4 1 Technical Needs
- 4 2 Training (Graduates)
- 4 3 Resource Utilization
 - 4 3 1 Personnel
 - 4 3 2 Equipment and Facilities
- 4 4 Training Costs
- 4 5 Achievement of Goals and Purpose

5 0 Sustainability

- 5 1 Recurrent Costs
- 5 2 Personnel Availability
- 5 3 Future Role of Donor

6 0 Conclusions and Recommendations

7 0 Lesson Learned

- 7 1 Introduction
- 7 2 Management
- 7 3 Capacity from donor country
- 7 4 Institutional Development

Sample Format for an End-of-Project Report

Basic Project Data

KEY IDENTIFICATION DATA

- project title, number, sector country
- executing agency and consortia partners
- monitoring agency, if applicable
- evaluation agency, if applicable

KEY FINANCIAL DATA

- total project cost (planned and actual)
- total donor contribution
- total other financing (specify)

KEY DATES

- date of official request
- date of project approval
- date of signature of contract/agreement
- starting date
- termination date

PROJECT DESCRIPTION

- Project Background & Rationale
- Project Description (LFA and WBS)

PROJECT ASSESSMENT

- Achievement re goal, purpose, outputs, inputs
- Economic effects
- Social effects
- Institutional effects
- Role of Women
- Main problems and constraints

LESSONS LEARNED

- Operational lessons
- Developmental lessons



CIAT

International Center for Tropical Agriculture
Centro Internacional de Agricultura Tropical

Date April 1995

A CIAT GUIDE FOR PROJECT IDENTIFICATION, DESIGN, APPROVAL AND ADMINISTRATION

Page 1 of 16

CIAT Internal Policies

5 1 Objective

- ♦ To define the procedures for obtaining internal CIAT approval for a special project idea and to ascertain donor interest in principle before work on a detailed proposal is commenced

5 2 Background

- ♦ CIAT has adopted a three phase process for project approvals. The first step of program staff is to obtain CIAT management approval for the idea itself and the second is to obtain donor interest-in-principle for the pre-proposal or concept note. The third step is approval for the detailed proposal. This process ensures CIAT's DDG, Research and DG have an overview of all major project ideas being considered for special project funding and the tentative targeting of donors for these project ideas

5 2 1 Internal Project Profile

This is a three to four page overview of the project idea for presentation to CIAT management. A sample format was illustrated in Figure 3 of Section 3

5 2 2 Technical and Management Review and Prioritizing of Project Ideas

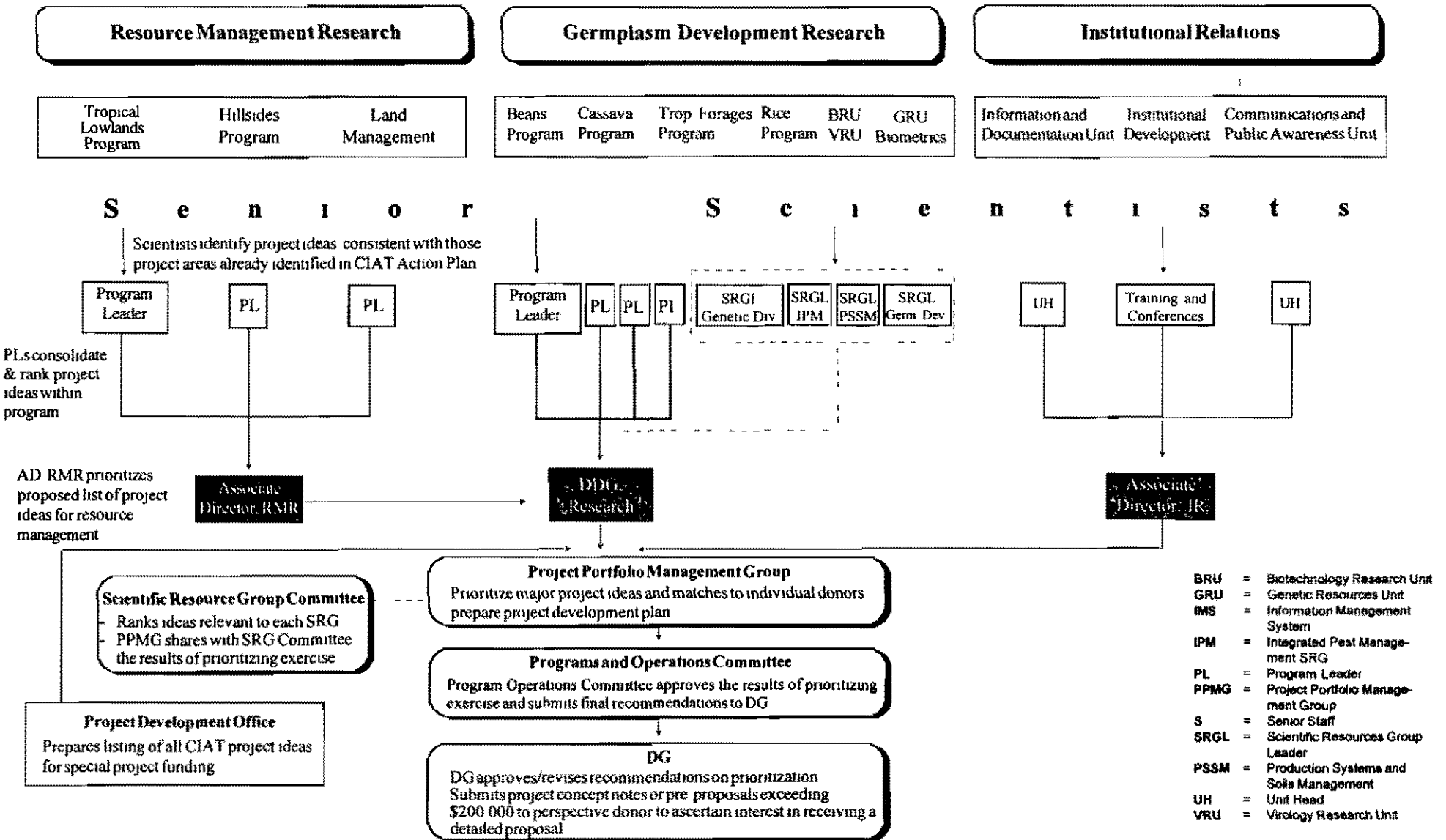
The process for the internal review and prioritizing of project ideas is illustrated in Figure 17

