SANKOFA Research & Consulting Plc.

A Fundraising Manual for Protecting Lake Hawassa Project Partners Skill Training

In Collaboration With

giz Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH

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Addis Ababa, Ethiopia

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Module 1: Project Fund Raising for NatuReS

Module Description

Experiences, knowledge & skills in fund raising for NatuReS are quintessential for a successful project grant application and award. This is a comprehensive training module on a project fund raising for NatuReS. Trainees are expected to gain the right knowledge and skill mixes about problem identification for project funding raising in NatuReS, Stakeholders' identification and mapping, Problem analysis, Log-Frame, Monitoring, Evaluations, Adaptation, and Learning, and finally grant/fund raising proposal write-up.

Module Objectives

At the end of the training on this module, trainees will be able to:

- Understand some important concepts related to NatuReS
- Comprehend the concepts, steps, and methods of problem identification in NatuReS
- Identify the problems for Project fundraising in the context of Lake Hawassa
- Identify and map stakeholders for NatuReS
- Analyze and solve problems related to NatuReS projects
- Prepare a Log - frame for NatuReS
- Develop a sample grant/fund raising proposal

Training Delivery Approaches

Every training approach has its own pros and cons. This calls for the need to employ more than one approach so that the flaws in one approach will be compensated by the merits of the other. Therefore, this training will employ a mix of different methods that heavily incline to participatory and trainee-centered approaches. Adult –

centered, participatory, practical, and hands-on training approach emphasized in this manual are guided by the following proverb borrowed from Confucius.

What I Hear, I Forget What I See, I Remember What I do, I Understand (Confucius)

Hence, among others, this training will adopt the following training methods:

- Brainstorming
- Experience Sharing
- Group Discussions
- Learning – by – doing
- Demonstrations
- Case studies
- Face – to – face lectures and Presentations

Session One: Introduction to NatuReS Fundraising

Session Objectives

After the completion of this specific training sessions, participants will be able to

- Understand the concepts in NatuReS and Fundraising including Natural Resources, NatuReS, Natural Resource threats and risks, and fundraising
- Appreciate the need for collective action in NatuReS
- Understand the major factors that contributes to an effective NatuReS project implementation
- Have a clear picture of the components of the NRAF
- Explain the need for NatuReS fundraising
- Identify the major/key thematic areas for NatuReS fundraising

SESSION ONE

Introduction to NatuReS and Fundraising

Session Topics

Session 1.1: Common Concepts in NatuReS
Session 1.2 : Collective Action in NatuReS
Session 1.3: What it takes for an Effective NatuReS Implementation
Session 1.4: A Brief Overview of the NRAF
Session 1.5: Concepts of Fundraising for NatuReS
Session 1.6: Suggested Thematic Areas for NatuReS Fundraising

Supporting Materials

☞ **Training guide/manual**
☞ **Projector for Power point**
☞ **NRAF**
☞ **Resource Sheet: Key Thematic Areas Prioritization for Fundraising/Grant Proposal Preparation**

Session Objectives, Key points, Delivery Methods, Time Allocation, and Trainer Role

Session Objectives	**Time allocated**
After the completion of this specific training session participants will be able to • Understand the concepts in NatuReS and Fundraising including Natural Resources, NatuReS, Natural Resource threats and risks, and fundraising • Appreciate the need for collective action in NatuReS • Understand the major factors that contributes to an effective NatuReS project implementation • Have a clear picture of the components of the NRAF • Explain the need for NatuReS fundraising • Identify the major/key thematic areas for NatuReS fundraising	**4 hours**
Contents and Key Points	**Methodologies**
☞ Definition of key concepts including Natural resource, stewardship, threats to natural resource, risks to natural resource, and fundraising ☞ Explain the rationale behind collective action in NatuReS ☞ Describe what it takes for an effective NatuReS project implementation and the components of the NRAF ☞ Discussions on identification and prioritization of key thematic areas for NatuReS fundraising.	➢ Brainstorming ➢ Lecture ➢ Group Discussions ➢ Presntation

Material/Aids	Trainer Roles
→ Training Guide → Flip Chart → Marker → Power point Slides → Projector	→ Write each key word and concepts on flip charts/power point → Brainstorm participants understanding of the key terms and concepts → Explain the key concepts and terms by supplementing the prior knowledge of the participants → Show the NRAF diagram and explain its components → Engage participants through Q & **A** → Summarize the session

Session One: Introduction to NatuReS and Fundraising

1.1. Common Concepts in NatuReS

This manual heavily relies on the concepts, tools, methods, and approaches borrowed from the Natural Resources Risk and Action Framework (NRAF). NARF is a series of guidelines and tools based on the many lessons learnt from the Natural Resources Stewardship Programme (NatuReS) and its predecessor, the International Water Stewardship Programme (IWaSP). NRAF is a holistic approach with the aim to tackle shared natural resources risks in a participative manner. It is a series of facilitated steps, skill development measures and tailored tools, provided for a whole partnership lifecycle. Among other benefits, the NRAF helps clarify and manage partner relationships in stewardship initiatives. The NRAF framework stands strong from implementation experience in more than 45 natural resources stewardship partnerships across the world (Diana & Carmen , 2018).

What is Natural Resource?

Natural resources, under this framework, are understood as materials that occur in nature, which have inherent value based on their use in sustaining individual livelihoods, community life and economic activities. Natural resources' health and availability depends greatly on the actions that human beings take. Usually, several economic or development activities may occur in a geographical scope. However sometimes planning does not consider how these are interconnected and therefore how one may positively or negatively affect the other. For example, actions upstream may greatly affect the quality and availability of water that may be required for industrial use in an economic zone, and in turn actions occurring at this economic zone will also influence the quality of air and water that is available for urban purposes. Understanding the dynamics of natural resources, interconnected environment is vital in shaping urban planning and development as well as selecting the appropriate course of actions (Hannesson, 2001; Auty, 2001)

What is NatuReS?

NatuReS is often used to describe various forms of voluntary environmental protection efforts and activities designed and implemented by individuals, groups, GOs, and NGOs. NatuReS projects and programs are voluntary engagements in the sense that participation of stakeholders or partners

is not mandated by law. 'Stewardship' connotes programs that address public interest concerns relating to environment and natural resources, including biodiversity, soils, carbon management, water use efficiency, river and streams, groundwater, and erosion control. Such programs could address other public and private interests concurrently, such as animal welfare, drought preparedness, quality assurance, market access and profitability (Curtin, 2014).

> *The NRAF defines natural resources stewardship as a concept where all users of natural resources take responsibility for their impacts on shared resources and work together to ensure these resources are managed sustainably. This concept of stewardship is based on the understanding that these resource challenges cannot be resolved by individual organizations, but must be addressed using concerted, collaborative action (*Natural Resources Risk & Action Framework – Natural Resources Risk & Action Framework (ceowatermandate.org).

Ultimately, stewardship enables the use and treatment of natural resources in ways that are **socially equitable, environmentally sustainable, and economically beneficial.** Collective action of all stakeholders and partners is at the heart of NatuReS (Natural Resources Risk & Action Framework – Natural Resources Risk & Action Framework (ceowatermandate.org).

Threats to Natural Resources: Natural resources are essential assets for social and economic development. However, unsustainable economic and population growth, coupled with inadequate management systems, have led to an increase of threats to natural resources, which in turn has caused an increase in negative effects to communities, governments and businesses. These threats can influence catchments, cities, economic zones and impact green economic development.

> *"Unsustainable production and consumption patterns and trends and inequality, when combined with increases in the use of resources that are driven by population growth, put at risk the healthy planet needed to attain sustainable development. Those trends are leading to a deterioration in planetary health at unprecedented rates, with increasingly serious consequences, in particular for poorer people and regions."*

A threat is anything that can exploit a vulnerability, intentionally or accidentally, and obtain, damage, or destroy an asset. Based on this definition, NatuReS defines natural resources threats as

any element that has a potential to destroy or deplete natural resources. Natural resources threats affect natural resources in such a way that they can lead to risks to future growth for businesses, communities and governments.

Figure 1: Natural Resource Threats (Adopted from (ceowatermandate.org).

Natural Resource Risks: A risk is understood as a function of damage and likelihood of a harmful event or condition. It can be thought of as a threat combined with an organization's degree of exposure to it, its vulnerability to it, and its capacity to deal with it. NatuReS defines **natural resources risks** as elements that jeopardize the sustaining of individual livelihoods, community life or economic activities. Natural resources risks are caused by natural resources threats. One natural resources threat may affect sectors (private, public, civil society) differently, hence posing different risks to each one.

Corporate natural resources risks can be classified in three categories:

- Physical risks: relates to the amount of available resources (scarcity) and its quality (pollution) for business operations and supply chains.
- Reputational risk: generally, manifests itself through tensions and conflict around local resources.

- Regulatory risk: could manifest through licenses to operate, water rights, allocation, the price of water and waste discharge, quality standards, etc.

Within Natural Resources Stewardship various risks are considered, such as water and soil pollution due to waste or wastewater, water scarcity due to extensive use or climate change, loss of ecosystems and biodiversity, climate related climate hazards (floods, droughts).

Discussion Points:

Form three groups for the following group activities:

- Would you please enumerate and discuss the natural resource threats leading to risks in the case of Lake Hawassa?
- Assuming wetland encroachment in the Hawassa Lake as a threat leading to a risk, please discuss the three corporate natural resource risk categories.

