MODULE IV
PLANNING

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Note: Some pages which are intended for exercises and work during the course are omitted in the Participant's version. They will be handed out during the course.

I. INTRODUCTION

Planning is an act of formulating a programme for a definite course of action, the process that follows the initial identification of needs, opportunities, demands and expectations (Field Analysis – Identification process) and the design of responses to them (Strategy definition – Design process).

To be effective, planning must be carried out with due awareness of the union's operational capabilities and within the context of its principles, mission and institutional purpose.

Two attitudes to planning need to be mentioned: on the one hand unions need to be prepared for what may lie ahead, which may bring contingencies and require more flexibility than originally intended. On the other hand, awareness that a significant part of the labour market's future is shaped by the consequences of unions' own planning, actions or lack of action. Effective planning requires, therefore, the Leadership's vision and the development of well thought-out assumptions to help project managers to be prepared to handle the possible contingencies and also the unexpected ones.

Planning is also a process of creating and documenting formal procedures to handle activities including drawing up diagrams and maps, holding meetings to discuss the issues to be addressed, the objectives to be met, and the strategic relationship of projects and activities. Furthermore, planning may have different meanings for different people, depending on the political or economic context in which it is used.

In fact, there are many denominations or areas of planning. The most important are:

- Strategic Planning which in Module III was defined as "*the means the leadership uses to move organizations towards their desired future stages of development. It involves three major tasks: Situation Analysis, Strategy Formulation, and Path Finding"*. In other words, all the union has to do in order to develop feasible and coherent strategies.
- Programme Planning which is a process of organising several interdependent projects from various implementing teams or institutions with a common goal and converging objectives, or regular services usually recurring in a revolving calendar, i.e. a development programme, an institute's educational curriculum, a health-related programme. The course does not cover this sort of planning.
- Project Planning which in this course is considered the logical link between setting strategies and field action or service delivery.

Planning in organizations, public policy and unions is both the organizational process of creating and maintaining a plan and the psychological process of thinking about the activities required to create a desired future. It is a fundamental and structured thought process that is essential for the application and refinement of adopted strategies, and a process that also helps to integrate strategies and link activities through interactive projects.

Through planning the union draws up the "map" (project documents and procedures) that will lead it to achieve its goals. In planning, overall goals and strategies are translated into smaller manageable pieces of organised work, such as projects, with specific objectives, targets in a time perspective and allocation of resources.

Since in all cases, planning has a fundamental function to link goals with actions and resulting outcomes, it is important to highlight its critical function as the basis on which to develop specific action projects. Therefore, this module links planning directly with projects which are the means used by unions to produce results, be they to increase members' knowledge, people's awareness of the need for social change or the transformation of legislation affecting the labour market.

With the objective of providing leaders with a thorough and practical understanding of effective methods in project planning, this module addresses the essential elements of logical project planning in an effort once again, to highlight the vital from the trivial.

II. PROJECT PLANNING

1 Definitions

Project Planning is a process of drawing up plans or layouts for a union's project (everything a union intends to do should be handled as a project).

Project Planning is also a process of specifying goals and objectives and devising the means by which they can be accomplished. In other words, the process of choosing who are going to be involved, what will be done, how it will be done, and when, and where, to attain those goal and objectives.

2 Overview

The project planning documentation enables the leadership to ensure appropriate implementation, as it provides reference parameters that allow measuring progress and achievements and the delegation of the implementation responsibility to the most qualified individuals or teams within and mainly outside the Leadership.

The project planning document should provide a realistic view of expectations. Depending upon the activities, a project may cover a long, intermediate or short term. The Project Formulation document, generally called the Project Proposal, is the most important document for a Leadership seeking external support, and the key for improvement and growth, as it defines the framework and parameters within which activities will take place. Preparation of a comprehensive Project Proposal will not guarantee success, but lack of a sound one will almost certainly lead to failure.

2.1 Purpose of Project Formulation Document (Project Proposal)

Just as no two unions are alike, nor are their project proposals. It is therefore important that the proposals respond to the real necessities of the union.

A Project Proposal is an important deed of the union's operations. Together with helping the union obtain resources that it could not afford otherwise, it helps the Leadership to clarify, focus, and research the union's operations, development and prospects. It also provides a considered and logical framework within which the union can develop and pursue its strategies into the future through structured activities, within defined time-frames and specified allocation of resources. A Project Proposal is also a benchmark against which actual performance can be measured and reviewed.

2.2 Importance of the planning Process

A Project Formulation Document can play a vital role in helping to avoid mistakes and in recognising hidden opportunities. Therefore, documenting the planning process satisfactorily is essential.

In addition, a well-prepared Project Proposal demonstrates that the Leadership knows the union's situation and operations well and that they have thought through the project implementation process in terms of results and impact.

Planning forecasts the future, makes it visible to some extent, and forms the bridge between where the union is and where it wants to go.

3 The LFA[1] approach to field analysis and strategies

3.1 Overview

LFA, the Logical Framework Approach, is an instrument for objective-oriented planning of projects. The method may also be used for analysis, assessment, follow-up and evaluation of projects. What the method is used for depends on the role of its users and their needs.

[1] **Logical Framework Approach**: Project planning matrix and methodology referred to as, a derivative of the 1960/70s "LOGFRAME" (Logical Planning Framework), applied by many European Development agencies specifically to development cooperation project-planning.

Many European Development agencies, like many other donor agencies, apply, encourage or require from their cooperation partners that they use the LFA method, as an instrument to improve project planning, implementation, monitoring and evaluation. The systematic application of the method, with good judgement and sound common sense, can help to improve the quality, and hence the relevance, feasibility and sustainability of projects and their results

LFA is based on the idea that the user or the project owner, in this case, the union, assumes the main responsibility for the planning process, and regards a project as a successful one when the following conditions are met:

- commitment of all parties involved;
- project owner's sense of ownership and responsibility;
- defined roles for all parties involved (division of work & responsibilities);
- realistic objectives and realistic activities;
- specific and demonstrable fulfilment;
- clear interrelation of activities within the framework of the project;
- clear description of activities and link between inputs, process, outputs and objectives;
- capacity, the project group's ability to perform and to deal with risks;
- flexibility to adjust processes if conditions change, and
- participation of direct beneficiaries of the projects in the planning of the project.

3.2 LFA project cycle

The LFA project cycle shown in several of the training documents on the application of the LFA method shows the cycle from the funding agency angle but not from the field implementation aspect. It is important that union leaders understand that the LFA cycle shown in LFA manuals[2] is designed to help implementing organisations to organise the documentation process between the implementing organisation and the funding organisation. See Figure II, 3.2

In order to design and manage the project activities, field project mangers should use the Operational Efficiency Cycle which relates to what needs to be done on the ground and fits perfectly well with funding organisations' requirements. See Figure Module II, Figure II, 5. Its relationship will be seen in a much clearer form in Section 5 below when the LFA Matrix is related to the Operational Efficiency Cycle.

The LFA project cycle includes the following steps:

- Identification: which covers combined activities between the beneficiary organisation (e.g. the union), the implementing organisation (e.g. UNI) and the funding (solidarity support) organisations (e.g. FNV, LO/FTF, LO/TCO, LO, SASK, etc.), and the activities carried out to identify and analyse problems, objectives and strategies.
- Formulation: which covers the preparation of the proposal, including the work on the LFA matrix and the writing of the project proposal.
- Appraisal and Commitment: cover activities carried out by the implementing organisation and the funding organisation in relation to assessing the quality of the proposal and their estimation of the commitment from each partners in view of the project implementation as well as the demonstration of commitment by the funding organisation and the implementing and beneficiary organisation by arriving at an agreement on the management of the project and the funds..