5 3 Roles and Responsibilities

- ♦ Scientists, in consultation with relevant program and scientific resource group leaders, are responsible for the preparation of the project profiles
- ♦ Program Leaders are responsible for prioritizing project ideas within their program and submitting the profiles to the DDG, Research

Figure 17

CIAT Internal Review and Prioritizing of Project Ideas



This figure refers to the process of project identification and the approval of ideas for proposals for external funding exceeding \$200,000. Project profiles of less than \$200,000 do not have to pass through the Project Portfolio Management Group. They can be submitted directly to the DDG-Research and then to the DG who has legal signing authority for submitting the concept note to the donor.

- ◆ The Project Portfolio Management Group prioritizes the project profiles submitted by Program and SRG leaders
- ◆ The Program Operations Committee is responsible for approving the prioritized project ideas submitted by the PPMG and then making a recommendation to the Director General for those projects exceeding \$200,000 total to CIAT or more than \$80,000 per year
- ◆ The Director General has the final responsibility for the approval of the idea for large projects and then forwarding the profile to a prospective donor to ascertain interest - in-principle
- ◆ The Project Development Office provides advice to the program staff on the development of the project profile, concept note to the donor, and the final proposal to the donor. The PDO uses desktop publishing software for both the concept note and full proposal. The PDO with assistance from the scientist also prepares the cover letter from the DG to the prospective donor

5.3.1 Roles and Responsibilities of the Project Development and Project Support Offices in Project Design and Administration

CIAT has two specialized offices, the Project Development Office and the Project Support Office, that provide program staff with support services during the planning and implementation of projects.

Projects normally follow a cycle which include the following activities

- ◆ identification
- ◆ appraisal and design
- ◆ approval
- ◆ contracting, project implementation, monitoring and control
- ◆ termination, and-of-project evaluation, and long-term impact assessment

In relation to the project cycle, the Project Development Office is responsible for providing services to the programs for the steps up to and including receiving approval for the proposal from the donor agency. Thereafter, the Project Support Office takes over for the contracting, reporting to the donor on the implementation of the project, and coordinating any donor project evaluations.

In other words, the Project Development Office is heavily involved in the early stages of the project cycle whereas the Project Support Office is more involved with the later steps of the project cycle.

5.4 Overview of the Project Identification, Prioritizing and Implementation Process

Figure 18 provides an illustration of the CIAT process for the identification, prioritization, design, implementation and evaluation of projects. Project ideas are first approved in principle by the Program Leader, then by the PPMG and then the Program Operations Committee and DG before any work commences on the preparation of a detailed proposal.

The PPMG and the Program Operations Committee prioritizes all special project ideas on a six-month basis (under certain conditions, meetings can be called earlier to approve ideas having immediate donor opportunities).

5.5 Approval Responsibilities for Project Ideas and Proposals

Figure 19 illustrates the internal CIAT approval process for projects depending upon whether they are supported with internal funding from core or supported by special project funding.

In the case of internally funded projects supported from core, the approval of the Program Operations Committee is required for all projects exceeding \$80,000 per year for CIAT or \$200,000 total.

