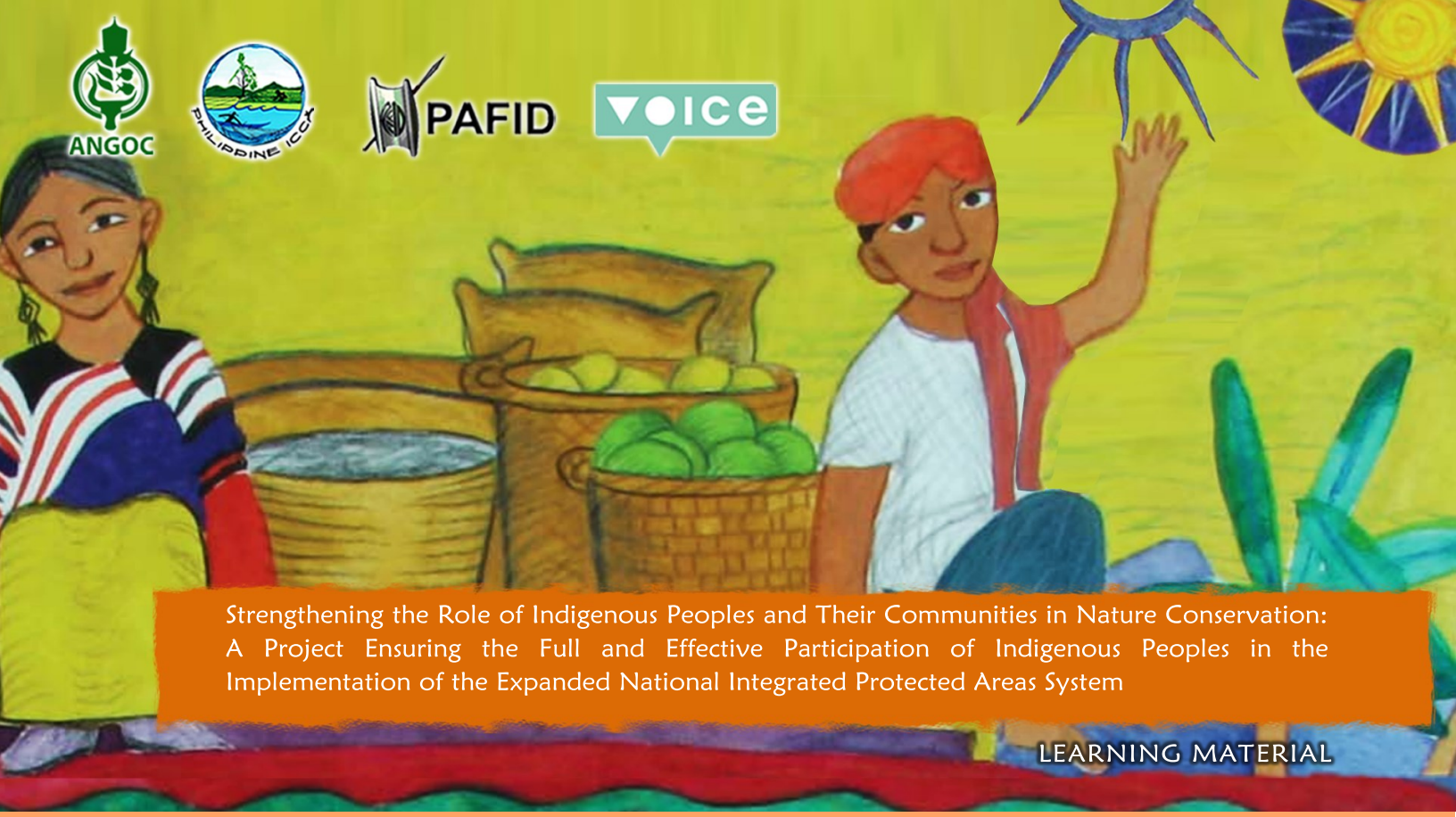

Strengthening the Role of Indigenous Peoples and Their Communities in Nature Conservation: A Project Ensuring the Full and Effective Participation of Indigenous Peoples in the Implementation of the Expanded National Integrated Protected Areas System

LEARNING MATERIAL

Writing Project Proposal

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Introduction

What is a Project Proposal?

A Project Proposal is simply:

- the request by the advocate of a future activity for funds and/or other resources from a third party (e.g., donor)
- that is justified by a plan.