Present summary of your discussion in 6 to 9 minutes

1.2. Collective Action in NatuReS

Natural resource sustainability issues are often complicated and multifaceted. Collaboration between many players and across sectors is crucial for addressing the fundamental problems and achieving a long-term solution. A collective action strategy based on the knowledge that those who rely on the same natural resources can benefit if all players cooperate to conserve these shared resources is the philosophy of Natural Resources Stewardship partnerships. Natural Resources Stewardship is based on the premise that all actors play a vital role in the sustainable use and management of natural resources, as businesses, governments nor civil society can effectively address complex, shared environmental threats on their own. Natural Resources Stewardship partnerships are coordinated engagements among interested parties to address specific shared natural resources challenges; they typically involve structured collective action, joint decision-making and joint implementation. Collective action is understood as joint action in order to achieve a common objective. Different sector actors may influence the scale of natural resources threats,

sometimes without being aware of it. Stewardship partnerships offer the possibility for these different actors to work together in understanding and mitigating their common threats.

Connection between Natural Resource and Economic Development

It is hard to imagine how the global economy would have developed if mankind would not have access to natural resources. Non-renewable resources have been used as tools, weapons, jewelry and money for thousands of years. A number of empirical evidences have investigated the nexus between natural resources and economic growth, and stresses how natural capital tends to crowd out foreign capital, social capital, human capital, and physical capital, thereby impeding economic growth across countries and presumably also over time. Studies have found empirical evidence that nations with abundant natural capital tend to have (a) less trade and foreign investment, (b) more corruption, (c) less education, and (d) less domestic investment than other nations that are less well endowed with, or less dependent on, natural resources. This matters for growth because empirical evidence also indicates that trade, honesty, education, and investment are all positively and significantly related to economic growth across countries.

1.3. What it takes for an Effective NatuReS?

Some of the enabling conditions that should exist or be created for a Natural Resources Stewardship partnership to succeed are the following:

- Political will: Concern of public authorities for the environmental situation and their motivation to act.
- Public awareness: Concern of civil society for the environmental situation and their motivation to act.
- Civil society capacity: Availability of knowledge and resources to engage. However, capacities of sectors vary. Sometimes civil society in these partnerships may be disadvantaged as they don’t possess all the information, knowledge and resources to contribute. This needs to be addressed through the partnership.
- Private sector interest: A key private company, or companies, realizes the environmental threats, as well as the benefits of partnering with public and civil sector.

Another point for analysis is whether there are successful precedents in the area for public- private partnerships, even in a very different sector. This can add value, but it is not an essential precedent. If people have become comfortable with the private sector and the public sector investing and planning together, this will facilitate the creation and execution of multi-stakeholder stewardship partnerships.

1.4. A Brief Overview of the NRAF

The NRAF is composed of five phases and each of these phases in turn has three elements. Each of the elements also includes a "how-to" section with a several key points to help practitioners plan and carry out collaborations. To accomplish these important goals, a collection of tools is offered. These tools cover a range of topics, including relationship building, risk assessment, risk mitigation strategies for natural resources, and making the case for stewardship from a commercial perspective. In general, the advice provided by this framework is neither linear nor absolute since components of some phases might occur at the same time as others or because some phases might need to be reviewed. However, the suggested order of Phase implementation typically offers the highest probability of favorable outcomes in Natural Resources Stewardship. The following graphic gives an overview of the NRAF.

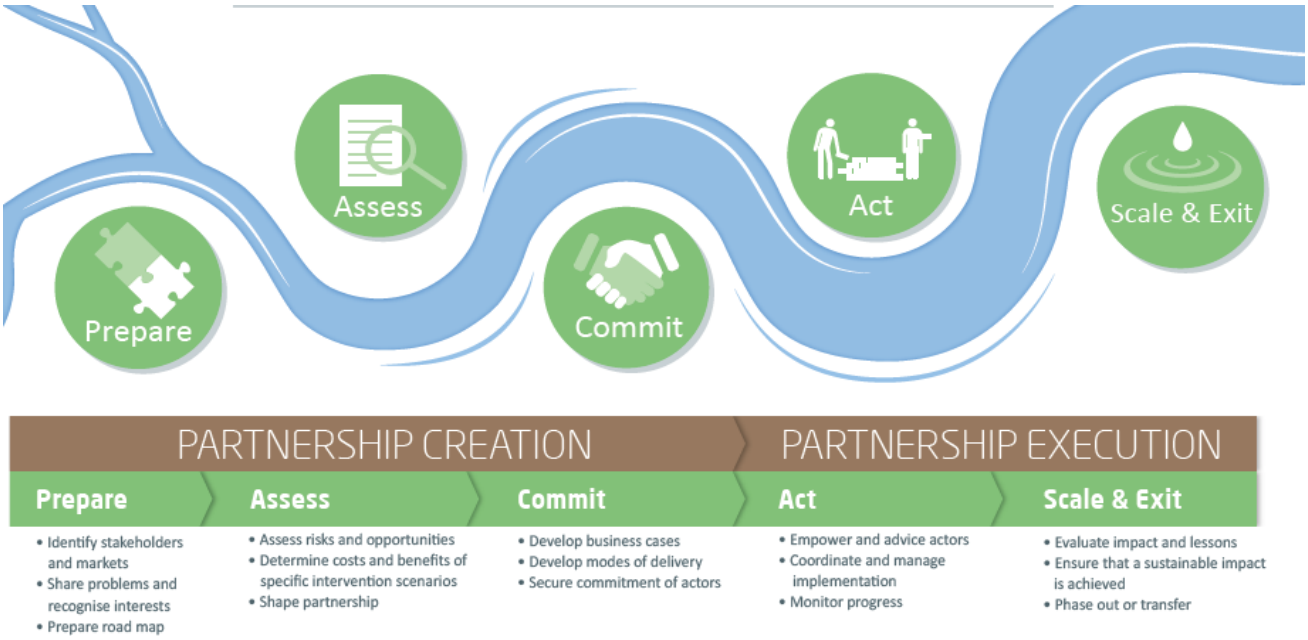

Figure 2: The Natural Resource Risk and Action Framework (Adopted from GIZ)

1.5. Concepts of fundraising in NatuReS

It's unlikely that any project has sufficient base financing to cover all of its requirements for resource management and stewardship. These requirements include anything from plans for monitoring and inventorying to intricate restoration projects and the research necessary to direct wetland management. As a result, the capacity to create a strong funding proposal is essential to resource stewardship. An effective grant application can be compared to an interpretive program in several aspects (natres-funding.pdf (npshistory.com). It must combine stakeholder and resource knowledge and present an engaging narrative that will have relevance for the audience. Irrespective of their size and purpose, almost all forms of project interventions and businesses require capital investment. Thus, there is a strong need to find, acquire, and invest the capital required to plan and implement a project or start any other new business. In the case of project interventions and activities like the PLH, "***Fundraising" is the process of raising capital by the partners and stakeholders from lenders, equity investors and grant-providing institutions for the operational, tactical, and strategic needs of the partnership***.

Why fundraising is exceptionally important for NatuReS projects? Discuss your answer by relating natural resources from the following important concepts

- *"Tragedy of the Commons"*
- *"Externalities"*
- *"Public Goods"*
- *"Profit maximization"*

Grants as important fund source: A grant is a fund raised to meet the short and long – term needs of a project or a business. This form of fund is obtained by preparing and submitting a winning and convincing grant proposal. Grant providers want to make sure that their capital is not used in socially wasteful, financially unviable, and environmentally unfriend interventions and activities. They do have several requirements. For instance, "Relevance" is a common criteria of donors to provide a grant. Thus, as PLH partner you must make sure that your grant proposal is relevant to the existing problems of the community or the natural resources around Lake Hawassa

and beyond. Efficiency, effectiveness, scalability, and sustainability of the project for which you want to secure a grant are very important assessment criteria. Therefore, your grant proposal should explicitly indicate that it is most relevant, extremely efficient and effective, scalable, and there is high chance of sustaining the project activities in the future. Generally, a grant proposal outlines a project idea, explains why the organization needs grant money, and provides evidence that demonstrates the need and worthiness of the project. In grant proposals, organizations usually describe their mission, describe how they plan to use grant funds, provide program goals and objectives, a timeline for completion of the project, and an expected outcome. However, a grant proposal must also be written in such a way as to convince potential funders of the value and impact of the proposed project.

1.6. Suggested Thematic Areas for Grant Proposals

We strongly believe that there are tremendous key areas that require alternative fund sources for the design and implementation of natural resource management projects on and around the Hawassa Lake and its catchment areas. From secondary data sources and rudimentary key informants' interview, it is learned that the following are key thematic intervention areas for which funds shall be sought in protecting Lake Hawassa and improve the livelihood of the community that depend on the it for their survival.

Sl.No.	Key Thematic Areas	Priority
1.	Integrated Productive Safety Net Program and Community Based Lake Conservation Grant Proposal (IPSNP-CBLC Grant Proposal)	
2.	Integrated Community Based Health Insurance and Community Based Lake Conservation Grant Proposal (ICBHI – CBLC Grant Proposal)	
3.	Integrated Community Based Lake Conservation and Industry Park Operations Grant Proposal (ICBLC-IPO Grant Proposal)	
4.	Lake Hills Afforestation Campaign Grant Proposal (LAHIAFC Grant Proposal)	
5.	Zero Wetland Encroachment Grant Proposal (ZeWe Grant Proposal)	
6.	Fish Less for More Fishing Grant Proposal (FILEMOF Grant Proposal)	

7.	Lake Hawassa Wetland Restoration Grant Proposal (LAHAWER Grant Proposal)	
8.	Lake Hawassa Wetland Restoration Tree Planting (Afforestation) Grant Proposal	
9.	Revegetation of Wetland Natural Communities at Lake Hawassa Grant Proposal	
10.	Protecting Lake Hawassa from Sediment Erosion Grant Proposal	
11.	Enhancing Lake Hawassa Governance System Grant Proposal	
12.	Integrated Productive Safety Net Program and Community Based Lake Conservation Grant Proposal (IPSNP-CBLC Grant Proposal)	
13.	To be identified participants	
14.	To be identified participants	
15.	To be identified participants	
16.	To be identified participants	
17.	To be identified participants	
18.	To be identified participants	
19.	To be identified participants	
20.	To be identified participants	

Additional focus areas will be identified by the training participants through brainstorming and group discussion methods to end-up in twenty key thematic areas. Then all of the identified key thematic areas will be prioritized according to their importance (Using a Likert Scale) by the participants themselves via the following criteria:

A. **Urgency**: Each thematic area that should be addressed earlier than others will be prioritized using a three point Likert Scale where 1, 2, and 3 represents “Not urgent”, “Urgent”, and “Highly Urgent”, respectively. If the thematic area is highly likely to cause extreme damage to the natural resource of Lake Hawassa and the community who depend on it, it means that it is highly urgent to be addressed sooner than later.