In the case of special project funding, the Program Leader has the responsibility for approving project ideas up to \$200,000 whereas the Program Operations Committee retains responsibility for approving all project ideas exceeding \$200,000. The DG retains legal signing authority for all proposals going to donors, regardless of the size of budget.

- The Program Operations Committee is responsible for prioritizing project ideas submitted by the various program leaders and then making a recommendation to the Director General for those projects exceeding \$200,000.
- The Director General has the final responsibility for the approval of the project idea and then forwarding the concept note or pre-proposal to a prospective donor.
- The Project Development Office provides advice to the program staff on the development of the project profile and converts the profile into desktop publishing format. The PDO with assistance from the scientist also prepares the cover letter from the DG to the prospective donor for the profile or pre-proposal.

Figure 18

Overview of Activities in Special Project Identification, Prioritization, Approval and Implementation

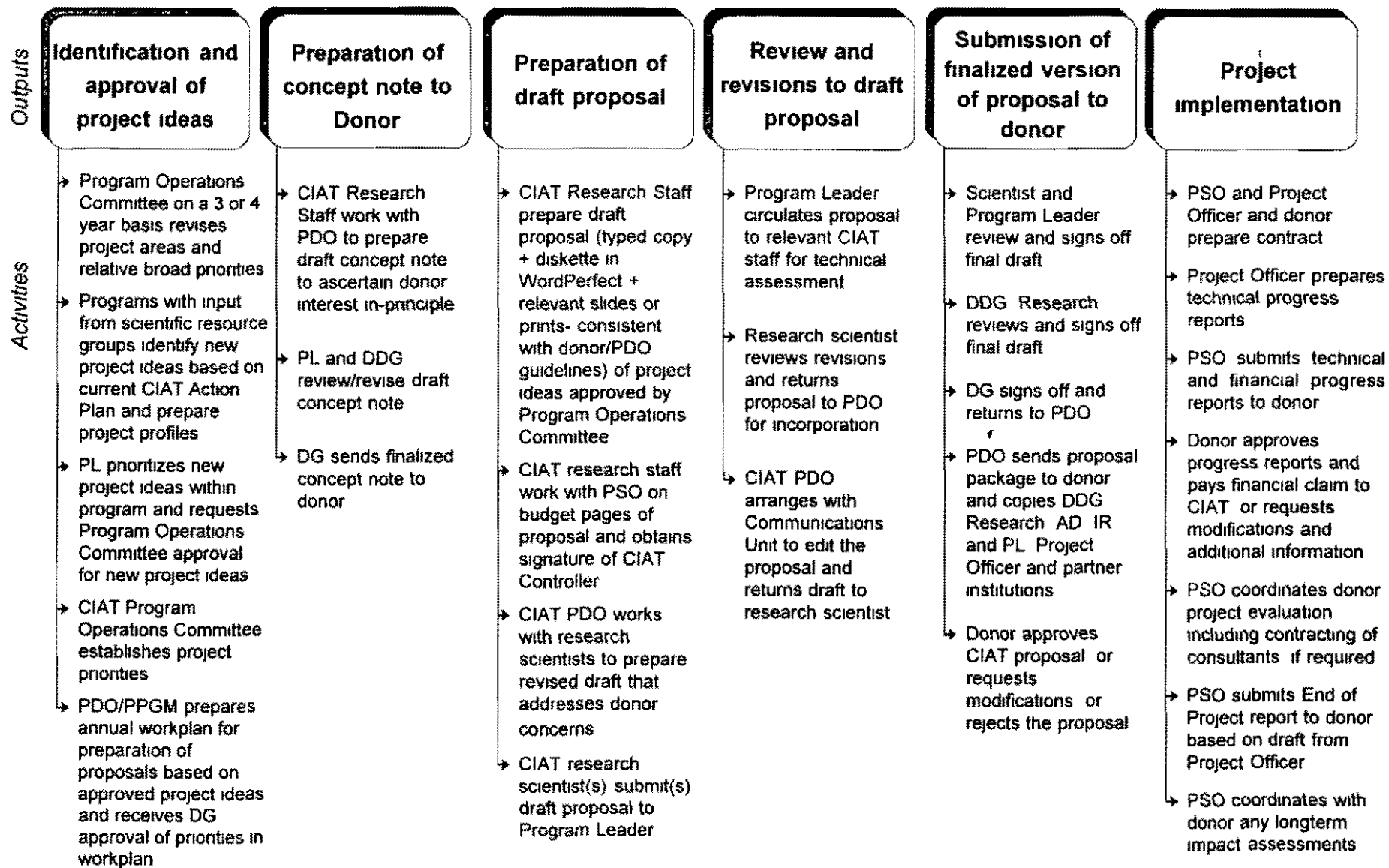


Figure 19

CIAT Responsibility for Approval and Prioritization of New Project Ideas and Proposals