[2] HANDBOOK of participatory project management, Part 1, Guidelines developed by FNV the Netherlands, LO/FTF Denmark, LO-TCO Sweden, LO Norway and SASK Finland, 2004.

- Monitoring implementation: the task carried out by all partners to monitor the progress of the project implementation including the annual reporting tasks and forms.
- Evaluation and Conclusion: usually cover the activities planned for evaluation (a planned evaluation workshop that should be part of the Project Formulation Document, where funding and implementing organisations' representatives usually participate. Prior to the evaluation workshop, the completion of final project-evaluation forms from the union and the implementing organisation is necessary).

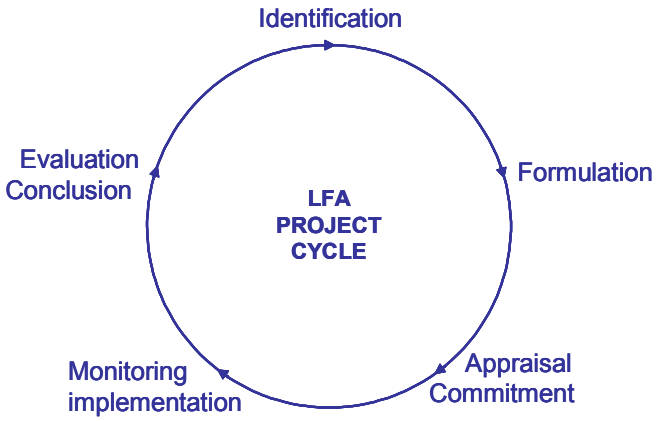

Figure II-3.2 – LFA Project Cycle

3.3 The LFA Problem, Objective and Strategy analyses[3]

The LFA training documents and handbooks prepared by the Northern European funding agencies and trade union SSOs propose a useful **Problem Analysis** method – derived from hypothetical causal models[4]. Starting with a participatory group brain-storming of problems and selection of a major problem, the method asks participants to identify its immediate causes and their underlying causes. The result is a tree that helps identify the roots of a major problem (see Figure II-3.3A). Planners are also encouraged to state the effects of these causes at the top, with the same tree approach.

The LFA also proposes a simple method to develop objectives just by reformulating all elements in the problem analysis tree into positive statements of desirable conditions (see Figure II-3.3B). The Problem Analysis tree is then transformed into a tree of solutions which serves as the reference input to state realistic and consistent objectives related to the union's major difficulties (see Figure II-3.3B). The LFA method calls this process **Objective Analysis**.

But the process does not finish there; the tree format facilitates the analysis of links within major branches (clusters) to design of coherent strategies that can become the basis for formulating projects with feasible responses to originally found root-problems. This process is called **Strategy Analysis**.

It should be pointed out however, that the Problem Analysis method can be a lengthy process and may trap planners into looking only for problems and overlooking opportunities. Nonetheless, the tree approach can also be used only in a positive way to identify effects of or requirements for embarking on a new venture or opportunity.

[3] HANDBOOK of participatory project management, Part 2, Guidelines developed by FNV the Netherlands, LO/FTF Denmark, LO-TCO Sweden, LO Norway and SASK Finland, 2004.
[4] A guide to Nutritional Assessment, Ivan Bheghin, Miriam Cap & Bruno Dujardin, World Health Organization, 1988.