B. **Relevance**: Thematic areas should also be prioritized based on their relevance to the community and the natural resource base of the Hawassa city and its peripheries. It will

also be prioritized using a three point Likert Scale where 1, 2, and 3 refers to "Not Relevant", "Relevant", and "Highly Relevant", respectively.

C. **Impact**: This refers to the likelihood that the thematic areas will bring a desired positive impact on the natural resource base of Lake Hawassa and the community who depend on it for their livelihood. Impact of each thematic area will be prioritized using a three point Likert Scale where 1, 2, and 3 denotes "Not Relevant", "Relevant", and "Highly Relevant". Key thematic areas that will benefit a substantial portion of the community and the natural resource base of Lake Hawassa will be prioritized as highly relevant.

D. **Efficiency**

The participants will then form three groups and each group will prepare a grant proposal for one of the key thematic areas selected using lottery method at the end of this module.

Session Two: Problem Identification and Analysis in NatuReS

Session Objectives

After the completion of this specific training sessions, participants will be able to

- Comprehend the Project Management Cycle
- Define problems and problem analysis in the context of NatuReS.
- Describe the need for situation analysis in the context of NatuReS
- Conduct Stakeholders analysis in the context of the Protecting Lake Hawassa project
- Undertake Objective and strategy analysis for NatuReS
- Identify the steps in problem solving for NatuReS

Session Two: Problem Identification and Analysis for NatuReS Projects

Session Topics

Session 2.1: Project Cycle Management for NatuReS Activities
Session 2.2. Problem Identification and Analysis for NatuReS Projects
Session 2. 3: Situation Analysis for NatuReS
Session 2.4: Stakeholders Analysis for NatuReS
Session 2.5: Objective Analysis

Session 2.6: Strategy Analysis

Session 2. 7: Steps in Problem Solving for NatuReS

Supporting Materials

- **Training guide/manual**
- **Projector for Power point**
- **Problem Tree diagram**
- **Resource Sheet: Key Thematic Areas Prioritization for Fundraising/Grant Proposal Preparation**

Session Objectives, Key points, Delivery Methods, Time Allocation, and Trainer Role

Session Objectives	**Time allocated**
After the completion of this specific training session participants will be able to • Comprehend the Project Cycle Management • Define problems and problem analysis in the context of NatuReS. • Describe the need for situation analysis in the context of NatuReS • Conduct Stakeholders analysis in the context of the Protecting Lake Hawassa project • Undertake Objective and strategy analysis for NatuReS • Identify the steps in problem solving for NatuReS	**8 hours**
Contents and Key Points	**Methodologies** 
☞ Definition of key concepts including problems, problem analysis, stakeholders, objectives, and strategies in the context of NatuReS ☞ Explain the rationale behind situation analysis for NatuReS ☞ Describe stakeholders in NatuReS ☞ Transforming problems into objectives ☞ Problem trees: Problems, causes and effects nexus ☞ Define objective analysis ☞ Define strategy analysis in NatuReS	➢ Q and A based Brainstorming ➢ Lecture ➢ Group Discussions ➢ Case study ➢ Presentation
Material/Aids	**Trainer Roles**

→ Training Guide → Flip Chart → Marker → Power point Slides → Projector	→ Write each key word and concepts on flip charts/power point → Brainstorm participants understanding of the key terms and concepts → Engage participants in the case studies and discussion points → Explain the key concepts and terms by supplementing the prior knowledge of the participants → Show the problem tree diagram and explain its components → Engage participants through Q & **A** → Summarize the session

Session Two: Problem Identification and Analysis for NatuReS Project

2.1. Project Cycle Management for NatuReS Activities

Project Cycle Management (PCM) is a framework within which to identify and clarify problems and then design, plan, implement, monitor and evaluate projects to over-come them. It builds a shared and concise picture of what a project will do to overcome a specific problem and is therefore ideally suited for partnerships aiming at innovation. It breaks down a complex process that partnerships have to manage, starting by dividing the 'project cycle' into stages in the life of the projects that will be managed by partnerships. Generally, the project cycle can be identified into the following six stages:

1) **Identification**: generation of the initial project idea and preliminary design
2) **Preparation**: detailed design of the project addressing technical and operational aspects
3) **Appraisal**: analysis of the project from technical, financial, economic, gender, social, institutional and environmental perspectives
4) **Proposal preparation, approval and financing**: writing the project proposal, securing approval for implementation and arranging sources of finance
5) **Implementation and monitoring**: implementation of project activities, with on-going checks on progress and feedback
6) **Evaluation:** periodic review of project with feedback for next project cycle.

The cycle represents a continuous process in which each stage provides the foundation for the next. For example, the information generated during project identification (Stage I) provides the basis for detailed project design (Stage II). Stage III reviews the information generated during the preceding two stages from several perspectives to ensure the project is viable. Stages I to III provide the foundations for a project. If they are sound, the project is more likely to succeed in subsequent stages, in terms of securing funding and competent implementation. However, at any point in the first three stages it may be decided that it is more appropriate not to proceed with the proposed project. While the general principles of PCM remain universal, many organizations do not stick to a particular prescribes sequence but design and adapt the steps to suit their particular operating environment.

2.2 Concepts of Problems and Problems Identification

A problem can be defined as a gap between the existing and the desired situation. It can be defined as an unacceptable discrepancy between expected and observed performance. Therefore, problem analysis aims to confine this discrepancy. The identification of such a gap requires the use of an appropriate measure or assessment tool to determine whether a problem (i.e., discrepancy) exists. For example, to determine whether wetland encroachment around Hawassa Lake has caused a problem of fish stock decline, there is a need to calculate the fish stock before and after the encroachment. Thus, the use of different survey methods is essential. Problem identification consists of two steps: identifying and acknowledging that a discrepancy exists (i.e., identifying that there is a problem), and developing a problem identification statement. Effective problem identification is clear (unambiguous), objective (leaving no room or limited room for inferences), and specific (SIDA, 2004).

2.3. Situation Analysis for NatuReS

`Why we design NatuReS projects and programs?`

NatuReS projects are designed to address the problems that affect the existence and sustainability of a resource including water, soil, land, environment, wildlife, minerals and so forth. NatuReS projects are intended not just for the sake of keeping these resources intact. Rather they are also meant to address the problems faced by the beneficiaries and/or the communities who heavily rely on these resources for their livelihoods. A properly planned NatuReS project addressing the real

needs of the beneficiaries cannot be achieved without an analysis of the existing situation. However, the existing situation is likely to be perceived in different ways by different groups of stakeholders. Thus, it is important to bring together representatives of all key stakeholders in the problem identification and analysis Phase. This is usually done in a workshop environment where problems and issues are discussed openly. There are three stages to the situation analysis Phase for NatuReS projects: Problem Analysis; Analysis of Objectives; Strategy Analysis.

This is a stage where the project designer identifies the negative aspects of an existing situation and establishes the "cause and effect" relationships between the problems that exist. There are three important steps at this phase:

A. *Identification of the stakeholders affected by the proposed project*
B. *Identification of the major problems faced by beneficiaries*
C. *Development of a problem tree to establish causes and effects*

2.2.1. Stakeholder analysis

This is an entry point in a problem analysis and its chief intention the identification of all stakeholder groups likely to be affected (either positively or negatively) by the proposed NatuReS project. This is also a step where the "felt" needs of the beneficiaries is listened to. Various forms of techniques can be employed in stakeholder analysis including interviews and discussion techniques to document the interest/need that each stakeholder group has in the project. The information obtained from this exercise will help NatuReS project planners to better organize the preparation process, and in particular to plan the necessary research required prior to the conduct of a participatory planning workshop for problem identification and further analysis.

- *What should be considered in the stakeholder analysis stage? What inclusivity criteria is necessary in the SA stage?*
- *Who should be involved in the stakeholder analysis? (men, women, PLW, children, youth, landless people, poor, pastoralists, unemployed, environmentalists, researchers, minorities, migrants, settlers, VCAs, etc)*

The Planning Workshop

A participatory workshop should follow after sufficient information and analysis is undertaken. Based on the available information and using techniques such as brainstorming, we should allow all the stakeholders to identify the key problems that exist in a given situation. The main technique used at this stage is the drawing up of a problem tree or a problem butterfly. A problem tree is simply the problems set out in a hierarchical order. Firstly, each identified problem is summarized. From these a starter problem is selected, and a second problem related to it, then:

- If the problem is a cause it goes on the level below
- If it is an effect it goes above
- If it is neither a cause nor an effect it goes on the same level

Discussion points

A. ***At the participatory workshop intended to design a Wetland Restoration Project, a group of fishermen on the Hawassa Lake mentioned "declining fish catch" as a problem.***

- ***What do you think is the cause for this problem?***
- ***What might be the effect of this problem?***

B. ***Would you please identify the problem, the cause, and the effect from the finding presented below?***

Empirical studies made around Lake Tanna and other Wetlands in Ethiopia have proven that the number of fishes catch per fisher has significantly reduced in the last 10 years due to the fact that number of fishers has increased by 48% and fishing is practiced even during the major fish reproductive seasons. As a result, the income and livelihood of the fishing community is significantly eroded (Alemu & Azadi, 2018; Bene & Friend, 2011; Cheffo, Zemedu, & Geta, 2013).