Core Funded + Complementary Funded Projects	Internal CIAT Approval for Project Ideas and Forwarding of Final Proposal to Donor
<p>Formal submission of special project pre-proposals to donor where CIAT share of total budget is <\$200,000 or \$80,000 per year</p> <p>Formal prioritization of core funded projects and special project ideas to donor where CIAT share of total budget is greater than \$200 000 or \$80 000 per year</p> <p>Formal Submission of special project pre-proposals and final proposals to donors where CIAT share of total budget exceeds \$200,000 or \$80,000 per year</p>	<p>PL with DDG Research approval and PDO coordination</p> <p>Program Operations Committee makes recommendation to DG based on PPMG review of profiles</p> <p>DG with PDO coordination</p>

PL = Program Leader

POC = Program Operations Committee

DDG = Deputy Director General-Research

PPMG = Project Portfolio Management Group

DG = Director General

5.6 Responsibilities for Proposal Preparation

The lead institute should have an internal process for the technical and management review of proposals

For CIAT, the Project Development Office is responsible for producing the final version of all proposals where CIAT is the lead partner and which are submitted to outside donors for funding. This applies to proposals for both the extension of current projects as well as for new projects. Figure 20 illustrates the review process at CIAT for special project proposals

In order to ensure that CIAT proposals are of the highest quality, the Project Development Office relies on the assistance of various sections within CIAT including

Program and Scientific Resource Group Staff

- ♦ responsible for the technical merits of the proposal and preparing the first draft consistent with donor and PDO guidelines
- ♦ The Project Officer must allow sufficient time to circulate the draft proposal and invite comments from other senior staff and the DDG, Research. This peer review will help ensure the technical merit of the proposal. It is expected that at least one of the staff conducting the peer review of the proposal will come from another program than that of the Project Officer

Project Support Office

- ♦ responsible for providing program staff with standard costs for budget items and for arranging the signing off of the budget page by the Financial Controller

Communications Unit

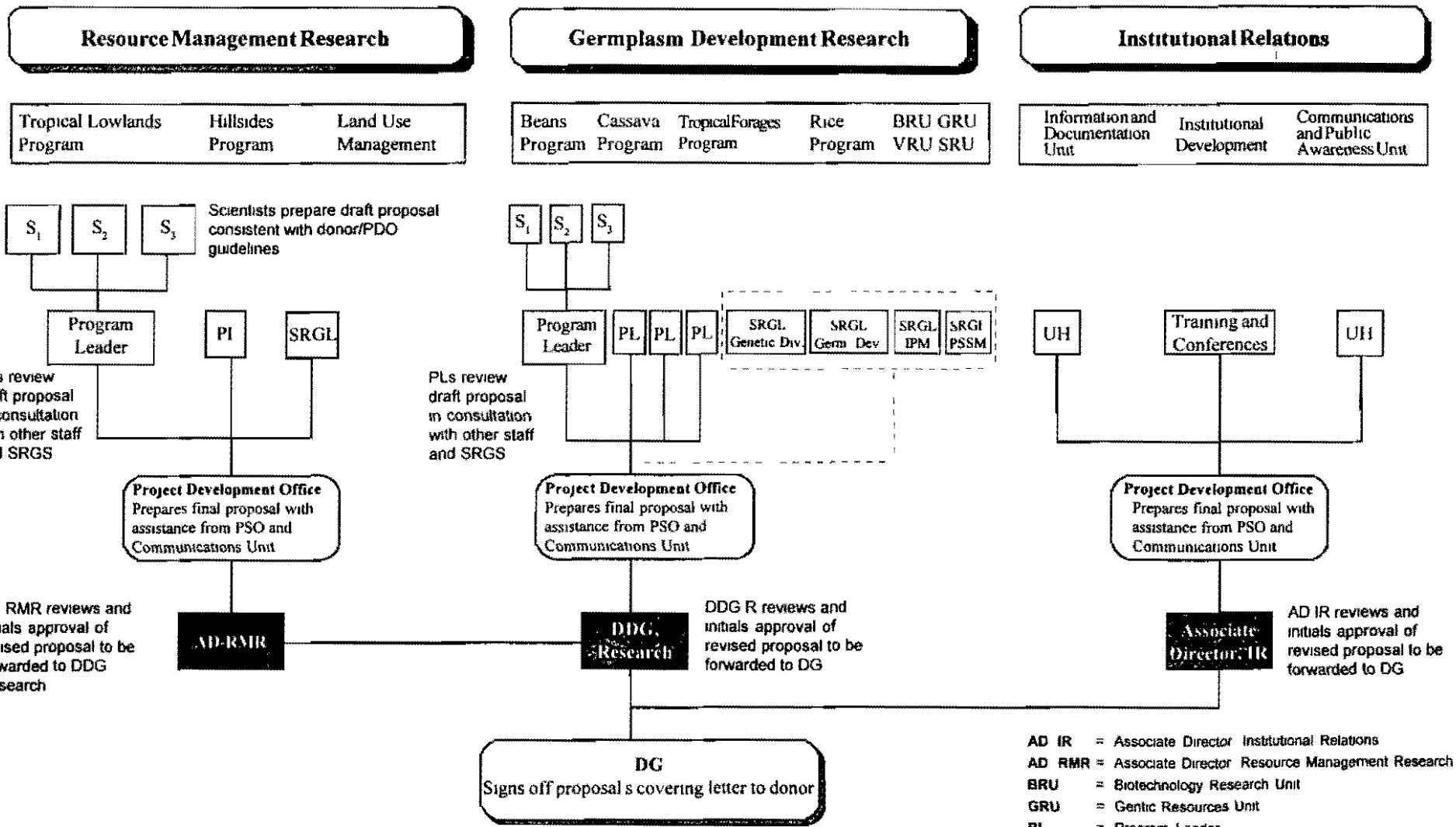
- ♦ responsible for editing the final version of proposal before it is converted to desktop publishing format