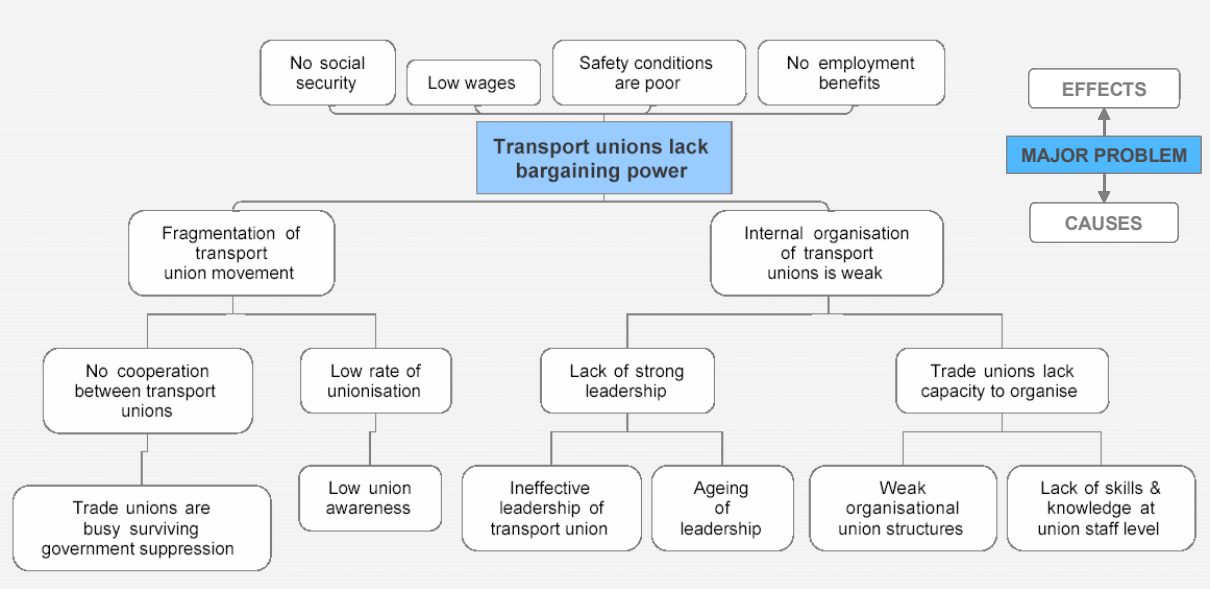

Figure II-3.3.A – LFA Problem Analysis

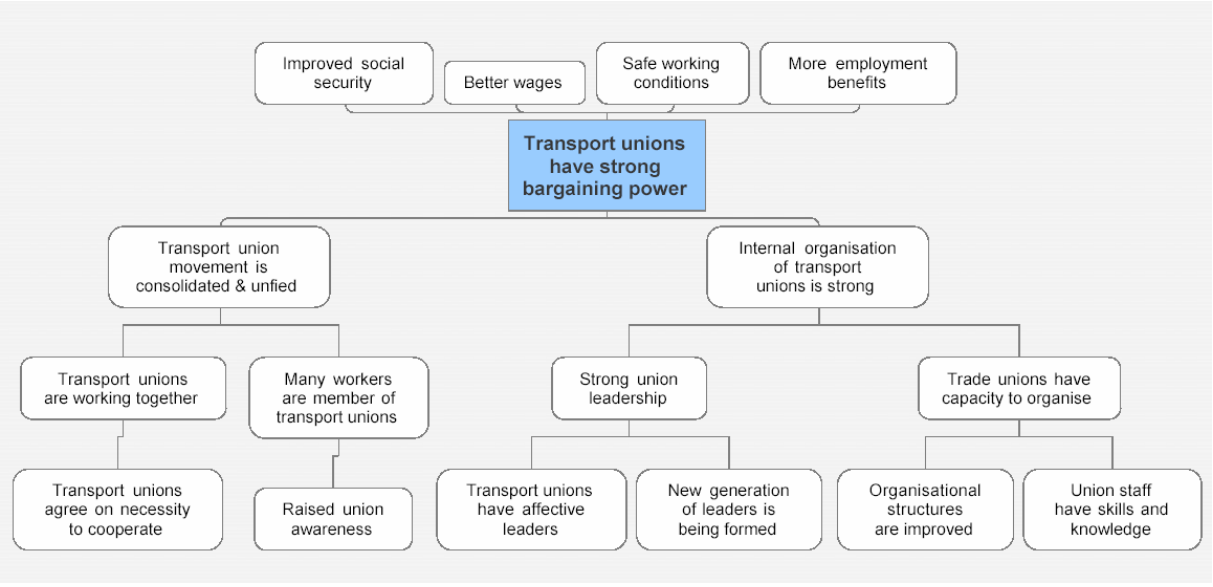

Figure II-3.3.B – LFA Objectives Tree

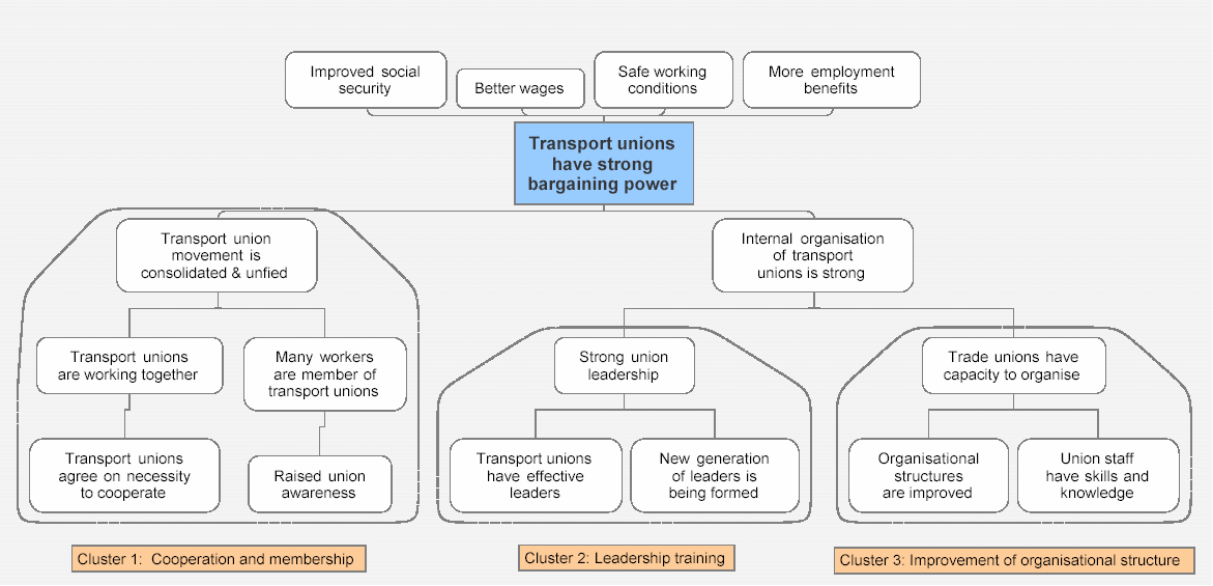

Figure II-3.3.C – LFA Strategy Design

3.3.1 The relationship between strategy and planning

Understanding the concept of strategy through the LFA handbooks referred in the text above may be complicated for the inexperienced project planner as sometimes strategy is used in terms of overall strategy from which projects will be the developed, and sometimes it is used as an internal project component calling it “project strategy” instead of project “implementation methodology”.

This course considers a strategy any tactical or methodological response stemming from the needs, demands and opportunities identified during either the Field Analysis proposed in Module II or the LFA method on Problem-Analysis⟶Objective-Analysis⟶ Strategy-Analysis, discussed above. Strategy is the conceptualisation (design) of a response to an identified need.

Strategy, understood as a response defines the parameters of actions which will become inputs to the planning of interconnected activities to achieve the specifications established in the design process. Therefore, strategy formulation is carried out prior to project formulation. Strategy is the basis on which to plan a project as it gives a vision of the terrain and understanding of the methods that should be used to implement the response. It also provides the limits of the types of actions to be carried out and the basis on which the action will take place.

While strategy provides all these parameters, it does not provide the details of resources and activities that the action-planning process will supply. Thus, the more a strategy statement complies with Module II, Section II, Paragraph 2.4’s Achievement requirements, the more effective it will be to help the planner draw up consistent action plans and projects.

4 Obtaining an appraisal of eventual projects for external funding

The union's Field Analysis and Strategy development processes provide the Leadership team with a very complete idea of what needs to be done and what types of activities need external funding.

The definition of various strategies, converted into Strategy Statements should furnish the Leadership with all the critical elements to develop specific projects, including the initial details for completing a formal Project Formulation Form or Standard Project Proposal required by funding organisations or SSOs. Normally, formal proposal forms match logical matrices for project planning and project management and require time-consuming tasks including detailed research. Furthermore, once a proposal is submitted, often, funding agencies request clarifications or simply reject project proposals because they do not fit their funding priorities or interests.

A useful method to avoid the frustration of re-writing or re-applying is to develop a short, structured and comprehensive document describing the intended project in a manner that fits the standard project formulation requirements in a brief form.

With this objective, UNI's Development and Region's Department (DRD) produced a "Project Concept Paper" which can be sent to obtain an appraisal from a funding organisation of the feasibility of obtaining funding for the project, before the full proposal is elaborated. This approach also helps to obtain feedback from a prospective sponsor on specific areas the funding organisation would like to be covered in the proposal, areas they may not be willing to fund and areas where there is more interest.

4.1 UNI-DRD's Project Concept Paper (PCP)

The next paragraphs provide a short description of the PCP structure and requirements. Once a PCP has been accepted by a funding agent (SSO or others), the paper and the sponsor's comments become key reference documents to develop the full Project Proposal.

When completing a PCP, all sections must be answered.

4.1.1 Identification: For project title, chose one that is unique so it will not get confused with other union activities.

4.1.2 Background information: include a well-thought out description of the socio-economic, political and labour situation in the project area and particulars related to the project. Some of the work done during the union's Field Analysis will help; especially that related to members' and stakeholders' needs, demands and expectations.

4.1.3 Problem analysis: Here too, the Field Analysis work will be very useful; a previous tree analysis of the problems to be tackled or of the opportunities or new developments envisaged should strengthen the argument and justification of the project.

4.1.4 Development objectives: Strategy statements stemming from the Field Analysis or Strategy Analysis trees can be easily expressed in terms of development objectives.

4.1.5 Specific Project Objectives: The PCP demands at least three objectives and should be very specific, in compliance with the "SMART Objectives" method explained in Module I, Section IV, paragraph 3.4.1, pages 27 and 28.

4.1.6 Target groups: Ensure that the target groups you propose as benefiting from the project are consistent with the initial Field Analysis and the background information provided in the first section of the PCP.

4.1.7 Project strategy: Based on the strategies and development objectives give a consistent but brief description of the activities the project will entail and of any sub-projects within it.

4.1.8 Expected results: these are the expected outcomes of the activities that will be carried out during the project implementation. For example, if the project aims to train 5% of the membership as shop-floor activists and to increase membership by 30% of the workers in the sector, the expected results will be a specific number of activists trained in specified areas of knowledge and abilities, with a progressive increase (in relative numbers) of membership in the medium and long-term, and the achievement of some specified improvements of the working conditions or wages within a certain period of time, etc.)

These too, should be consistent with members' and stakeholders' needs, demands and expectations identified during the Field Analysis.

4.1.9 Monitoring/Evaluation: This should include a brief and realistic description of the project monitoring and evaluation plans, especially of the envisaged monitoring systems and procedures and the expected review and evaluation activities.

4.1.10 Budget: Most funded projects last two years. However this does not restrain unions to plan shorter or longer projects, and in such cases the number of annual budgets should be consistent with the length of the project.