What are the major parts of a Proposal?

A proposal has the following six major elements, each of which seeks to answer a specific question.

1. **Problem Statement/Context** ***(Why do you want to do this?)***
2. **Objective(s), Indicators, and Targets** ***(What do you want to do?)***
3. **Major Components (including M&E)** ***(How will you do it?)***
4. **Timetable** ***(When will you do it?)***
5. **Management** ***(Who will do it?)***
6. **Budget** ***(How much will it cost?)***

Situational/Problem Analysis

Two analytical documents – the *Problem Tree* and the *Objective Tree* – can assist in situational/problem analysis, which is the basis of the project proposal.

During the analysis, it is important to keep in mind the key characteristics of the nature of the word "Problem." These key characteristics are:

- A Problem is a negative state.
- The Problem to be addressed should be existing, and not merely theoretical.
- A Problem is not the absence of a desired solution.

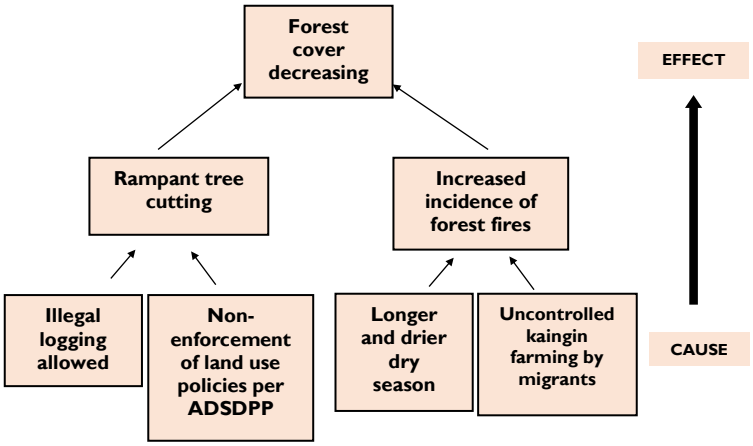
A common mistake is in thinking that a cause is actually an effect. For example, we say people are poor because they have no money. But not having money is not the *cause* of poverty – in fact, it is the *effect* of poverty. If one fails to distinguish between cause and effect, the whole analysis will become "inverted."

What is a Problem Tree?

A completed Problem Tree is a multi-level mental structure that is based on the proposal writer's understanding of the Problem that the proposed Project seeks to address. It is a tool used to identify the main problems and establish cause-and-effect relationships between them.

The key purpose of a problem tree analysis is to ensure the identification of "root causes" and address them in project planning, rather than focusing only on the symptoms of the problem(s). Thus, situational analysis requires a clear understanding of the "nature" of the word "Problem."

Figure 1. Sample Problem Tree: Decreased Forest Cover



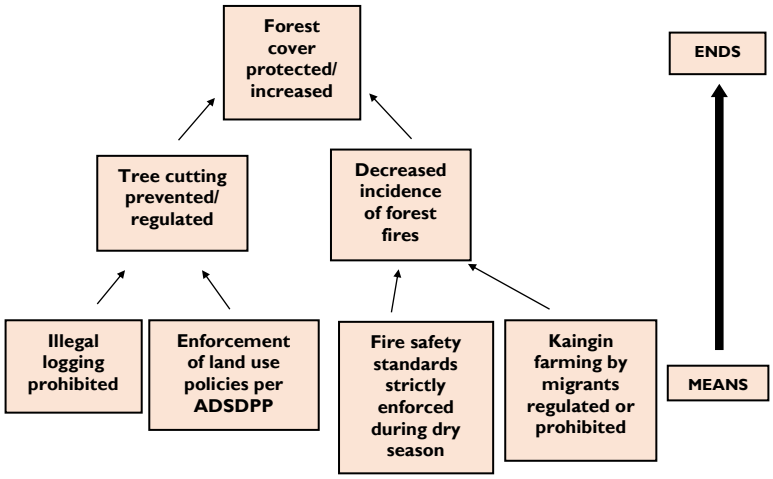
What is an Objective Tree?

An Objective Tree is also a multi-level mental structure that states the understanding of the proposal writer of what the proposed Project seeks to achieve.

It is an analytical tool to formulate appropriate objectives at all levels and define their relationships in terms of means and ends. If the problem tree shows the **cause and effect** relationship between problems, the objective tree shows the **means-end** relationship between objectives.