As the tree develops, the remaining problems are attached to it in the same way. Once the problem tree is complete, a focal problem is selected. The focal problem should be agreed on by the different interest groups as being the central problem to be addressed by the project or intervention. A review of the problem analysis may lead to the emergence of a different focal problem at a later

stage, but this does not affect the validity of the analysis. Once complete, the problem tree represents a comprehensive picture of the existing negative situation.

There are two common difficulties that are experienced during problem identification and analysis: inadequate problem specification, and the statement of 'absent solutions':

- In adequate problem specification occurs when a problem is specified in insufficient detail so that it does not communicate the true nature of the problem. Statements such as 'Poor management' need to be broken down so that we understand what the problem is, and can therefore analyze the underlying causes - for example, the management problems might include poor financial control, late delivery of key services, etc. Of course, getting the level of detail right is a matter of judgement on the part of the workshop moderator and the participants. It will also depend on the scope and nature of the project.

- Absent solutions are problem statements that do not describe the current negative situation, but describe the absence of a desired situation. For example, 'Lack of trained staff' does not describe the specific problem (staff have insufficient or inappropriate skills), and risks biasing the intervention towards the absent solution ('training') when in fact it might be an issue of recruitment or personnel management. You should always be careful therefore if you specify statements starting with 'lack of…'.

2.2.2. Objectives Analysis

This is a stage where the negative aspects of an existing situation will be turned into the positive aspects of a desired situation. This involves the reformulation of problems into objectives.

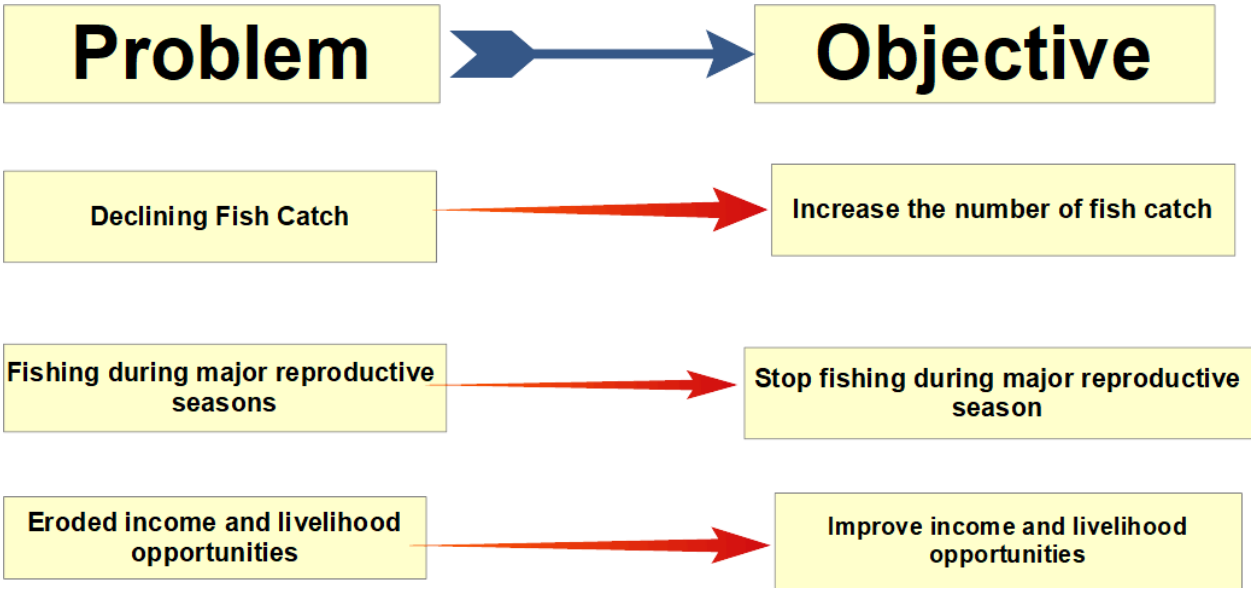

Figure 3: Transforming problems into objectives

The objective tree can therefore be conceptualized as the positive mirror image of the problem tree, and the "cause and effect" relationships become 'means to end' relationships. It may be found that there are gaps in the logic of the initial objective tree that were not apparent in the problem tree, therefore the 'means-ends' linkages between objectives should be reviewed and reorganized as necessary. Finally, objectives dealing with a similar topic can be grouped together in clusters, which will provide the basis for Strategy Analysis. Once complete, the objective tree provides a comprehensive picture of the **future desired situation.**

2.2.3. Strategy Analysis

What follows exactly after the objective analysis is the selection of strategy or strategies that will be used to achieve the desired objectives. Strategy analysis involves deciding what objectives will be included **IN** the project, and what objectives will remain **OUT**, and what the project purpose and overall objectives will be. In addition to examining the logic, strategy analysis also looks at the feasibility of different interventions. Depending on the scope and amount of work entailed, the selected clusters or strategy may form a 'project-sized' intervention, or a programme consisting of a number of projects. In the example above, our project will address the primary and secondary healthcare strategies, but not the nutritional awareness strategy that is dealt with by another project.

Problem Butterfly/tree: A problem butterfly is an interactive brainstorming tool that allows you to jointly analyze your problems, unraveling their causes, effects and affected groups. By visualizing one can more clearly see the direct and indirect repercussions of the problem you're trying to solve, each of which has a different impact on the stakeholders. As a result, by analyzing the effects the problem has, you are also identifying potential beneficiaries of solutions. This can also give you the opportunity to think of new solutions to lessen the root causes or control the consequences of your problem.

> **Expected result:** get an overview of your risks, including an analysis of their causes, effects and affected groups.

2.3. Steps in problem Solving

Solving a problem is not a haphazard process. Rather there are certain steps to be followed. Defining the problem is the most important step in problem identification and problem solving. This is about naming the main problem you are trying to solve. In general, most projects focus on one main problem, next to other subordinate problems. There are three commonly mentioned drivers behind natural resources related problems: economic growth, climate change and urbanization. This is a non-exclusive list to help you to think of causes for your problem. These drivers, and/or others you may think of, can help you come up with more specific causes. Understanding the causal relations can help you identify and optimize project interventions. For example: economic growth causes increased water use of industries, which in turn results in water scarcity (problem). The next stage involves listing the effects the problem has in your specific area. For example: Water scarcity affects the water intake of factories or the irrigation capacity of farmers. Make these effects as specific as possible, for instance by naming the specific factory

Identification of affected group of people: Some effects affect people directly, others indirectly. Linking “people” to the “effect” is an important first step, as those who suffer from negative effects now are potential beneficiaries in the future. Therefore, this is a first step to identify your future beneficiaries. At this stage, the problem butterfly helps you to think out of the box and identify all possible groups affected by the natural resources problem at hand. Note that some effects apply to more than one affected group. Once the problems are well identified and prioritized, there is a need

to go for solutions or action plans to solve the problems. The following table summarizes about eight important steps that are suggested in problem identification and problem solving.

Table 1: Steps in problem solving

STEPS	QUESTIONS TO BE ASKED	METHODS/APPROACHES
DEFINING THE PROBLEM	• What is the problem? • How did you discover the problem? (Methods and Approaches) • When did the problem start and how long has this problem been going on? • Is there enough data available to contain the problem and prevent it from getting passed to the next process step? If yes, contain the problem.	Problem Butterfly, Consultative meetings, observations, Gap/problem analysis, PRA, RRA, Desk review, etc
CLARIFY THE PROBLEM	• What data is available or needed to help clarify, or fully understand the problem? • Is it a top priority to resolve the problem at this point in time? • Are additional resources required to clarify the problem? If yes, elevate the problem to your leader to help locate the right resources and form a team. • ·Ensure the problem is contained and does not get passed to the next process step.	Problem prioritization, risk analysis, Data collection, Do-it/act/project
DEFINE THE GOALS	• What is your end goal or desired future state? • What will you accomplish if you fix this problem? • What is the desired timeline for solving this problem?	Be SMART, Set milestone activities, Activity schedule and sequence
IDENTIFY ROOT CAUSES OF THE PROBLEM	• Identify possible causes of the problem. • Prioritize possible root causes of the problem. • What information or data is there to validate the root cause?	Problem tree and Root cause analysis
DEVELOP ACTION PLAN	• Generate a list of actions required to address the root cause and prevent problem from getting to others. • Assign an owner and timeline to each action. • Status actions to ensure completion.	Milestones, key staff assignment with known JD, schedule, M & E
IMPLEMENTATION	• Implement action plan to address the root cause. • Verify actions are completed.	KPI
EVALUATE THE RESULTS	• Monitor and Collect Data. • Did you meet your goals defined in step 3? If not, repeat the whole steps again • Were there any unforeseen consequences? • If problem is resolved, remove activities that were added previously to contain the problem.	Comparison (goal versus achievement), Before and after comparison, with and without action, baseline versus midline/end line, etc
IMPROVE AND SCALE-UP	• Look for additional opportunities to implement solution.	Scale-up, sustainability

	• Ensure problem will not come back and communicate lessons learned. • If needed, repeat the 8-Step Problem Solving Process to drive further improvements.