The PCP budgets are only reference budgets to help the funding organisation assess the value of the project vis-à-vis its envisaged cost. However, even if activities have not yet been planned and resource costs not specifically obtained, these budgets should be as realistic as possible. Detailed costs should be provided later when the formal proposal is presented. In this case only general estimated costs are required. In principle, they should not differ by more than 10% of the actual costs to be credible.

- Activities: in order to facilitate the rapid understanding of budgetary perspectives, activities could be grouped into the main three types of activities, with major explanatory titles;
- Materials/publicity: items for activities and publicity could be estimated in bulk at this point;
- Salary costs: staff and resource persons could also be estimated in one cost at this point;
- Infrastructure: this usually refers to offices, training rooms, hotel costs and basic equipment required to run the project. (Unions should be aware that major equipment such as computers and vehicles are not usually funded by these cooperation projects)
- Monitoring and administration: this may require the organisation of monitoring systems, limited software development and administration staff time and training.
- Review and evaluation: often these costs are related to Monitoring but could include specific evaluation and review meetings. A brief specification many be required or referred to in the PCP text (see 4.1.9)
- Extra items needed according to the project's characteristics, should be added to the text and to the budget.

III. PROJECT FORMULATION

The project formulation process is the desk-work involved in the preparation of the project proposal. Those assigned with this task by the Leadership may require data that may not have been completely compiled during the field analysis, design and initial planning processes. In such a case further research work may be required.

The information provided in the project proposal must be complete and consistent with the approved PCP, and with the conditions defined by the funding organisation. Often, funding organisations provide their own form to produce the project proposal. At the end of this module a project proposal form is included, which fits all the requirements of the LFA handbooks at the time this course was designed.

Practically all project formulation forms are based on the logics of project management, which includes all steps of the Operational Efficiency Cycle (see Module II, Figure II-5) although sometimes with different names, some more detailed, others presenting overlapping processes.

Project Formulation Forms aim to provide funding organisations with an assurance that the project has been appropriately designed, responds to field situations realistically, and is manageable and completely feasible.

The project proposal is also a plan of action for project managers, as it defines clear objectives, describes activities, allocates resources and budgets and sets time-tables and operational functions. The project proposal also provides measurement indicators that help setting monitoring-systems for both project managers and sponsors who can follow progress and evaluate achievements. Through monitoring, the former can identify digression from original plans and take corrective action in time and the latter can be reassured about the milestones achieved in the stages to project completion. From evaluation, both can learn how to improve in the next cycle.

1 Definitions[5]

(a) Project Planning Matrix: is a large table with 4 by 4 major rows and columns that describes the project design process and the logical interrelation of its elements (see (b) to (j)). Figure III-1 shows a project planning matrix

(b) Development Objective: is the expression of a strategy in feasible and achievable terms.

(c) Project Objective: is a specific aim to be attained within the project's life.

(d) Expected results: are the project's contributions to the development objective once the project has been completed.

(e) Indicator: is a quantitative or qualitative reference parameter against which one or several specific aspects of a project progress and achievements can be assessed.

(f) Sources of verification: are the supports of data or of information from which indicators can be obtained.

(g) Activity: is a process involving its normal three elements: inputs, implementation and outputs. In this course, inputs are called "resources".

Since a project can have many activities, the matrix's box for activities can contain rows of its own, one for each distinctive activity. In paragraph 2.1.6 an Activity Plan Form is provided to facilitate the task of project planners.

(h) Resources: are everything needed to implement an activity successfully (also called inputs).

[5] Compiled and updated from various LFA manuals reviewed and Project Management vocabulary.

(i) Outcomes: are the outputs of each activity and the number of outcomes originally planned. Their level of progress or achievement compared with the original plan are the indicators of progress or achievement of every activity. That is the reason they appear in the indicator's column of the matrix.

(j) Assumptions: are the conditions beyond the project management's control that are required for the project to succeed and risks which denote a potential negative or harmful impact of value that may arise from the planned activities.

(k) Time-table: A calendar of activities. A section for time-tables is provided in this course's Project Formulation Form and an Excel file is provided as an annex on the CDR.

2 Project Planning Matrix

Practically all Project Formulation Forms attach a project planning matrix at the end of the descriptive section, and ask organisations submitting proposals to attach the completed matrix to the proposal.

Often, inexperienced project planners start writing the project proposal straight away – on the descriptive section of the project formulation form – and it is not unusual for them to copy sections or paragraphs of sections from previous projects in order to save time as they feel they express well what they want to include in their new proposal. This technique is usually more time-consuming because the more the inexperienced project planner writes the more difficult it becomes to be really coherent to the eyes of experienced project managers who assess the quality proposals. Moreover, often these types of project-proposal writers try to fill in the matrix from the text already stated in the descriptive section and realise that it is even more difficult to match paragraphs logically in the boxes provided by the matrix, mainly because if one writes onto the form first it is easy to lose track of the logical sequence with which a successful project plan must be "packed".

Experienced project planners carry out the initial research (union field analysis), become aware of the unions capabilities, and design a feasible response ending up with a strategy that can be implemented through project work. Then they find out whether there is enough interest and reasonable probabilities of getting the project funded by circulating a PCP amongst prospective funding sources. At this stage, the experienced project planner has completed the first two steps of the Operational Efficiency Cycle: Identification and Design, and waits for the approval to go ahead.

Once the experienced project planner receives the initial funding commitment from the funding organisation, the Project Planning phase starts. Up to this point a number of research materials are in hand to fill in the project planning matrix. An initial intent to complete the matrix will help identify whether there are items that still need to be compiled. Only when the matrix has been completed can the experienced planner start writing the descriptive section of the project formulation form.

At this point in the planning process, the coordinated work of the project team is very important both to collect still-needed data and to review and edit the proposal in order to make sure that every piece fits and that the documentation has no weak parts.

2.1 Using the Project Planning Matrix

Each box in the matrix is interdependent with the others and a logical sequence must be followed to fill it in coherently. The elements of a Project Planning Matrix are shown in Figure III-2.1 including the definition of each box.

The logical project planning sequence is shown in Figure III-2.2

Project Planning Matrix					
Development objective(s) *The expression of a strategy in feasible and achievable terms*	**Indicators** *Quantitative or qualitative parameters against which progress toward and achievement of the Development objective(s) can be assessed.*		**Sources of verification** *Data or information supports from which indicators can be obtained.*		**Assumptions** *Conditions beyond the project management's control, required for the project to succeed, and risks.*
Project objective(s) *Specific aims to be attained within the project's life*	**Indicators** *Quantitative or qualitative parameters against which progress toward and achievement of the Project objective(s) can be assessed.*		**Sources of verification** *Data or information supports from which indicators can be obtained.*		**Assumptions** *Conditions beyond the project management's control, required for the project to succeed, and risks.*
Expected results *Project's contributions to the development objective(s) once the project has been completed.*	**Indicators** *Quantitative or qualitative parameters against which progress toward and achievement of the Expected results can be assessed.*		**Sources of verification** *Data or information supports from which indicators can be obtained.*		**Assumptions** *Conditions beyond the project management's control, required for the project to succeed, and risks.*
Activities	**Resources**	**Costs**	**Outcomes**	**Sources**	**Assumptions**
1. …					
2. …					
3. …					
4. …					
Etc.					