Below is the Objective Tree of the sample proposed project to address the problem of decreasing forest cover.

Figure 2. Sample Objective Tree: Protecting Forest Cover



Questions to keep in mind while formulating an Objective Tree

- *Are the statements clear and unambiguous?*
- *Are the links between each statement logical and reasonable? (Will the achievement of one help support the attainment of another that is above it in the hierarchy?)*
- *Is there a need to add any other positive actions and/or statements? More detail may be required.*
- *Do the risks to achieving the objectives and also having sustainable outcomes appear to be manageable?*
- *Are the positive actions at one level sufficient to lead to the result above?*
- *Is the overall structure simple and clear? Simplify if possible or necessary.*

What is the Logical Framework Analysis?

The Logical Framework Analysis (also known as the "Logframe" or LFA) is the foundation of any proposal. Please note that this is a four-by-four table.

The first column of the Logframe is the summary of the proposal, which is made up of four rows, namely: Goal, Purpose, Outputs, and Inputs.

Figure 3. Elements of a Logframe Matrix

Narrative Summary	Indicators	Means of Verification	Risks and Assumptions
Goal			
Purpose			
Outputs/ Results			
Inputs/ Components			

Starting from the bottom of the table, the **Inputs** are the activities to be undertaken by the Program in order to realize the **Outputs**.

Realization of the **Outputs** shall then result in the achievement of the **Purpose.**

Finally, achievement of the **Purpose** shall contribute to the attainment of the **Goal**.

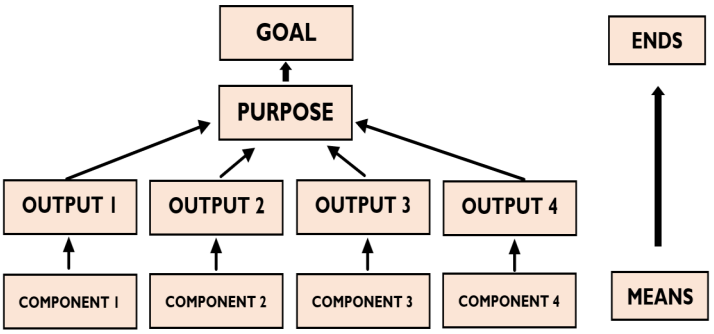
It is important to note that the proposed Project is only expected to *contribute* to the attainment of the Goal. If the Goal can be achieved by the Project, then the Goal is actually only the Purpose.

The other three columns of the logframe – Indicators, Means of Verification (MOV), and Risks and Assumptions – are meant to further clarify and elaborate on the four elements of the Narrative Summary.

The "Logic" of the Log Frame

Shown below is the schematic diagram of the Narrative Summary of the Logframe.

Figure 4. Schematic diagram of Logframe Narrative Summary



Stated simply, the "logic" of the LFA is as follows:

IF we undertake the activities **AND** the assumptions hold true, **THEN** we will create the outputs.

IF we deliver the outputs **AND** the assumptions hold true, **THEN** we will achieve the purpose.

IF we achieve the purpose **AND** the assumptions hold true, **THEN** we will contribute to the goal.

What are Indicators?

Indicators are units of measure to track progress in the achievement of the project goal, purpose, outputs/results, and inputs/components. They facilitate the monitoring of implementation – whether internally by implementers or externally by evaluators.

It is important to note that indicators should state what is to be measured, ***not what is to be achieved***. To be useful during implementation, indicators should be specific, usable, and clearly measurable: In other words, "If you can measure it, you can manage it".

In general, there should be a maximum of three indicators per output.

The following table provides examples of Bad vs. Better Indicators.

Table 1. Example of Bad and Better Indicators

Bad Indicator	The Problem	Better Indicator
***Goal* – Tenure and self-governance of IP communities in protected areas strengthened.**		
Strengthened tenure and self-governance of IP communities in protected areas.	The indicator should not include any part of the target (remove "strengthened").	The IP community possesses all documents related to its tenure in the protected area.
***Purpose* - IPMRs and IPs participate effectively in Protected Area Management Board (PAMB) decision-making.**		
Effective participation of IPMR and IP community is improved.	Vague. It is not clear how the "effective participation" will be measured.	IP community is a recognized formal member of the IPMR in the PAMB.
***Output 1* – IP agenda advocated by IPMR (Indigenous People Mandatory Representative) and IP community.**		
Strengthened advocacy skills of IPMR and IP community	Vague. "Advocacy skills" need to be more clearly defined to be measurable.	IPMR and IP prepare and submit XX number of proposals for PAMB decision-making.
***Output 2* – PAMB equally recognize IP, LGU, and scientific community concerns.**		
PAMB providing equivalent access to IP concerns as those of the LGU and scientific community.	Vague. What does "equivalent" mean? How will it be measured?	The number of PAMB-approved IP proposals are approximately same as those of the LGU and scientific community.
Note: The number of indicators per proposal element (e.g., goal, purpose, outputs), should be limited to a maximum of three each. A good indicator answers the key question: *"What will tell us that we have achieved this particular proposal element?"*		