Group Discussion

- ***Identify natural resource problems affecting the Hawassa Lake.***
- ***Identify the causes of the main natural resource problem affecting the Hawassa Lake.***
- ***Identify the root causes of the problem***
- ***Identify the effects of the identified problem.***
- ***Identify groups affected by the problem***
- ***Suggest action plan to averse the problems affecting Hawassa Lake***

Session Three: Stakeholders mapping and Analysis for NatuReS projects

Session Objectives: After the completion of this specific training sessions, participants will be able to

- Understand what stakeholders mapping is in the context of NatuReS.
- Appreciate the need for stakeholders mapping in the context of NatuReS
- Identify the steps for stakeholders mapping
- Appreciate the benefits of stakeholders mapping in NatuReS projects

Session Three: Stakeholders mapping and Analysis for NatuReS projects

Session Topics

Session 3.1. Stakeholder Mapping for NatuReS Projects
Session 3. 2. Why Stakeholders Mapping is necessary?
Session 3.3: Steps in Stakeholder Mapping
Session 3 .4: Benefits of Stakeholders Mapping

Supporting Materials

☞ **Training guide/manual**
☞ **Projector for Power point**
☞ **Discussion Facilitation Guides and hypothetical excercises**

Session Objectives, Key points, Delivery Methods, Time Allocation, and Trainer Role

Session Objectives	**Time allocated**
After the completion of this specific training session participants will be able to • Understand what stakeholders mapping is in the context of NatuReS. • Appreciate the need for stakeholders mapping in the context of NatuReS • Identify the steps for stakeholders mapping • Appreciate the benefits of stakeholders mapping in NatuReS projects	**6 hours**
Contents and Key Points	**Methodologies** 
☞ Define stakeholders mapping ☞ Differentiate between the different types of stakeholders involved in NatuReS. ☞ Explain the necessity to conduct stakeholders mapping in NatuReS ☞ Mention the steps involved in stakeholders mapping ☞ Discuss the benefits of stakeholders mapping	➢ Q and A based Brainstorming ➢ Lecture ➢ Group Discussions ➢ Case study ➢ Presentation
Material/Aids	**Trainer Roles**
→ Training Guide → Flip Chart → Marker → Power point Slides → Projector	→ Write each key word and concepts on flip charts/power point → Brainstorm participants understanding of the key terms and concepts → Engage participants in the case

	studies and discussion points → Explain the key concepts and terms by supplementing the prior knowledge of the participants → Engage participants through Q & **A** → Summarize the session

Session Three: Stakeholders mapping and Analysis for NatuReS projects

3.1. Stakeholders Mapping for NatuReS Project?

Stakeholder mapping is the visual process of laying out all the stakeholders of a product, project, or idea on one map. The main benefit of a stakeholder map is to get a visual representation of all the people who can influence your project and how they are connected. The term stakeholders is often confused with shareholders. The concept shareholders connotes ownership of a project or a resource for which a project is implemented. Yet, stakeholders in NatuReS and natural resource conservation don't assume personal ownership of a project or a resource. Partners in the NatuReS don't assume an exclusive ownership, rather their undertakings are for the common goods of the people and the environment.

Stakeholders' in NatuReS refers to all actors who have a hand in impacting a resource (such as a forest, a water – body like lakes, rivers; etc) or a project intervention (dam, reservoir, community conservation, etc) and/or who are impacted by a resource or a project intervention. It includes:

- People affected by the impact of a project intervention or an activity
- People who can influence the impact of a project intervention or an activity.

> *Think of an afforestation project around the Lake Hawassa:*
> *Who are affected by the intended afforestation project?*
> *Who can influence the impact of the afforestation project?*

Stakeholders can be individuals, groups, a community or an institution. Stakeholder groups are made up of people who share a common interest, such as an NGO, church leaders and the community. However, such groups often contain many sub-groups. Seeing the community as one stakeholder group can be meaningless because some people may have very different interests from

others in the same community. It may be necessary to divide the community into a number of sub-groups according to aspects such as status, age, gender, wealth and ethnicity. These sub-groups may be affected by the project in different ways, and some sub-groups may have a lot more influence on the impact of the project than others.

It might also be unwise to view the government as one stakeholder group. It may be necessary to list government ministries as different stakeholder groups if they have different, and even conflicting, opinions about a development proposal. Government at national, state and local levels may also have very different interests. Stakeholders include:

- **User Groups** – people who use the resources or services in an area
- **Interest Groups** – people who have an interest in, an opinion about, or who can affect the use of, a resource or service
- **Beneficiaries** of the project
- **Decision-Makers**
- **Those Often Excluded** from the decision-making process.

Stakeholders could belong to one or more of these groups. For example, someone might be a user of a handpump (user group), and also involved in the water user association that manages it (interest group, decision-maker). Stakeholders are not only those who shout the loudest. Those who are often excluded from the decision-making process due to age, gender or ethnicity are those who are most likely to lose out if they are not included in the project planning. What methods could be used to ensure these stakeholders are involved?

Stakeholders include the winners and the losers as a result of the project. While most stakeholders will benefit from the project, there may be others who will be negatively affected by the action taken. Stakeholders can be divided into two main types:

I. **PRIMARY STAKEHOLDERS** who benefit from, or are adversely affected by, an activity. This term describes people whose well-being may be dependent on a resource or service or area (e.g. a forest) that the project addresses. Usually they live in the area or very near the resources in question. They often have few options when faced with change, so

they have difficulty adapting. Primary stakeholders are usually vulnerable. They are the reason why a project is carried out – the end users.

II. **SECONDARY STAKEHOLDERS:** include all other people and institutions with an interest in the resources or area being considered. They are the means by which project objectives can be met, rather than an end in themselves. If stakeholders are not identified at the project planning stage, the project is at risk of failure. This is because the project cannot take into account the needs and aims of those who will come into contact with it.

EXERCISE:

As indicated in the picture here, think of a community that depend on Lake Hawassa for its livelihood. The community members are concerned about a new protection project intervention in and around the lake. The protection project is intended to increase tourist flow and maintain the fish stock of the lake. The Hawassa city government has decided that the project should focus on ensuring that the views of the community members are listened to so that their livelihoods are not adversely affected.

Based on the above hypothetical project intervention,

A. Who could be (are) the stakeholders of the proposed project intervention?

B. Identify the stakeholders claiming as primary, secondary, beneficiary, user, decision – makers, etc.

3.2. Why stakeholder Mapping is necessary?

Stakeholder mapping is quintessential prior to any project intervention. It's good to have a detailed stakeholder map and know how to involve the right people when you plan to launch a major project or product for any NatuReS endeavor. Stakeholder mapping is especially necessary under the following conditions of a NatuReS interventions:

A. Introducing a new NatuReS Product and Project

When building a new product or introducing a new interventions and regulation from scratch there is high need to know the stakeholders for different groups. The number and the roles of stakeholders may vary depending on the type of product or new introductions you are working on. Here is a list of potential stakeholders for this situation:

- **CUSTOMERS/USERS:** Knowing the beneficiaries is critical for creating a product or introducing a new project intervention that people will love. Think of the groups of people that you are serving and their needs.
- **INDUSTRIES/MARKETS.** As a product developer or introducer, you can't ignore what's happening in your field, so brainstorming potential competitors, outlining market regulations, and writing down major trends can be very useful.
- **SUPPLIERS**. For certain products, generating a supply of certain services is as important as creating demand. If you are building a platform, what are the key suppliers and how you can 'subsidize' one side of the demand/supply equation if needed.
- **INVESTORS.** If your product needs substantial investments, you might want to include venture capital firms as major stakeholders since they will have the power to influence your product's future.

For instance, assume that the water from Lake Hawassa is used both for irrigation and domestic consumption that has shrunken the size of the lake and water volume. Realizing these immense problems, the Hawassa City Water Bureau intends to introduce Volume Based Water Pricing regulation for the first time. This new regulation will make the cost of the water service a function of the volume used. As the regulation is being introduced as new, there is a need to map who are the major stakeholders that are likely to affect its implementation or

are likely to be affected by the new introduction. Would you please map the stakeholders for this new legislation introduction by disaggregating as?

- → ***The customers/users***
- → ***Industries/markets***
- → ***Suppliers***
- → ***Investors***

When you start a new project, there is also a need to map internal stakeholders such as a project manager, CEO, technician, finance head, project designer, etc

B. **Market Penetration**

If you're trying to penetrate a new market with your product you'll also need to designate a few stakeholder groups:

NEW CUSTOMERS. Trying asking yourself what are the needs of those who haven't heard about your product yet. Are there any subgroups within this group?

OLD CUSTOMERS. Which Personas are critical for your sustainable growth? Adding them to your map and understanding their challenges is key to your product's success.

NEW RETAILERS. Who are the main external stakeholders for your project? Whether you are creating a physical or a digital product, you need strong partnerships to reach new audiences.

3.3. Steps and Benefits of Stakeholder Mapping

3.3.1. Steps in Stakeholder Mapping

Stakeholder mapping is not a total random activity. Thus, organizations and projects often follow the steps below in Stakeholders Mapping

a. **Brainstorming**: Start by identifying all the potential stakeholders — people, groups, or organizations affected by your product or project, those who have influence over it, or have an interest or concern in its success. Write down their names on a whiteboard or in a shared

virtual space. At this point, try to be as granular as possible — you can always eliminate duplicates or those who actually don't have 'skin in the game' later.

b. **Categorization:** Now it's time to group the results of your brainstorming. Are there any stakeholders that can be put into one category? How can you name this category? Are there any types of stakeholders you forgot about? To make sure you didn't forget about any of the key players, check out the 'When stakeholder map is critical' section to see examples of the types of stakeholders' different projects require.

c. **Prioritization:** To create a communication plan, you have to prioritize key stakeholders and make sure you start talking to them early in the project. There are different ways you can prioritize the stakeholders. You can use the matrix we shared above, or you can ask your team to vote so you can see how the group defines the main players.

d. **Stakeholder communications:** Once your priorities are defined, it's important to come up with a plan for engaging all the major stakeholders. There is no single recipe that can fit all possible situations, but here are some best practices that can help you create transparency and accountability for your project:

→ You should have a lot of face-to-face communication with high-power, highly interested people. Building trust with them first is critical for your project.