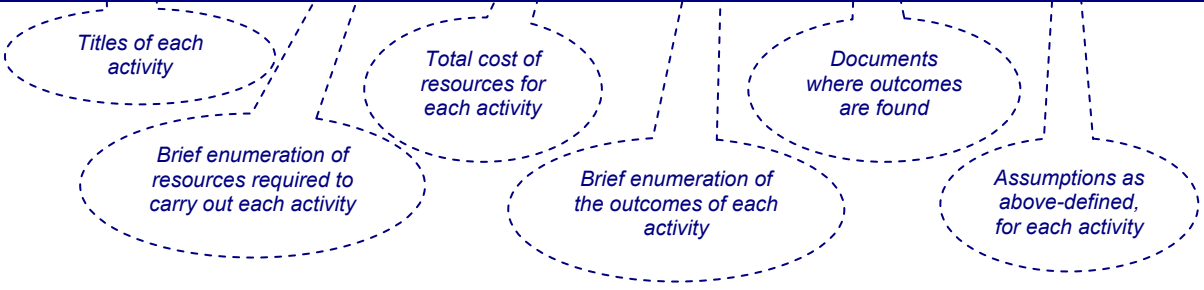

Figure III-2.1 – Project Planning Matrix

2.2 The effective project planning sequence

Planners should fill in the matrix starting with the first column to the left of it and fill in the boxes in descending order. There is no need to write long explanations, but complete and unique statements. The matrix provides the logical pathway to plan the whole project and leads planners to every aspect that is essential for the success of the project. Overlooking any box or being trivial in its content could be the critical cause of failure.

The vertical direction (**arrows "1"**) ends with the denomination of each activity. Once all activity titles have been enumerated and put in the right order, the path sends the planners back to the top to review consistency and assess if the envisaged activities correspond to the objectives and results aimed at or whether there is a need for amendments before going on further.

Once the planners are satisfied with the initial structure and coherence from the Development objectives through to every activity, and that all activities have been appropriately enumerated, a separate plan for each activity must be completed (**arrows "2"**) on an Activity Plan Form. A sample is shown and explained under paragraph 2.3.5.

Once all activities have been appropriately planned, key information is entered on the "Time-table" explained in paragraph 2.3.6 and on the corresponding rows to the left of the activity titles in the matrix (**arrows "3"**): under Resources, a summery of the type of resources needed; under Costs, the total cost of resources for each activity; under Outcomes, the expected outcomes; under Sources of verification, the supports from which the data on the amount of outcomes or progress to be achieved can be obtained, and under Assumptions, the assumptions made that will secure each activity's success.

Once all activities have been planned, the path sends planners to the Expected Results box in order to assess whether all activities planned will actually have the impact expected in terms of results. Otherwise, amendments can be made then, before going on further.

When planners are satisfied that activities will produce the expected results, the path takes them to the horizontal row for Expected results (**arrows "4"**) to define the indicators of progress and achievement for expected results, the sources of verification of such indicators and the assumptions made at this level. Once these level boxes are completed, the path takes the planners to the next level above, Project objectives, to carry out the same tasks and so forth to the top of the matrix. Once the last top assumption has been recorded, the path sends planners to the beginning of the process suggesting a full team review before completion of the Project Planning Matrix.

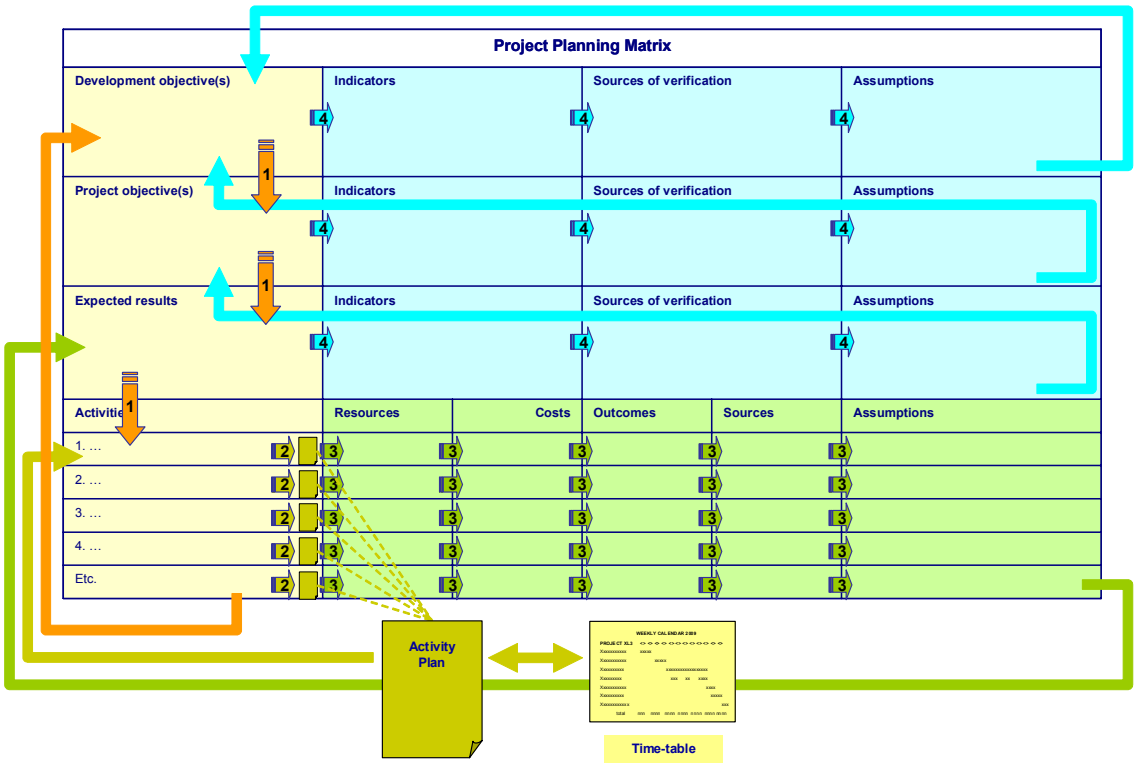

Figure III-2.2 – The Project Planning Matrix's logical sequence

2.3 Content of the Matrix boxes

The next paragraphs suggest the content required in each box and the sources of the information that should be used to complete the matrix boxes from the work already carried out during the field analysis, and design processes:

2.3.1 **Development Objective(s)**:

The achievement of the development objective usually requires a number of inputs and extends beyond the completion of an individual project. Therefore, more than one project may contribute to a single development objective; at the same time, a single project may contribute to more than one development objective, too.

Since a development objective stems from a strategy statement, let's assume that the strategy title is "*to provide computer and Internet training to all members so that they are better prepared to keep and improve their employment situation in today's technological workplace"*. Let's assume, too, that the strategy statement provides all necessary details required and that there is a thorough analysis of the field situation upon which the response plan is based. An example of Development objectives could be the following:

- *In order to make our members competitive workers in the new technological revolution the union will provide IT and Internet training to all members during the next 4 years with the support of Solidarity Support organisations and employers in our sector.*
- *To achieve recognition of the union within the sector and the labour market as a union providing its members with the tools to strengthen their abilities to compete in the current labour market.*
- *Develop activities that in the medium or long-term become self-sustainable.*

2.3.2 **Project Objective(s)**:

A project objective must conform to the "SMART Objectives" method (See Module I, Section IV, Paragraph 3.4.1). Following in the direction of the above development objectives, examples of project objectives could be:

- *Train 50 trainers in Computer-aided Technical Drawing, Excel, Word and E-mail, amongst members, during the first 12 months of the project so they are able to provide respective courses to our 7'500 members in 25 local unions in the following three years.*
- *Draw up an IT training programme for members within the next 6 months, including a calendar of courses for all locals, ensuring that all members can be covered during the three years following the initial trainers-training process.*
- *Create an IT-training-programme management-team including selected trainers and members of the Leadership to be responsible for planning and running the programme and for informing of its progress to the Leadership on a regular basis.*
- *Disseminate information about the IT programme throughout the union and sector workers, ensuring that all the information reaches all members at least.*
- *Provide access to the same training programme to sector workers and others, for a fee, by allowing an increasing number of non-members to register in the courses after the first round of courses.*

2.3.3 **Expected results**:

Results should be sustainable in the long-term, and imply no further cost to the union once they reach their final stage of development. This requirement should be a condition for the definition of project objectives.