Project Development Office

- ♦ responsible for coordinating the proposal preparation process, ensuring that the proposal addresses major donor concerns, and preparing the final version of the proposal in desktop publishing format
- ♦ The PDO will arrange for translations of proposals into Spanish, if required, with CIAT's Communication Unit. The PDO will supply a copy of the final proposal on diskette in WordPerfect to the Communications Unit

Figure 20

CIAT Technical and Management Review of Full Proposals



- AD IR = Associate Director Institutional Relations
- AD RMR = Associate Director Resource Management Research
- BRU = Biotechnology Research Unit
- GRU = Genetic Resources Unit
- PL = Program Leader
- SRGL = Scientific Resources Group Leader
- SRU = Production Systems and Soils Management
- UH = Unit Head
- VRU = Virology Research Unit

This figure refers to the process of preparing and submitting a full proposal for external funding

- CIAT now uses desktop publishing software (PageMaker) for the preparation of the final proposal. Images from CIAT's considerable slide inventory are increasingly being incorporated into the proposal to emphasize key ideas in the text.

The preparation of high quality proposals is a time consuming process

- Program Staff should submit draft proposals to the PDO one month before the donor due date in order to allow sufficient time to prepare a final version, have a review by peers and the DDG, Research, and convert the proposal to desktop publishing format.

5.7 CIAT Guidelines for Costing Project Budgets

5.7.1 Indirect Costs

Project budgets should include an overhead provision to cover the indirect costs associated with implementing the project.

CIAT only levies overhead charges for indirect costs on non-core activities. These charges are presently 20% in the case of Colombia-based activities (where relatively more central services are provided on an indirect costing basis) and 15% in the case of activities implemented in other countries. Wherever possible, CIAT tries to recover these rates for indirect costs associated with special projects.

Both the Project Development Office and the Project Support Office are funded by the projects which include a component for indirect costs. Once the PDO and PSO costs have been covered, the rest of the indirect costs received from the donors for projects are then redistributed to CIAT's operating programs.

5.7.2 Personnel Costs (1995)

Associate 1	US\$33,690	Annually	Technician 1	10,520
Associate 2	30,175		Technician 2	9,200
Assistant 1	19,720		Technician 3	8,300
Assistant 2	15,300		Worker 1	7,955
Assistant 3	10,800		Worker 2	7,715
Bilingual Secretary	15,340		Senior Staff	107,000 (1)
Secretary	7,300		Post Doctoral Fellow	51,200 (2)

(1) *Include the benefits as follow:* Housing allowance, Hardship allowance, Retirement Insurance, Education allowance and travel, Home leave, Official vehicle and administrative fees.

(2) *Include the benefits as follow:* Housing allowance, Insurance and Official vehicle.

Graduate Student Stipends (1995)

Provision for room, board and insurance US\$1,000 monthly

5 7 3 CIAT Hotel Accommodation for Conferences (1995)

Single room	US\$ 54	per night
Double	73	per night
Apartment	89	per night (Accommodates 1 to 3 people)
Meals	18	daily (3 meals)

<i>For CIAT or ICA Employees</i>	Single room	US\$28	per night
	Double	41	per night
	Apartment	50	per night

5 7 4 Simultaneous Translation Costs for Conferences (1995)

Two translators are required for a conference 1995 cost is 295,000 Colombian pesos per translator per day

5 7 5 Daily Rental Rate for Conference Rooms (1995)

	<i>Without Interpretation Equipment</i>	<i>With Interpretation Equipment</i>
Auditorium	500,000 Col pesos	700,000 Col pesos
Nariño	250,000	400,000
Muisca Calima and Tairona	200,000	320,000
Tumaco and Quimbaya	150,000	

5 7 6 Vehicles Lease in Colombia

	<u>Annual Lease</u>	<u>Monthly Lease</u>
Sedan	\$3,200	270
Pick-up	4,500	390
Station Wagon	5,500	470
Truck	5,150	430
Bus	8,600	720

5 7 7 Provision for Publications/Documentation

This provides for publishing and distributing of research findings, acquisition of books, journal, and data base searches. It is suggested the Project Officer provide 3% of operating expenses (excluding capital) for these items.