→ If someone is opposed to the project, you can get a buy-in from someone with the same level of power first and then ask the latter to persuade the former.

→ Communicating early and often is also important, because people will need time to think before making a decision.

→ Give each stakeholder a right amount of information depending on their interest. Some people need just an executive summary, while others will want to dive deeper.

3.3.2. Benefits of Stakeholder Mapping

Stakeholder mapping allows you to identify key players that will influence your project and its success. Stakeholder mapping has several importance that can roughly be summarized into the following four benefits:

I. Find out who has the most influence: When you build a stakeholder map, you can easily see who will have the highest-level influence over a project, whether it's the CEO or a project manager.

II. Focus on those who benefit most: Stakeholder maps help you see who will benefit most from the end-product, so you can focus on marketing to that person for either sales or resources.

III. See where resources are most plentiful: Often when you build a stakeholder map, you'll see who has restraints on the project and who has more resources, so internally you can put the right people on your team.

IV. Have a game plan: Overall, a stakeholder map gives you a good idea of who you're trying to satisfy when building this product/project.

Session Four: Preparation of Logical Framework for NatuReS projects

Session Objectives: After the completion of this specific training sessions, participants will be able to

- Understand what stakeholders mapping is in the context of NatuReS.
- Appreciate the need for stakeholders mapping in the context of NatuReS
- Identify the steps for stakeholders mapping
- Appreciate the benefits of stakeholders mapping in NatuReS projects

Session Four: Preparation of Logical Framework for NatuReS projects

Session Topics

Session 4.1. What and Why is a Logframe Analysis in NatuReS Projects

Session 4. 2. The LF Matrix and Its Components

Supporting Materials

- **Training guide/manual**
- **Projector for Power point**
- **Discussion Facilitation Guides**
- **The LF Matrix Diagram**

Session Objectives, Key points, Delivery Methods, Time Allocation, and Trainer Role

Session Objectives	Time allocated

After the completion of this specific training session participants will be able to • Understand what and why the LFA is needed in NatuReS • Identify the components of the LF matrix • Prepare a LF in the context of the PLH partnership activities.	**4 hours**
Contents and Key Points	**Methodologies** 
☞ Explain the LFM and its purpose ☞ Discuss the key components of the LFM including goals, outputs, purpose, and activities along with summary, indicators, evidence and assumption ☞ Allow participants to craft a LFM for the PLH activities	➢ Q and A based Brainstorming ➢ Lecture ➢ Group Discussions ➢ Presentation
Material/Aids	**Trainer Roles**
→ Training Guide → Flip Chart → Marker → Power point Slides → Projector	→ Write each key word and concepts on flip charts/power point → Brainstorm participants understanding of the key terms and concepts → Engage participants in the case studies and discussion points → Explain the key concepts and terms by supplementing the prior knowledge of the participants → Engage participants through Q & **A** → Summarize the session

Session Four: Preparation of Logical Framework for NatuReS projects

4.1. What and why is a Logframe Analysis?

Now that the project has been identified and detailed information has been collected, we can start to plan exactly how the project will function. A useful way of doing this may be to use a logical framework (log frame). The process of completing the log frame helps to think through all the factors that should be considered for planning a successful project. Even if people are not planning to develop a log frame, it may help to use the tools included in the log frame approach when planning projects.

4.2. The LF Matrix

The log frame is a tool used to help strengthen project design, implementation and evaluation. Although it is constructed during the planning stage of a project, the log frame is a living document, which should be consulted and altered throughout the project's life cycle. The log frame is a table of four rows and four columns, where all the key parts of a project can be inserted as a clear set of statements: the project goal, purpose, outputs and activities, with their indicators, evidence and assumptions. It shows the project's structure and describes the project logically. The log frame does not show every detail of the project. It is an overview of the key factors. Details can be given in other documents, such as the proposal, budget and activity schedule, which accompany the log frame.

Table 2: The Logframe Matrix

	Summary	Indicators	Evidence	Assumption
Goal				
Purpose				
Output				
Activities				

Most donors use the log frame format above. However, some turn log frames on their side so that the objectives run across the top of the table with the summary, indicators, evidence and assumptions down the side. Having carried out a stakeholder analysis and done research, we can answer the question, 'Where are we now?'

The log frame asks a series of further questions:

- *Where do we want to be? (GOAL, PURPOSE)*
- *How will we get there? (OUTPUTS, ACTIVITIES)*

- ☞ *How will we know when we have got there? (INDICATORS)*
- ☞ *What will show us we have got there? (EVIDENCE)*
- ☞ *What are the potential problems along the way? (ASSUMPTIONS)*

4.2.1. Definition of LFA Components

Different organizations use different terms for the components of the log frame. We explain the terms simply below. Wherever we are aware of alternative names used by other organizations, we provide that name in brackets. The terms will be explained further in the section about completing a log frame (David, 2004).

Table 3: Description of the LFA Components

LFA COMPONENTS	DESCRIPTION
SUMMARY (INTERVENTION LOGIC)	The Summary outlines the project's objectives: what it hopes to achieve and how. There are many different words that describe different types of objectives. We use the term 'objective' as a general term for a desired change. In the log frame, the summary separates out the different levels of objectives to form a 'hierarchy of objectives' and uses special terms to refer to each level.
GOAL	The Goal refers to the overall problem we are trying to address. It is sometimes referred to as the wider development objective. This might be improved incomes, improved access to water or reduced crime. ➢ Improved domestic water use efficiency ➢ Improved irrigation water use efficiency ➢ Improved the fish stock of Lake Hawassa
PURPOSE	The Purpose is the specific change that we want the project to make to contribute to the achievement of the goal. It is sometimes called the Immediate Project Objective. ➢ Improved domestic water technologies ➢
OUTPUTS	The Outputs are what we want to see as a result of our activities, in order to fulfil the purpose.

	Example: Improved crop varieties acceptable to users made available and distributed.
ACTIVITIES	The Activities describe the tasks we will carry out. Example: Farmer participatory research into crop varieties
INDICATORS (MEASURABLE/OBJECTIVELY VERIFIABLE INDICATOR)	Indicators answer the question 'How do we know when we have got there?' They are signs which measure project performance against objectives and play an important part in monitoring and evaluation. Example: 75% of small farmers in the diocese have adopted new rice varieties by the end of year 3.
EVIDENCE	Evidence refers to the source of the information needed to measure performance, who will be responsible for collecting it, and how often. Example: Sample survey carried out by project staff at the end of year 3.
ASSUMPTIONS	Assumptions refer to the conditions that could affect progress, success or long-term sustainability of the project. There may be external factors which cannot be controlled or which we choose not to control. It may be possible to reduce the project's vulnerability to factors which cannot be controlled. These could include climatic change, price changes and government policies.

Session Five: Fundraising Proposal Write - up

Session Objectives: After the completion of this specific training sessions, participants will be able to

- Understand the major principles in NatuReS Fundraising
- Apprehend the major points to be kept in mind in crafting a winning fundraising proposal for NatuReS
- Identify the most important components of a fundraising proposal
- Prepare a sample fundraising proposal that fits to the context of PLH partners.

Session Four: Preparation of Logical Framework for NatuReS projects

Session Topics

Session 5. 1. Principles in fundraising proposal write-up
Session 5. 2. Considerations in fundraising proposal preparation
Session 5.3. Major Components of a fundraising Proposal

Supporting Materials

☞ **Training guide/manual**
☞ **Projector for Power point**
☞ **Discussion Facilitation Guides**
☞ **Sample fundraising proposal**

Session Objectives, Key points, Delivery Methods, Time Allocation, and Trainer Role

Session Objectives	Time allocated
After the completion of this specific training session participants will be able to • Understand the major principles in NatuReS Fundraising • Apprehend the major points to be kept in mind in crafting a winning fundraising proposal for NatuReS	**6 hours**

• Identify the most important components of a fundraising proposal • Prepare a sample fundraising proposal that fits to the context of PLH partners.	
Contents and Key Points	**Methodologies** 
☞ Describe the important points to be kept in mind while crafting a fundraising proposal for NatuReS related undertakings ☞ Explain the most important components of a fundraising proposal ☞ Present sample templates for each component	➢ Q and A based Brainstorming ➢ Lecture ➢ Group Discussions ➢ Presentation
Material/Aids	**Trainer Roles**
→ Training Guide → Flip Chart → Marker → Power point Slides → Projector	→ Write each key word and concepts on flip charts/power point → Brainstorm participants understanding of the key terms and concepts → Engage participants in the case studies and discussion points → Engage participants through Q & **A** → Present sample templates for each components → Allow participants to prepare each component of a fundraising proposal → Summarize the session