Following the example above, some of the expected results could be:

- *The union has become capable of providing continuous needed IT-training to members and non-members in the time lapse of a year providing a standard course in 25 different locations in the country.*
- *The union has created a positive impact on the sector by raising their members' capabilities to maintain and improve their jobs.*
- *The union has significantly increased its membership due to the impact of this project.*
- *The union has increased its position within the labour market.*

2.3.4 **Activities**:

Activities are the core of a project as they produce the outcomes that ensure the achievement of objectives. Each activity should conform to all parts of the Operational Efficiency Cycle (see Module II, Section II, Paragraph 5). Since the success of the project depends essentially on the efficiency with which each activity is carried out and the effects of its outcomes, it is crucial that each activity be carefully planned and executed.

In the box for activities, the title of each activity should be listed. Normally, in order to determine which activities need to be to carry out, planners should go back to the Project Objectives and list all the activities that are necessary to achieve each objective. If an objective analysis tree has been drawn up before, the tree will facilitate the listing of the necessary activities.

Once the list of activities has been entered in the Activities' box, planners should review the list and determine if they correspond well to what needs to be done to attain the objectives and expected results stated in the above boxes. In some cases, this review helps to better express objectives and expected results or to modify the statement of activities to adjust them to project goals. Ordering activities in a chronological sequence according to their foreseen start date helps to organise a time-table later.

2.3.5 **Activity plans**:

Once the list of activities has been drawn up and revised, the actual process of each activity needs to be planned. Some may find this step cumbersome as the task is to visualise each activity process and record it as the planners would like it to be when it actually takes place. However, going through this task will avoid or help deal with unexpected situations in the future, and will provide a solid base to the project plan.

The course CDR provides an Activity Planning Form template that should be used to record every Activity Plan as described below:

- Project identification number: every Activity Planning Form should include the Project identification number. When several projects are being planned, it is easy to get documents mixed up so this helps to avoid unnecessary confusion.
- Activity identification number: this number is very important to include and should be used to label other documents that correspond to the same activity to keep files in order, and again avoiding unnecessary confusion.
- Organisation: identifies the union as the owner of the document.
- Project title: helps to better visualise where the activity plan belongs.
- Project manager: identifies the person responsible for leading the project.
- Activity title: gives the activity a distinctive name to refer to.
- Activity leader: identifies the person responsible for leading the activity.
- Start date: and End date: place the activity in the calendar.

- Purpose: tells the reader the reasons for which the activity takes place. The purpose should be stated like an objective, using the "SMART objectives" method.
- Process description: This section should include several paragraphs describing how the activity should take place. It should also include the responsibilities of the "suppliers" (those who provide inputs to the activity) and the responsibilities of the "customers" (those who receive from the suppliers). Planners should remember that the roles of customers and suppliers may be interchangeable depending on who is supplying and who is receiving at different instances during the activity.

  In some cases activities that have certain duration or are repetitive require a calendar or time-table of their own.

  When there are several suppliers, the description of their various responsibilities is also required.
- Resources required: Everything that is required for the success of the activity should be listed here, e.g. trainers, classrooms, materials, equipment, travel, lodging, meals, allowances, staff, etc. (If the 10 rows provided in the table are not sufficient, further rows should be added by temporarily suspending the form protection).
- Measurable outcomes expected: This section should provide details of how achievement of the stated purpose can be demonstrated, in measurable or observable terms.

The text of the Activity Plan Form will be invaluable to the Activity Leader to ensure the successful implementation of the activity and to correct digressions in the implementation process from the plan in time. The text will also serve as a key reference to complete the activity-related boxes of the Project Planning Matrix.

However, before transferring data onto the matrix, the opening of a Time-table with the first activity creates a useful project management tool.

2.3.6 **Time-table**:

As soon as each activity has been planned timing and financial needs should be transferred to the Time-table that helps visualise the implementation of the project in a time perspective. This is very useful to avoid overload of activities and to avoid planning activities on dates that would make them clash with other priority operations.

The Time-table is a document that indicates the title of each activity, date of start and date of completion. The best display of a project time-table is a Gantt chart[6], and an Excel Book sample is included in the course CDR. The sample provided has fields for the titles of up to 20 activities (it does not matter if there is no room for the whole title as the activity number should help avoid confusions). Each month has columns for each week within the month where a mark can be typed to indicate that the activity takes place in that week. Underneath each week row there is a field for the activity cost. The Excel sheets have been programmed so that to the left, under the activity title the total annual cost of the activity can be identified and at the bottom, the total funding requirement by month can be seen, as well as the total project annual cost.

Leaders with knowledge of Excel may use this template to adapt it to their needs and copy-paste it onto the appropriate section of the Project Formulation Form.

2.3.7 **Resources:**

Here a summary of the resources listed in the Activity Planning Form should be entered. These could be staff, facilitators, volunteers, infrastructure, equipment, materials and ideas. Therefore, the box for resources should contain sub-columns and rows of its own for each set of resources related to each activity in the Activity box.

[6] A chart (named for Henry Laurence Gantt) that consists of a horizontal bar chart that graphically displays project schedule, depicting progress in relation to time and often used in planning and tracking a project.

2.3.8 **Costs**:

Planners should notice that next to the title "Cost in" the matrix provides a field to enter the currency in which costs appear. Normally, to facilitate international transactions these costs are requested in US dollars (USD), but there could be exceptions.

To the right of the box where the summary of resources required has been entered, the total cost of resources from the Activity Planning Form should be entered.

2.3.9 **Outcomes**:

This section is particularly useful to prove to project assessors that the project has been well designed and put together. It provides the assurance that the activities will contribute measurable outcomes contributing to achieve expected results and objectives.

In this section, the items listed under the section "Measurable outcomes expected" should be transcribed. They will also constitute key indicators to eventually demonstrate progress and evaluate achievements.

2.3.10 **Review of first column consistency**:

Once planners have completed the planning of activities, there is a good opportunity to review the consistency of all pieces so far and make amendments if necessary.

2.3.11 **Indicators:**

Indicators can be quantitative or qualitative. Par example, "the number of training workshops per year" (quantitative); "the level of members' satisfaction with the training provided" (qualitative).

Comparing indicators within a lapse of time provides evidence that certain results have or have not been achieved. Indicators enable decision-makers to assess progress towards the achievement of intended outputs, outcomes, goals, objectives and results.

2.3.12 **Sources of verification:**

Possible sources of verification are documents, membership registration data, minutes of meetings, evaluation reports and other sources that provide information or data and allow judgement of the actual progress towards objectives and results. To be valid, indicators must be comparable: for example one can compare membership trends year after year, but one cannot compare satisfaction with the leadership with attendance to meetings; however one could compare attendance to meetings and participation in a protest rally in relation to the number of members called to participate in either activity.

2.3.13 **Assumptions**: (& risks)

They can be internal or external: for example assuming that the project has the support of the N.E.C. and the key leaders required for its success; assuming that members are highly motivated over a given issue; assuming that the union's political position is widely acceptable externally; assuming that the union is strong enough to take certain risks; assuming that risks are small enough to go ahead with a risky plan. Assuming that financial conditions will be stable through out the project's life, or the contrary, assuming that there will be a x% inflation per year, and budgeting according to this assumption.