5 7 8 Photocopies

Black and white	US\$0 04	per page
Color	US\$1 14	per page

5 7 9 Miami Office Purchases

Administrative charge for purchases	10% of FOB value
Shipping charge	\$30 per lb

5 7 10 Telecommunications Faxes Charges

Colombia	US\$0 94	per page
Central & South America	US\$4 06	per page
North America	US\$4 44	per page
Europe	US\$4 75	per page
Asia & Oceania	US\$5 75	per page
Africa	US\$7 19	per page

5 7 11 Airfares (1995)

The following are estimated airfares in US dollars (return, excursion class) for 1995

Latin America

Calito	Buenos Aires, Argentina	\$1,160
	La Paz, Bolivia	1,020
	Santa Cruz, Bolivia	1,240
	Brasilia, Brazil	1,080
	Rio, Brazil	940
	Salvador, Brazil	940
	San Jose, Costa Rica	370
	Santiago, Chile	1,170
	Quito, Ecuador	390
	Guatemala City, Guatemala	395
	Tegucigalpa, Honduras	920
	Mexico City, Mexico	790
	Lima, Peru	640
	Montevideo, Uruguay	1,160
	Caracas Venezuela	400

	<i>North America</i>	
Cal to	Ottawa, Canada	\$1,240
	Chicago, U S A	1,030
	Miami, U S A	655
	New York U S A	905
	Washington, D C	955
	<i>Europe</i>	
Cal to	Copenhagen, Denmark	\$1,500
	London, England	1,425
	Paris, France	1,425
	Frankfurt, Germany	1,425
	Rome, Italy	1,530
	Amsterdam, Netherlands	1,425
	Oslo, Norway	1,500
	Madrid, Spain	1,370
	Stockholm, Sweden	1,570
	Zurich, Switzerland	1,425
	<i>Africa</i>	
Cal to	Cairo, Egypt	\$1,710
	Nairobi, Kenya	3,065
	Lagos, Nigeria	3,000
	Kigali, Rwanda	2,800
	Johannesburg, South Africa	3,390
	Dar Es Salaam, Tanzania	3,065
	Kampala, Uganda	3,065
	<i>Asia</i>	
Cal to	Canberra, Australia	\$2,870
	Beijing, China	2,980
	Tokyo, Japan	2,515
	Manila, Philippines	2,880
	Singapore	3,140
	Taipei	2,880

5 7 12 Inflation

The Project Support Office will advise the Project Officer as to what inflation rate should be applied in order to convert a budget prepared in constant dollars to one which is based in current dollars. Most CIAT proposals submitted to donors will be based in current dollars with a stated inflation rate included.

5 8 Technical and Management Review of Draft Proposals

The lead institute should have an internal process for the technical and management review of proposals (e.g., see Figure 20). It is the responsibility of the Project Officer to allow sufficient time to circulate the draft proposal and invite comments from other senior staff and the DDG, Research. This peer review will help ensure the technical merit of the proposal. It is expected that at least one of the staff conducting the peer review of the proposal will come from another program than that of the Project Officer.

5 9 CIAT Organization

Figure 21 shows the management structure for executing CIAT's project-based work program. The emphasis is on decentralized decision making, coupled, where possible, with delegation of authority and responsibility to the project level. This "empowerment" of scientists and scientific teams is coordinated by research leaders (who represent specific research programs and SRGs) and by overall coordination at the directors' level. These reporting lines are expected to provide the Center with the necessary balance of flexibility on the one hand, and coordination and synthesis of research efforts on the other.