Session Five: Fundraising Proposal Write – up

5.1. Key Principles in Fundraising

5.1.1. Considerations in Grant Proposal Writing

In this subheading, we will delve deep into the ways through which one can create a superb grant proposal. The following are important consideration that you should keep in mind in developing a must win grant proposal:

a) **Have a clear picture of the funding organization requirements**: Funding organizations do have their own aspirations, goals, templates/formats, guidelines, and application deadlines. A thorough understanding of these requirements is at the heart of a must win grant proposal. To understand donors requirements the following may help you much
    - Read funders guideline, templates and other formats
    - Visit funders website and understand their mission, vision, and values
    - Consult the relevant authorities or personnel of the donors/funders
    - Seek others advice – Look for a grant winner and/or an expert
b) **Listen to the donors/funders heart beat**: It is not the amount of grant that compel donors/funders to make you their grantee. They never be interested to allocate even a penny unless they are persuaded by a well-developed and compelling narratives. Therefore, a successful grant proposal should tell a story that captures the funder's interest and demonstrates the significance of the proposed project.
c) **Show Capabilities to bring impact**: A grant proposal is likely to win if it really demonstrate impact. Funders for NatuReS are reluctant to release funds for projects that don't bring a notable difference or impact to the community and the natural resources. To make a strong case, grant applicants should demonstrate the potential impact of their project and provide specific examples of how it will benefit the target stakeholders, the community, and the natural resources.
d) **Detail cost break-down**: You are requesting a capital for multiple components of a project that will could be implemented in various spatial and temporal arrangements. You should provide a detailed budget breakdown disaggregated by milestones/activities and time lines. All applicable costs associated with the project should be included.
e) **Testimonials**: A smart grant proposal may end – up in a dust - bean if the funding agencies/donors are not sure your capabilities. To avoid such fears, it is always good to include supporting materials that indicates your capabilities and past performances. This may include letters of support, recommendations, awards, legal certificates and registrations, resume of key personnel, and other documentations.
f) **Submit and follow-up**: Respect deadlines and other requirement during submission. Disappearance after submission is likely to create a wrong impression. After submitting a

grant proposal, it is essential to follow up with the funding organization. This can help demonstrate your commitment to the project and answer any questions the funder may have.

Assume that you want to submit a grant proposal for the WHO to implement a project around Lake Hawassa.

- *What requirements do you expect from the WHO?*
- *What do you think are WHO's interest/heart beats?*
- *How do you address WHO's interest?*
- *What capabilities are likely to be expected from you? How can you demonstrate it?*

5.2. Major Contents of a Grant Proposal

Writing grants can also be a networking opportunity with grant-making organizations, as grant writers often make connections and partnerships that may prove valuable in the future. Most of all, grant writing is an excellent opportunity to demonstrate your organization's commitment to its mission and goals, as grant writers must be able to articulate the importance of their vision. At first glance, grant proposals may only appear to benefit the organization or individual who needs the money, but that's not exactly true. For a grant-making organization, investing in a project, initiative, or organization is an investment in positive change that can have a powerful impact on the issues they care about (Emmanuel , 2022). In grant proposal writing there are certain consideration that a developer should keep in mind before, during, and after writing the proposal.

Considerations in the Pre – grant proposal writing activities

1. Taking sufficient time and preparation is an essential element before you start writing. Each of the following activities shall be considered in the pre – grant proposal writing stage:
    a. `There is no free lunch`: Pursuing grants will incur costs in both partners time and money. Thus, a proposal developer need to find a grant that matches his/her initiatives, create a proposal, and participate in the entire selection process.
    b. **Go for multiple funding sources**: Your grant proposal may or may not be successful. This implies the need to go for multiple sources of funding, and grant opportunities shouldn't change that.

c. `Fierce Competitions`: Remember that grants can be competitive and funding may be limited.
d. Calculate the award against the time invested before pursuing the opportunity.

2. Be sure to have a strong understanding of your project: Be sure to have a strong understanding of your project including desired outcomes, estimated timelines, and other funding sources before you start writing. Your proposal will be evaluated by grant-making bodies and committees who may choose to award funds to your competitors or simply choose not to award any funding due to a lack of clarity or credibility.
3. Create the appropriate accounts: You may also need to create the appropriate accounts and go through verification processes before you can submit a grant. For example, organizations seeking federal funding need to register with the federal grant program before they can ask for a grant.
4. Submit a grant inquiry letter before writing a full grant proposal: In many cases, it may make more sense to submit a grant inquiry letter before writing a full grant proposal. If the grant-making body approves your letter and sends you a request for a formal grant proposal, you can proceed with writing a detailed RFP response to this prospective investor.
5. Save time by using a document management software: Save time by using document management software like PandaDoc to assist you in this difficult task. Besides grant proposals, software tools can handle your quotes, agreements, contracts, and proposals.

Considerations during grant proposal write – up

During the proposal write – up stage, sticking to the following structure of a standard grant proposal is very important.

Step 1. Write a title page and strong cover letter:

Title Page: Simple entry into details is not recommended that a grant proposal developer should have a title page that at least contain the following specific information:

- ☞ Name and address of the funding agency
- ☞ Title of proposed project

- ☞ Applicant name
- ☞ Applicant address
- ☞ Date of submission

Some donors and grant providers do have their own specifications that there is a need to respond to their requirements.

Cover Letter: The cover letter is the perfect opportunity to capture the funder's attention and get your foot in the door. Unlike the rest of your grant application, the letter can be less formal and address the reader more directly. The key objective of your cover letter is to compel the reader to get to your proposal. They've likely received tens or even hundreds of grant applications and your letter should separate you from the crowd as much as possible. Cover letter should be kept brief. It is always important to make a connection with the needs and aspirations of the funding agencies. Thus, the cover letter should assist the reviewer that you understand their most cherished goals that you may draw a straight line from their mission.

Sample Cover Letter

Dear Mr. Kedir Yesuf,

The LHP stewardship respectfully requests a grant of $850,000 for our wetland management project. As an independent and the only stewardship partners in the Hawassa Lake, we understood the extreme man-made and natural shocks and challenges that the Lake and the communities around the Lake are experiencing. Our partnership is particularly concerned about the natural resource risks emerging from the ever-growing population, industrialization, and drought. Despite the multidimensional importance of Lake Hawassa, it is often overexploited, poorly managed and polluted as indicated by the massive wetland encroachment, soil erosion, unequal water allocation, and pollution. The ever-growing population, the growing number of industries and their wastes coupled with the cities wastes has increasingly putting the life-supporting Hawassa Lake under extreme pressure.

Realizing these very facts, the LHP stewardship is doing its level best in protecting and maintaining the Lake. This partnership has been running since 2018 and its coordination and management has been facilitated and supported by the NatuReS Natural Resources

Risk and Action Framework (NRAF). We are committed to solving the multidimensional challenges that Lake Hawassa has been experiencing by implementing wetland management projects and Soil and Water Conservation projects by the end of 2025. The wetland management project will be quite pivotal in wetland restoration and sustainability while creating massive employment opportunities for the communities around the Lake and beyond.

Regards!

Mr. Elias Mesfin (Managing Director)

Step 2: Brief Executive Summary

The second step for a successful grant proposal is a brief executive summary. Therefore, a winning grant proposal should start with a brief executive summary which is also known as a proposal summary. An executive summary is essentially a brief synopsis of the entire proposal. It introduces your partnership, what you do, business, market segment, proposal, project goals — essentially, your grant request. It should have sufficient detail and specifics; get to the point quickly and be pragmatic and factual. The following are some important questions that should be addressed in the executive summary section of a grant proposal:

A. *What is your mission and history? What do you do?*
B. *What is your project's name and who is it supposed to help?*
C. *What problem are you solving and why should it matter?*
D. *What is your end goal and how will you measure whether you achieved it?*
E. *Why should you get the funds? What are your competencies?*
F. *How much money do you need and how do you plan to finance the project in the future? Do you have other funding sources?*

Step 3. Let the funder know your partnership/organization

This is about giving a picture of your partnership. Give information about your partnership background, core business, staff, experience, policy influence, etc. You have now set the stage for

the entire proposal, you can start with your business/organization. Share as much relevant information as you can about your infrastructure, history, mission, experience, values, aspirations, man-power, partnership record, performance record, awards, etc. Here you include a biography of key staff, your business track record (success stories), company goals, and philosophy; essentially highlight your expertise. Client recommendations, letters of thanks, and feedback from customers and the general public are must-have things to write in a grant proposal. Be sure to include all valid industry certifications (ISO or Quality Certifications), licenses, and business and indemnity insurance details. You need to show that your company or organization has the capacity and the ability to meet all deliverables from an execution perspective and also meet all legal, safety, and quality obligations. You may need to provide solvency statements to prove that you can meet your financial commitments to your staff and contractors.

Step 4. State the gap that your project is going to bridge

This is one of the most important stage where you are expected to write a direct problem statement. This is also known as the "needs statement" or "statement of need", where you explain why your community (natural resource) has a problem and how you can provide the solution. You may need to do extensive research on the history of the underlying problem, previous solutions that were implemented and potentially failed, and explain why your solution will make a difference. In a winning grant proposal, the problem statement will heavily rely on quantitative data and clearly display how your organization answers a need.

In writing the statement of the problem, keep the following issues in mind

- **Use comparable data**: Rely on the results of other communities that already implemented your solution and got satisfactory outcomes. Don't make the statement of the problem about you. It's not your organization that needs the grant funding, it's the community.

- **Highlight urgency**: Underline that it's essential this project is started now rather than later.

- **Use circular reasoning**. Don't formulate the problem as "The city doesn't have a youth center –> We can build a youth center". Why does the city need a youth center in the first place? That should be the thought behind your writing process.

- **Focus on the main problem**. Try not to get sidetracked by other phenomena that are contributing to the key problem you're addressing.