People make all sorts of assumptions everyday. Many of them are even unconscious such as assuming that every member of the group will be alive the next day to continue the work: simple assumption and most plausible which could be considered a correct assumption. Another could be that every one will be full of energy the next day, clear-headed and rested, when the schedule includes a late-night party the previous evening. This assumption would probably be considered a wrong assumption.

It is important to state as plausible assumptions as possible so that they provide clear signals of what the future conditions for the project's life will be and so that precautions can be logically planned.

2.4 Filling the Project Formulation Form or Project Proposal Form

The Project Formulation Form is the most important document to succeed in obtaining funding for the project. It must be interesting, easy to ready and well-organised so that the writing flows easily from one topic to the next. It should be carefully prepared, avoiding typographical errors. Once it has been completed, a spell-check is always advisable. Having it read and edited by an English mother-tongue and experienced project manager is also useful to ensure consistency and coherence with the logical project planning method.

It is also important to keep in mind that the form will be read by experienced project managers at the external funding organisations' offices; they are usually experts in logical project planning who assess projects by rating the quality of each section. They receive tens or hundreds of projects; so the union's project is just one of many, often competing for the same type of funding. Frequently, project assessors request further information and still, only a small number of projects get the requested funding.

For the purpose of this course, a Project Formulation Form has been compiled covering all the requirements standard SSO project-application forms demand and also fitting the requirements of logical planning matrices. On the course CDR a template of this Project Formulation Form is included.

In the next paragraphs each part of the form[7] included in the CDR is explained and suggestions for completing each section are given:

Identification fields: all these fields must be completed. However, some of them can only be completed at the end of the project planning process.

Index: the index is automatic. Once the form has been completed, a mouse right-click on the index shaded area will allow the index page-number update.

Annexes: Two annexes are compulsory to this form: the Project Planning Matrix and the Weekly Time-table which must be prepared before completing the Project Formulation Form. There are eight fields for planners to specify other annexes they may deem necessary to attach.

2.4.1 Executive Summary: from all sections, this is the most important; because the assessor will read it first. It should give the assessor a **complete understanding of the project in no more than two pages**. These two pages should describe the project in an appealing manner so that the assessor is motivated to read the whole document.

However, **this is the last section to be completed**. Sections 2 to 9 of the form must be completed first. Then, only through re-reading each section one by one and highlighting the important parts of each can one come up with a meaningful summary.

2.4.2 General information: this section must be used to provide all the details that will be needed for communications and eventually for managing the allocated funds.

A field is included at the end of each part to describe the expected support to be provided by the "Coordinating organisation" (e.g. the GUF's HO) and the "Coordinating organisation's regional structure" (e.g. the GUF's RO). The text in these sections should be agreed upon with the respective office.

The part corresponding to the "Beneficiary organisation" is intended for the applying-union to be introduced. Planners should use existing materials that describe the union well and transcribe relevant text from them. Documents such as the union's Mission Statement and the Leadership's Operational efficiency policy provide a positive image of the union.

[7] Project Formulation Form, adapted from LFA manuals' recommendations and the standard LO/TOC Project Application Form.

2.4.3 Background:

2.4.3.1 **General view**: a general discussion of the union's role and its relationship with the sector and national labour movement will help the assessor to focus on the context where the project will take place. A reference to the country and its labour situation's history is also useful, but must be brief, especially on situations about which there is extensive information in the media. The background should reinforce the assessor's attention to project purpose not divert it.

2.4.3.2 **Field analysis and project design processes**: here, a description of the research and design work carried out prior to the project formulation phase should be included. That is, a description of the work done up to completing the Project Concept Paper.

2.4.3.3 **Participatory approach**: this part gives room for identifying all parties involved in the project and those affected by the problems the project addresses. It is wise to categorise them according to criteria of importance and to discuss whose interests and views are to be given priority. Planners will find most of this information by reviewing the documentation prepared during the work carried out prior to the formulation and should be able to summarise it in a consistent way.

2.4.3.4 **Problem/opportunity analysis**: The results of the research carried out prior to the project formulation process can be summarised in this section. To transcribe full analysis trees here would probably make the document heavy and cumbersome, but a succinct description could be effective. Planners can attach details in one or several annexes and refer to them in the fields below the Index, on page 1.

2.4.3.5 **Discrimination analysis**: depending on the social and cultural characteristics relevant to the situation, various types of discrimination could have already been identified during the field analysis. A description of the findings taken into consideration in the project design should highlight them, together with explaining the type of participation and roles discriminated groups or minorities will have during the implementation of the project, and the benefits they are expected to gain. The most common types of discrimination involve gender, ethnicity, nationality, creed, age, health condition, political affiliation and other personal characteristics.

It is important that the union's anti-discriminatory policy be consistent with the surrounding society. For instance, if the proportion of women potentially apt for the types of jobs in the sector is 50/50, or if the proportion of the population apt for a job in the sector is characterised by particular social ratios, it is abnormal for proportional gender representation or the representation of people from certain groups not to be equivalent amongst the workers in the company, the union's membership and the union's leadership.

2.4.3.6 **Objectives' analysis**: this section should explain the methodology used to develop objectives. It does not require the statement of objectives which belongs to section 4, but the method used to work them out.

2.4.3.7 **Target groups**: the target groups that will participate and/or benefit from the project should be described here. The information should be found in the documents from the initial field analysis research, problem analyses and objective analyses. Some target groups may have already been mentioned in section 3.5 of the Project Formulation Form, and in this case appropriate reference and explanation should be included here.

2.4.3.8 **Strategy analysis**: this section should explain the methodology used to develop strategies and describe the strategies adopted which serve as the "umbrella" for the project. In order to give a full picture of the union's strategic approach and how the project fits into the union's overall strategies it may be appropriate to present here a wider perspective than just the strategies directly supporting the development objectives, to demonstrate the union's variety of concerns and plans.

2.4.4 Objectives:

This is a section where the work done in completing the Project Planning Matrix will be most useful since it will only require transcribing the text already inserted in the matrix's boxes. The advantage of having used the matrix is that the matrix has obliged planners to follow a logical process. Now, they can be confident that each paragraph complies with what assessors expect in each of the following paragraphs.

Supplementary explanations could be added to ensure that assessors will fully understand the objectives and their relationships. However, the more concise the objectives are stated (and properly structured), the easier they are to understand.

2.4.4.1 **Development objective(s)**: here, the text in the box "Development objective(s)" of the Project Planning Matrix should be transcribed. For further reference, see Module I, Section IV, Paragraph 3.4.1 and this module's sections II, Paragraph 4.1.4 and III, paragraphs 1.(b) and 2.3.1 above and figures III-2.1 and III-2.2 above.

2.4.4.1.1 Indicators of progress and achievements and sources of verification: here, the text in the respective boxes of the Project Planning Matrix, to the right of the box for Development objective(s) should be transcribed and appropriately combined or independently labelled. For further reference, see the sections III, 1.(e) and (f), 2.3.11 and 2.3.12 above, and figures III-2.1 and III-2.2 above.

2.4.4.1.2 Assumptions and risks: here, the text in the box "Assumptions" in the top row of the Project Planning Matrix, to the right of the box for Development objective(s), should be transcribed. For further reference, see the Section III, paragraphs 1.(j), and 2.3.13 above and Figure III-2.1 and III-2.2 above.

2.4.4.2 **Project objective(s)**: here, the text in the box "Project objective(s)" of the Project Planning Matrix should be transcribed. For further reference, see Module I, Section IV, Paragraph 3.4.1 and this module's sections II, paragraphs 3.3 and 4.1.5 and III, paragraphs 1.(c) and 2.3.2 above and figures III-2.1 and III-2.2 above.