5 10 Relationship between Core and Complementary Funded Projects

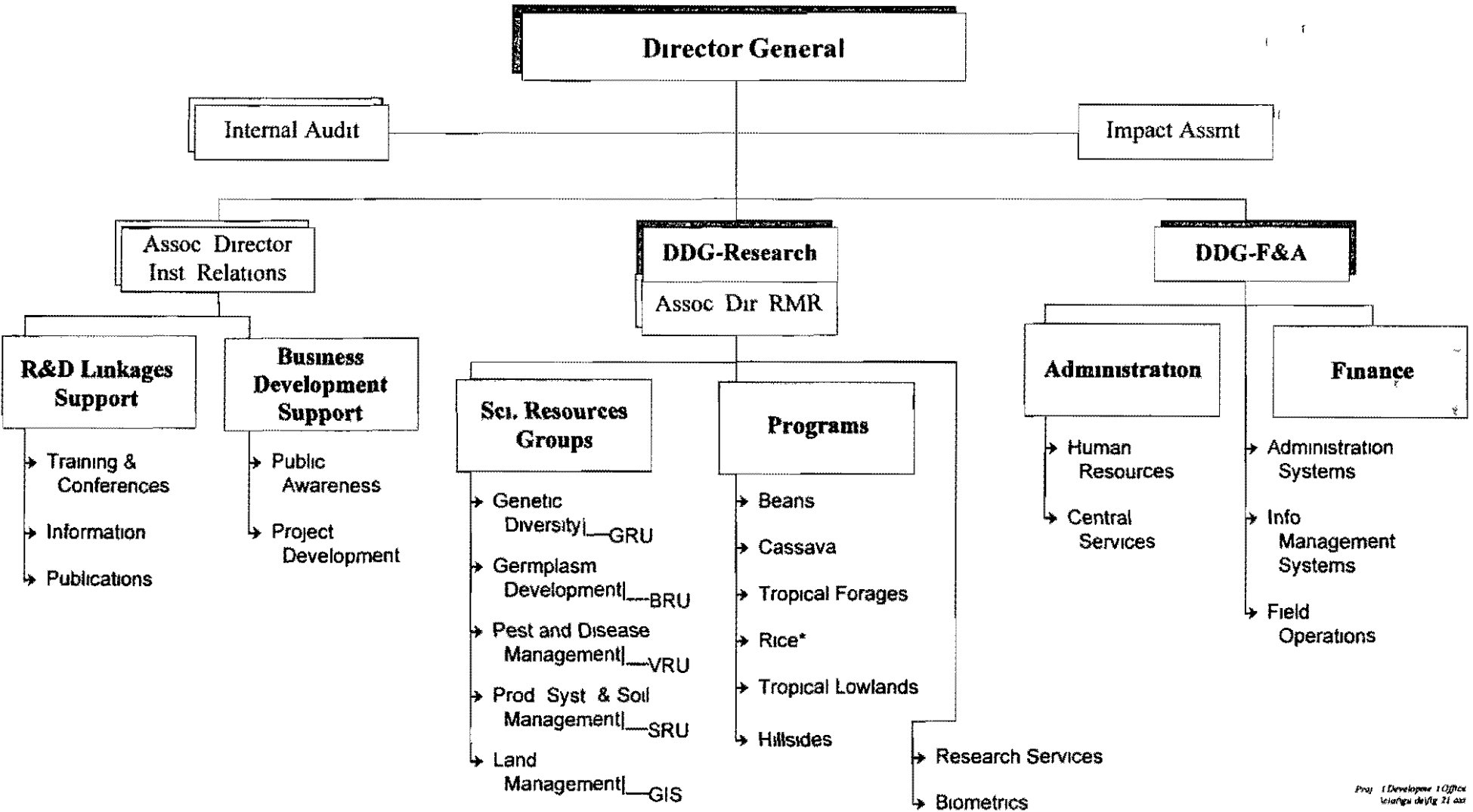
As CIAT's Action Plan was being implemented, projects were identified and developed as centers of activity, resource allocation, and accountability. The project-based organization of CIAT today is shown in Figure 22. The field defined by the axes "Scientific Resource Groups" and "Programs" is the domain of the projects, which, although differing in extent, cut across any number of research programs and scientific resource groups. But, for the sake of organization and accountability, each project is assigned to the research program to which it most contributes.

This *modus operandi* guarantees a high degree of interdependence and fluidity among projects. At the same time, the Center is assured that the sum total of the projects directly contributes to the mandates and objectives of each research program and SRG—and therefore to the overall mission and objectives of CIAT.

CIAT scientists generate outputs related to specific crops and agroecosystems through projects that are "housed" in six research programs and five scientific resource groups. Most financial resources are assigned to all projects together, with some central costs that cannot readily be attributed to projects (e.g., administration and maintenance).