Following is the template of a logframe that expands the indicators column to include: (a) the baseline condition at the beginning of the program; (b) projected milestone changes for each year of implementation; and, (c) the desired target condition at the end-of-the-project (EOP).

Figure 5. Sample Logframe (Expanded OVI Column)

SAMPLE LOGFRAME (Expanded OVI Column)					
Narrative Summary	Objective Verifiable Indicators (OVI)				
	Indicator	Baseline (Year)	Milestone 1 (Year)	Milestone 2 (Year)	EOP Target (Year)
Goal	1. 2. 3.				
Purpose	1. 2. 3.				
Outputs					
O-1	1. 2. 3.				
O-2	1. 2. 3.				
O-3	1. 2. 3.				
O-n	1. 2. 3.				

Explanatory Notes:

1- Milestones are set at appropriate intervals, determined by individual project characteristics and intended to track progress.

2- Targets should be Specific, Measurable, Achievable, Relevant and Time-bound (S-M-A-R-T) and indicate the desired result at the end of the project.

Formulating the Project Components: The Activities Register

On the following page is the template for the listing of Components/Activities to achieve the outputs (= *Activities Register*).

The template is also meant to list the milestones that result from the activities conducted at each particular project time period.

Figure 6. Sample Activity Template

	Activity	Milestone	Milestone	Milestone	Milestone
OUTPUT 1	Activity 1.1	Milestone 1	Milestone 2	Milestone 3	Milestone n
	Activity 1.2	Milestone 1	Milestone 2	Milestone 3	Milestone n
	Activity 1.3	Milestone 1	Milestone 2	Milestone 3	Milestone n
OUTPUT 2	Activity 2.1	Milestone 1	Milestone 2	Milestone 3	Milestone n
	Activity 2.2	Milestone 1	Milestone 2	Milestone 3	Milestone n
	Activity 2.3	Milestone 1	Milestone 2	Milestone 3	Milestone n
OUTPUT 3	Activity 3.1	Milestone 1	Milestone 2	Milestone 3	Milestone n
	Activity 3.2	Milestone 1	Milestone 2	Milestone 3	Milestone n
	Activity 3.3	Milestone 1	Milestone 2	Milestone 3	Milestone n

The Project Timetable

Once the Activities Register has been completed, the various project actions shall be put into a schedule of implementation. Below is a template for the preparation of a Project Timetable.

Figure 7. Sample Timetable

		Year 1				Year 2			
	Activity Description	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4
Component A									
A-1									
A-1.1…									
A-2									
A-2.1…									
Component B									
B-1									
B-1.1…									
B-2									
B-2.1…									
Component C									
C-1									
C-1.1…									
C-2									
C-2.1…									

Risk Analysis and Mitigation

With the preparation of the Project Timetable, the description of the proposal is virtually complete. The proposal writer must now turn to risk analysis and mitigation.

This exercise involves three questions, namely:

- What can go wrong?
- How can we prevent things from going wrong?
- What can we do to minimize damage in case things do go wrong?

The figure below lists the different issues to be addressed during the exercise.

Figure 8. Risk Analysis Template

Class of Risk	Description of Risk	Potential Adverse Impact	Likelihood/ Risk Level	Risk Management Strategy	Person Responsible
Goal					
Purpose					
Outputs					
O-1					
O-2					
O-3					
O-4					

Completing the Proposal: Project Management and Budget

Conclusion of the Risk Analysis exercise leaves only two steps before the proposal is completed. The first step involves the formulation of the Management Structure for the Project.

Developing the Management Structure involves answering the following two questions:

- What are the key management functions that need to be fulfilled for the Project to be successful?
- What are the key relationships between and among the different individuals who will be involved in the management of the Project?