2.4.4.2.1 Indicators of progress and achievements and sources of verification: here, the text in the respective boxes of the second row of the Project Planning Matrix, to the right of the box for Project objective(s) should be transcribed and appropriately combined or independently labelled. For further reference, see the sections III, 1.(e) and (f), 2.3.11 and 2.3.12 above, and figures III-2.1 and III-2.2 above.

2.4.4.2.2 Assumptions and risks: here, the text in the box "Assumptions" of the second row of the Project Planning Matrix, to the right of the box for Project objective(s) should be transcribed. For further reference, see the Section III, paragraphs 1.(j), and 2.3.13 above and Figure III-2.1 and III-2.2 above.

2.4.4.3 **Expected results**: here, the text in the box "Expected results" of the Project Planning Matrix should be transcribed. For further reference, see the sections II, Paragraph 4.1.8 and III, paragraph 1.(d) and 2.3.3 above and figures III-2.1 and III-2.2 above.

2.4.4.3.1 Indicators of progress and achievements and sources of verification: here, the text in the respective boxes of the second row of the Project Planning Matrix, to the right of the box for Expected results should be transcribed and appropriately combined or independently labelled. For further reference, see the sections III, 1.(e) and (f), 2.3.11 and 2.3.12 above, and figures III-2.1 and III-2.2 above.

2.4.4.3.2 Assumptions and risks: here, the text in the box "Assumptions" of the second row of the Project Planning Matrix, to the right of the box for Expected results should be transcribed. For further reference, see the Section III, paragraphs 1.(j), and 2.3.13 above and Figure III-2.1 and III-2.2 above.

2.4.5 Activities:

This is another of the sections where the work done in completing the Project Planning Matrix will be most useful. It will require summarising or transcribing the text already inserted in the matrix boxes on the "Activities" row.

If before completing the fourth row of the matrix, activities were appropriately planned, using the Activity Planning Form, all the boxes in this row should be easy to summarise.

If activities are well presented in the Project Formulation Form and Project Planning Matrix, there is no need to attach activity planning forms to the project proposal. However, they must be kept with the project documentation in a well-organised file for reference if questions arise and for external evaluators. Copies of the Activity Planning forms should be also given to the Activity leaders in charge, who should also have access to the rest of the project planning documents.

Planners should ensure each paragraph in the Project Formulation Form complies with the matrix's logic. Supplementary explanations could be added to clarify activity processes and their relationships if necessary. However, concise descriptions may facilitate understanding rather than wordy explanations.

When summarising in this section parts of the contents from the Project Planning Matrix, planners should facilitate the reading by always linking the text to the related activity or activities.

2.4.5.1 **Summary of activities, their outcomes (contribution to results and objectives) and sources of verification of outcomes**: here, in one or a couple of paragraphs activities should be summarised. Then their outcomes should be highlighted from most to less important ones with emphasis on how they contribute to the expected outputs of the project and its objectives. Reference should be also made to how these achievements will be demonstrated by signalling the sources where outcomes are going to be documented.

In order to complete this section, planners should refer to the boxes for activities and their corresponding boxes for outcomes and sources of verification (of outcomes).

2.4.5.2 **Particulars about resources and their costs**: if a proper list of resources has already been given in the matrix box, there is no need for a detailed list here, but a paragraph should describe the types, levels and amount of resources planned. A reference to the matrix (which is already a summary of the resource plans contained in the Activity Planning Form) can be made here to indicate where further details have been entered.

Resource costs should be commented here, especially if there are discrepancies between what is considered an "acceptable" cost for a given resource or a figure that is significantly above or below that (e.g. ±20%).

If deemed necessary, a copy of a related Activity Planning Form could exceptionally be included as an annex and referred to in one of the fields under Index on page 1.

2.4.5.3 **Important assumptions**: as done for the summery of activities, here too, in one or a couple of paragraphs assumptions and risks should be summarised and highlighted from most to less important ones.

Reference should be made on how important they are to ensure and sustain results for the former, and on how easy or difficult it will be for the union to overcome them, for the latter.

2.4.6 Time management:

This section should include a brief description about the project time-management system to be used to ensure that all activities take place according to the established calendar in the attached Weekly Time-table.

There is no need to copy paste the Time-table here, but a list of activities copied from the Time-table with their starting and ending dates, copied from the Activity Planning forms would be useful. The form provides sufficient space for this.

However, it is most important to explain how the union is going to ensure that activities take place according to the calendar.

2.4.7 Budgets:

The tables provided for budgets can cover up to 20 activities per year. However, planners experienced in Word software can temporarily suspend the form's protection to add rows to tables, if required. Fields should be completed from left to right of the form.

2.4.7.1 **Activity number**: The first column of the budget tables already provides a numbered row for each activity.

2.4.7.2 **Specification of costs**: this field is intended for identification of costs. If the section 5.1 of the Project Formulation Form has already provided sufficient information about the required resources, the title of the activity should be sufficient.

2.4.7.3 **Activity budget**: this field should show the total cost of the activity.

2.4.7.4 **Union contribution**: this field should show the union's own contribution to the total cost of the activity under same row.

2.4.7.5 **Requested financial assistance**: this field should show the difference between the total cost minus the union's own contribution.

2.4.8 Monitoring & Evaluation:

Definitions of Monitoring and of Evaluation can be found in Module II, Section II, Paragraph 1.4 for the former and Paragraph 1.7 for the latter. The whole section II of module II refers to the Operational Efficiency Policy which clearly demonstrates the need for Monitoring and Evaluation of every project.

The Project Concept Paper has already provided an initial description of the planned project administration and the continuous or periodic surveillance (monitoring) of the project implementation and of the planned project review and evaluation activities that will be carried out during the project implementation and after (see the PCP's reply to the section "Monitoring/evaluation" and this module's Section II, Paragraph 4.1.9.

Before completing this section, project planners should carefully review all the indicators of progress and achievement proposed in the matrix, and all the proposed sources of verification of indicators and outcomes, and of the methods and systems proposed to retrieve, compile them and follow trends. All these should be linked and organised into a structured Project Monitoring System, providing regular information to the project management team to in turn, keep the Leadership informed of the progress achieved by the project, problems being encountered and adjustments being made to achieve objectives in time.

2.4.8.1 **General methodology**: A general explanation of the above-described process should be provided here.

2.4.8.2 **Monitoring system**: the characteristics of the Project Monitoring System should be described here; such as organisation, methodology, equipment, software to be used, responsibilities for producing and feeding information as well as data on activity implementation, periodicity and direction (from who/where to whom/where of the information flow.

2.4.8.3 **Evaluation process**: at this point some of the planned activities already include self-evaluation or external evaluation workshops. A transcription of each related Activity Planning Form's purpose and activity description sections should be inserted here.

It is suggested though, that plans for evaluation be coordinated with the regional and head offices of the coordinating organisation as evaluation activities are usually a common effort and involve interests from various stakeholders, the funding organisation in particular.

2.4.8.4 **End-of-project review**: This is also an activity that requires the type of coordination suggested for external evaluation efforts.

Nonetheless, the union itself can (and should) plan its own review process to comply with the Operational Efficiency Cycle. Such a plan would be seen as a plus in project planning, especially if the project will generate sustained processes beyond the project's completion.

Review reports should be made available regularly to stakeholders to demonstrate that the project has achieved the intended objectives and the sustained impact planned. This type of review process should be linked to the union Leadership's own Review Process and not necessarily be funded by project funds. However, making a link between project evaluation and the Leadership's review process, gives the project a solid base and credibility to the union, if post-project review reports keep flowing to stakeholders at regular intervals.