Figure 21

CIAT Organization Chart

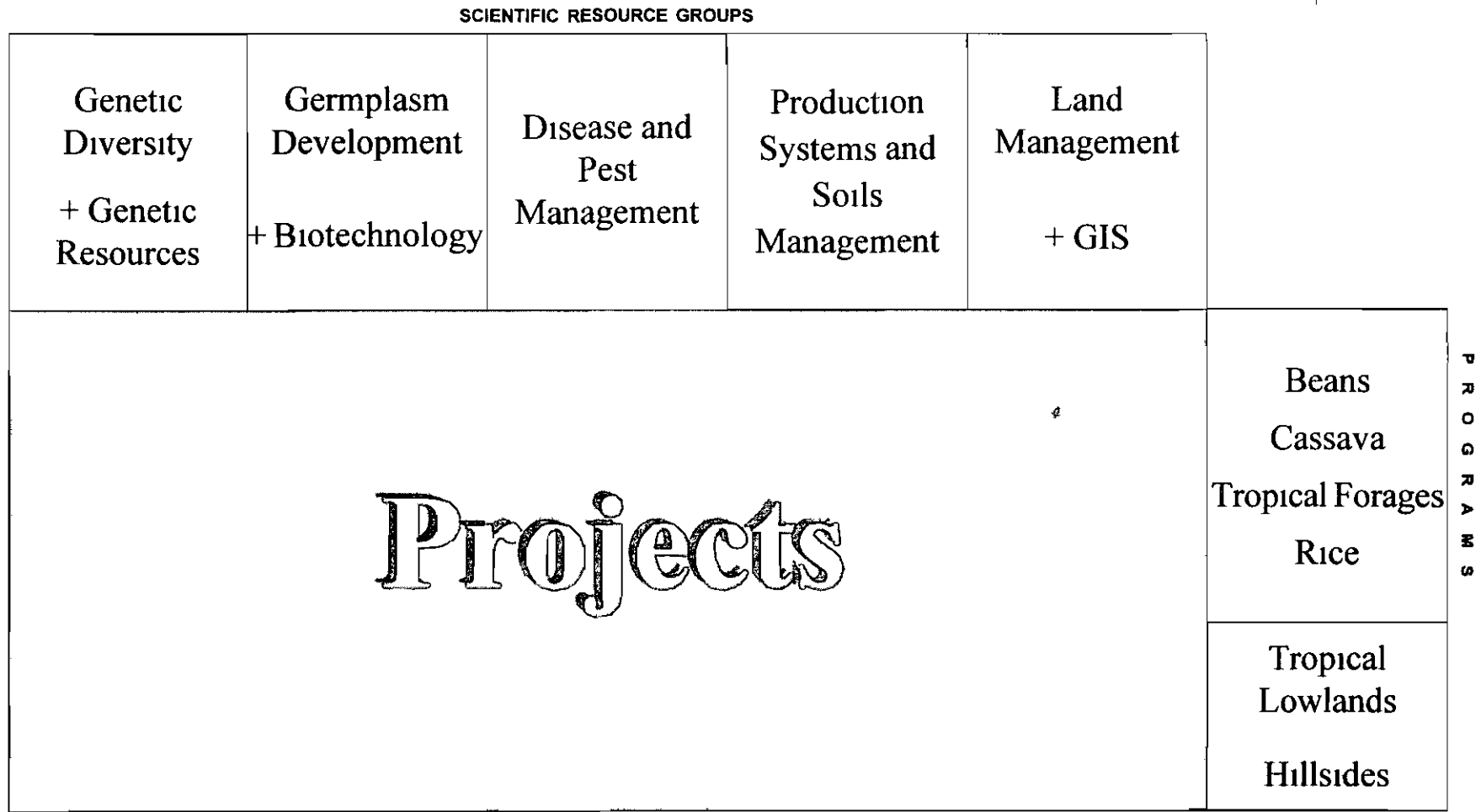


Proj. 1/Development Office
12/19/94/fig 21.doc

Through 1994 as a program funded with core (and complementary) funds. Core funds will be used after 1994 for rice projects focused on blast (lowland and upland) and on upland rice. Other lowland rice activities of high regional priority will be funded with complementary funds.

Figure 22

The Project-based Organization of CIAT Today



With projects as its key operational and budgetary unit, CIAT is able to achieve full transparency and accountability in its priorities, outputs, expenditures, and income. This enables the CGIAR, other donors, and national partners to see clearly how resources are deployed and the purposes for which they are used. Core resources provided by the CGIAR constitute the main part of CIAT's budget. These resources are assigned to projects according to priorities determined with the CGIAR and TAC. These priorities form the backbone of CIAT's project structure and these resources are its lifeblood.

But the project structure also enables the Center to attract other donors and investors. Priority is placed on attracting additional funding for outputs that contribute directly to the achievement of CIAT's core goals within its CGIAR mandate. Complementary funds are also sought to speed up and extend the scope of application the Center's core outputs (e.g., through regional germplasm networks).

Complementary resources can also be used to produce other complementary outputs and services demanded by CIAT partners, especially in Latin America and the Caribbean, where the Center fulfills an ecoregional function. These complementary outputs are closely related to CIAT core outputs and capacities (e.g., training in molecular markers or GIS methods). The resources generated to deliver these outputs allow CIAT to expand the capacity of its scientific resource groups (e.g., through extra visiting scientists or postdoctoral fellows).

Thus, CIAT's project structure enables it to merge funds from a variety of sources into a single total budget. These resources are deployed synergistically to produce an interrelated set of core and complementary outputs. All outputs derive from CIAT's core capacities, which expand or contract according to the resource available.