Sample statement of the problem

Statement of the problem

The Factsheet published by the NatuReS (2021) made clear that risks emerging from the scarcity and endangerment of natural resources like water, soil and biodiversity are increasing. Despite the multidimensional importance of natural resources, they are often overexploited, poorly managed and polluted as indicated by the massive wetland encroachment, soil erosion, unequal water allocation and pollution around Lake Hawassa. The ever-growing population, the growing number of industries and their wastes coupled with the cities wastes has increasingly put the life-supporting Lake Hawassa under pressure. Another study by Hawassa University (2022) confirmed these findings, highlighting the importance of the design and implementation of "Wetland Management Projects" in dealing with the extreme pressure that the Lake Hawassa has been experiencing.

There is an urgent need for wetland management intervention in protecting the Lake Hawassa from encroachment and overexploitation backed by massive awareness creation campaigns and soil and water conservation measures.

To meet this need, PLH partnership proposes a “Wetland Management Project” that would, for the first time address the problem of “Wetland encroachment and Overexploitation”

NB: For further information look for the website of PandaDoc where you can get a free grant proposal template that has all of these sections incorporated!

Step 5. Clearly state your goals and objectives

Another important part of the grant proposal process is clearly stating your goals and objectives. In fact, many proposals fail because they forget or mishandle this step so all their hard work goes to waste. Write details about the desired outcome and how success will be measured. This section is key to providing information on the benefits that the grantee, community, government, or client will see for their investment. And, although they sound similar, Goals and Objectives should be separated. Think of Goals as broad statements and Objectives as more specific statements of intention with measurable outcomes and a time frame. Keep the following in mind while stating your objectives:

- State objectives as outcomes. An objective is something you want to achieve. No need to be too ambitious. Make sure your goals are attainable and don’t get too ahead of yourself.
- Make your objectives SMART. You can’t really track your progress if your objectives aren’t SMART: Specific, Measurable, Attainable, Realistic, and Time-bound. Don’t mistake goals for processes. Goals are always stated as results and measurable outcomes with a deadline, not as processes.
- Connect goals and objectives to the target population. The final result of your project should always be the betterment of your community expressed in a measurable way.

Here is an example of well-formulated goals and objectives.

A. Goal: Improve the facilitation skill and knowledge of PLH partners in conducting meetings and workshops with Lake Hawassa partners
B. Objective: By the end of the 2023 fiscal year, increase the number of PLH partners by at least 75% (26 on average) compared to the current status (assuming the current number of partners is 15).

NB: How the goal is more optimistic and abstract while the objective is more measurable and to the point.

Step 6. Project design: methods and strategies

You made clear about what you want to achieve (your goals). It is time now to tell how you intend to achieve them. The following are important strategies/methods:

- List the new hires and skills, additional facilities, transport, and support services you need to deliver the project and achieve the defined measures for success.
- Good project management discipline and methodologies with detailed requirements specified and individual tasks articulated (project schedule) will keep a good focus on tasks, deliverables and results.

What should be done at this stage?

- **Connect methods/strategies to the objectives**. Your methods and strategies absolutely need to be connected to the objectives you outlined, as well as the needs statement. Don't assume things. Don't approach the topics like the reader is well-versed in the field. Be specific and introduce your methodologies as though you're talking to someone who knows nothing about your organization or propositions.
- **Provide examples**: If you can, find examples of when these same methods worked for previous projects. Don't forget about your audience. You need to demonstrate that the particular strategies you chose make sense for the community.
- **Demonstrate cost-effectiveness**. Make sure that the grant maker realizes that your methods are rational, well-researched, and cost-effective.

Step 7. The evaluation section: tracking success

This section covers process evaluation — how will you track your project's progress? It also includes the timeframe needed for evaluation and who will do the evaluation including the specific skills or products needed and the cost of the evaluation phase of the project. This is one of the most important steps to writing a grant proposal, as all funders will look for evaluations. Whether we're talking about government agencies or private foundations, they all need to know if the program they invested in made a difference. Evaluation can be quite expensive and need to have entry and exit criteria and specifically focused in-scope activities. All out-of-scope evaluation activities need

to be specified as this phase can easily blow out budget-wise. Once again, solid project management discipline and methodologies will keep a good focus on evaluation tasks and results. Keep the following in mind as far as your evaluation is concerned:

- Obtain feedback: It needs to include some sort of feedback from the community taking part in the project. Don't make it vague. You need to clearly outline the measurement methods that will tell both you and your funders how the program is doing. No room for vagueness here.
- Decide between internal and external evaluation. One of the most important variables here is whether you'll be doing the evaluation with your staff or hire an external agency to do it independently. Don't neglect time frames. It's not just about measuring success, it's about measuring success across time. So, make sure your evaluation strategies are periodic.

Example of project evaluation considering the hypothetical wetland management project above:

Project Evaluation

The M & E team of PLH partners will administer qualitative and quantitative questionnaire before (baseline) and after (midline and end line) the "Wetland Management Project" implementation to the Hawassa Lake user communities and other stakeholders in order to analyze to which degree the project is fulfilling the objectives. The longitudinal evaluation activities will be created by a set of outside collaborators (experts/consultants/researchers in wetland management) and will take place on a yearly basis for the duration of the program. During each year, we will ask lake users and stakeholders about the situation of the lake to have a clear picture of improvements registered as a result of our project intervention and identify areas of improvement and generate feedback.

Step 8. Other funding sources and sustainability

Your founders won't like the idea of investing in a short-term project that has no perspective. They'll be much more willing to recognize a long-term winner and reward a promising project that can run on a larger scale. That's why you need to show how you can make this happen. This section of your grant proposal is for funding requirements that go beyond the project, total cost of ownership including ongoing maintenance, daily business, and operational support. This may require you to articulate the projected ongoing costs (if any) for at least 5 years. An accurate cost model needs to include all factors including inflation, specialist skills, ongoing training, potential future growth, and decommissioning expenses when the project or the product reaches the end of its life cycle. Keep the following in mind at this stage:

- Have a strong blueprint. Most grant reviewers will know a thing or two about business plans so you need to show a viable blueprint for sustainability. Exactly how will you generate revenue and keep the project going? Don't leave anything out. Don't leave space for speculation or filling in the blanks. Everything needs to be outlined and you need to show — without a doubt — that your program can run even after the initial resources are gone.
- Mention other funding. If you plan to get more government funding, this is the place to mention it. Don't think that this isn't a good long-term strategy.

Step 9. Outline a project budget

Of course, one of the most important grant proposal topics is budgeting. This is the moment when you go into detail about exactly how you'll be using the resources from an operational standpoint. Provide full justification for all expenses including a table of services (or service catalog) and product offered can be used to clearly and accurately specify the services. Remember that the project budget section is the true meat of your grant proposal. Overcharging or having a high quote can lose you the grant and even be seen as profiteering. Underquoting might win you the business but you may not be able to deliver on your proposal which could adversely impact your standing with the grantee. Many grantors underquote in the hope of hooking the reader and then looking for additional funding at a later stage. This is a dangerous game to play and could affect your

individual or company's brand, community standing, or industry reputation. Keep the following in mind at this stage:

- **Pay attention to detail**. Everything, and we mean everything needs to be covered. Travel costs, supplies, advertising, and personnel — don't leave anything out. Don't do it alone. Especially if you're not that good with numbers, don't hesitate to include other people and assemble a team to tackle this task together.
- **Double-check**. It can be easy to leave out a zero or move a decimal point and distort everything by accident. Be thorough! Don't forget about indirect costs. A lot of grant writers will leave out indirect costs like insurance, utilities, trash pickup, etc. These can stack up, so be careful not to forget them!
- **Round off your numbers**. This is just for the readers' sake. Don't use a lot of decimal points and uneven numbers will be harder to track.

Here's how a project budget would look for a fictional grant for a cross-country research study:

Item				
Transportation costs	**Qty**	**Cost**	**Subtotal**	**Total**
Air Travel (Round trip Hawassa - Addis)	4	$2, 000	$8, 000	$8,000
Domestic Land transport (Round trip)	24	$500	$12,000	$12,000
Sub-Total Transportation Expenses				$20,000
Project Allowances				
Project MEAL Expert	5 years	$60,000	$300,000	$300,000
Researcher	5 years	$75,000	$375,000	$375,000
Partnership Training	35 days	$3800	$13,3000	$13,3000
Sub-Total Project allowances				$688,300
Office Utilities, Equipments and administrative costs				
Office rent	**5 years**	**$10,000**	**$50,000**	**$50,000**
Laptop computers	**6**	**$1,000**	**$6,000**	**$6,000**
Knowledge management software	**6 months**	**$2,300**	**$13,800**	**$13,800**
Audio-recorder	**5**	**$350**	**$1,750**	**$1,750**
Wetland fencing wires	**6000 meters**	**$3.50**	**$21,000**	**$21,000**
Wetland fencing poles	**60**	**$4.25**	**$255**	**$255**
Administrative fee	**5 years**	**$7950**	**$39,750**	**$39,750**
Sub-Total Office Utilities, Equipments and administrative costs				***$132,505***
Total Grant Request				$840,805

Below a table like this, you can further clarify any key points, like what a research assistant will do and why they're needed for the study. You can also explain how you intend to use a specific piece of software to save time or money.

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Group work

(120 minutes)

Based on your experience as member of the PLH partnership

(a) What were the three most pressing problems of the community you are working with?

	(b) Who are the potential stakeholders that are positively or negatively collaborating in addressing or becoming hurdle to address the problem? (c) Draw a problem tree that indicate the cause and effect relation of the core problem (d) Draw objective tree so that to come out with potential interventions (e) Prioritize the interventions that are plausible /feasible with the scope of the project and the local conditions. (f) What alternative fundraising options are available to tackle these most pressing problems? Have you ever tried to be a grantee of these alternative fund-raising options? If no, why?