The second and final step in Proposal Preparation is the accomplishment of the Project Budget and Cash Flow.

Completion of the budget involves the following steps.

- Identify the costs of the project in terms of three major categories: Capital Costs, Start-Up Costs, and, Recurring Costs.

  Recurring Costs are of two types: Fixed and Variable.

  Capital costs include all costs to acquire, build, and install all elements of the production unit, including: land, machinery, equipment, and so on.

  Start-up costs are one-time costs associated with getting started in the business, such as legal requirements, engineering studies, feasibility studies, licenses, and the like.

  Fixed costs are incurred to operate the production unit regardless of the level of production. Fixed costs include management and administrative salaries, rent, depreciation, repair and maintenance, and so on. Fixed costs are normally expressed on a monthly basis.

  Variable costs are those that are related directly to the level of production. Consisting mainly of raw materials and production labor, variable costs can be expressed on a weekly, monthly, and yearly basis and/or on a per-unit basis (Unit Variable Cost or UVC).

- Plot these costs as they occur through a Monthly Project Cash Flow Statement on the basis of a multi-year timeframe. (See Figure 9)

- Identify the internally-generated and counterpart sources of funds and plot these as they occur on the Monthly Project Cash Flow statement.

- Compute the funds requested from the identified donor. The amount of funds to be requested from the donor is the difference between costs vs. internally-generated and counterpart funds. □

Figure 9. Sample Statement of Project Budget and Cash Flow

	Y1 (by month)												Y1	Y2	Y3
	M1	M2	M3	M4	M5	M6	M7	M8	M9	M10	M11	M12	Total		
Project-related Inflows															
Sales proceeds															
User-fees															
Etc.															
Total -															
Less: Project Outflows															
Capital Costs															
Start-Up Costs															
Fixed Costs															
Variable Costs															
Total -															
Net Inflows (Outflows)															
Add: External Funds Required															
CSO/IPO Contribution															
Other Fund Sources															
Donor Funding															
Total -															
Net Cash Flow															
Add: Cash Balance, BEGINNING															
Cash Balance, ENDING															

This learning material was prepared by Raul P. Gonzalez for the project *"Recognizing the Indigenous Communities behind the Conservation of Nature: A Project Pursuing the Full and Effective Participation of Indigenous Communities in the Implementation of the Expanded National Integrated Protected Areas System*" Jointly implemented by ANGOC, Bukluran, and PAFID, this initiative is supported through the Sudden Opportunity Grant Facility of VOICE, an initiative by the Netherlands Ministry of Foreign Affairs executed in a consortium between OXFAM Novib and Hivos.

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The Asian NGO Coalition for Agrarian Reform and Rural Development (ANGOC) a regional association of national and regional networks of civil society organizations (CSOs) in Asia actively engaged in promoting food sovereignty, land rights and agrarian reform, sustainable agriculture, participatory governance, and rural development. ANGOC member networks and partners work in 10 Asian countries together with some 3,000 CSOs and community-based organizations (CBOs). ANGOC actively engages in joint field programs and policy discussions with national governments, intergovernmental organizations (IGOs), and international financial institutions (IFIs).

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The formation of Bukluran Para sa Pangangalaga ng Kalikasan ng Pilipinas (BUKLURAN, Inc.) or the Philippine Indigenous Peoples Community Conserved Territories and Areas Consortium (Philippine ICCA Consortium) is a nationwide network of community membership-based indigenous people's organizations (IPOs) of all ethnographic types. It is premised on bringing together indigenous peoples who assert and utilize traditional governance to protect community-conserved areas. Common to its members is the shared view that indigenous peoples' survival depends on the protection of valuable knowledge systems and the ancestral lands on which we thrive and persist. Our community-conserved areas can become the ultimate driving force in the conservation of biodiversity when our rights to our land and resources are respected and recognized.

Our main purpose is to carry out and realize the full recognition and respect for the rights, governance and self-management of our ancestral lands.

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Philippine Association for Intercultural Development, Inc. (PAFID) is a social development organization which has been assisting Philippine indigenous communities to secure or recover traditional lands and waters since 1967. It forms institutional partnerships with indigenous communities to secure legal ownership over ancestral domains and to shape government policy over indigenous peoples' issues. PAFID works exclusively with the indigenous peoples' sector, specifically upon written or signed requests for assistance from indigenous communities or their representatives. PAFID envisions indigenous communities as responsible stewards of their resources.

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