This chapter contains:

1. Techniques promoting creativity
2. Goal setting
3. The design framework
4. Dealing with “donor-speak”
First Steps in the Logical and Results Frameworks

INTRODUCTION

“Some people reach the top of the ladder only to find it is leaning against the wrong wall.” – ANONYMOUS

Program or project designs that are not closely linked to a thorough and updated conflict assessment risk becoming wonderful ladders leaning against the wrong walls. Unfortunately, in the peacebuilding field, few ladders can be easily moved to another wall. We need to build each ladder for the wall we hope to climb. The first step in program design is to conduct or (re)read the most up-to-date conflict assessments and analyses.

This chapter introduces the basic components of program design, which are the basis for the main design frameworks including the logical and results frameworks. It focuses largely on the design hierarchy, or the relationship between the different levels, with peacebuilding in mind. It also contains a table that shows a comparative illustration of the design language used by a number of the main peacebuilding donors.

This chapter also looks at integrated peacebuilding programming, with lessons from the Collaborative for Development Action. Reference to the design guidelines of specific donors is listed at the end of this chapter.

Why is design important?

The effective use of program design frameworks helps to:

- Improve program effectiveness
- Promote program continuity over time
- Facilitate modification and adjustment to a changing context, and
- Facilitate useful monitoring and evaluation.
How do we come up with creative peacebuilding program designs?

Coming up with the ideas that give life to a peacebuilding initiative is no small feat. Design is inherently a creative process, and in peacebuilding it often requires collaboration. We have yet to develop a guaranteed process, but have found the following practices to be helpful.

**TALK, LISTEN, AND ASK DIFFICULT QUESTIONS OF THE STAKEHOLDERS, PARTICULARLY WOMEN AND YOUTH.**

Robert Chambers created a very successful development career around one simple concept: the reality that matters most is that of the stakeholder(s). In addition to being best informed about their own reality, they often have invested the most time in thinking about how to change that reality. Insiders’ ideas and outsiders’ resources can produce surprising results.

**CONVENE PEOPLE TO ENVISION A COLLABORATIVE FUTURE.** At one point in the Burundi peace process, many civil society peace workers had become stymied. There could be no further work, they reasoned, until a ceasefire had been negotiated. To them the process had gotten out of sequence. In a workshop anticipating what could be done once a ceasefire was in place, many participants refused to entertain the notion of peace—it wasn’t yet a reality. The emphasis of the gathering, many thought, should be on obtaining a ceasefire. These skeptics finally relented and developed a list of potential next steps following a ceasefire. The facilitators then asked why these could not be implemented in the absence of a ceasefire. There were a few steps that would have to wait, but most were things people could start working on immediately. People left the workshop reinvigorated.

**CONSIDER THE COUNTER-INTUITIVE.** Doing the unexpected can produce positive results. This might mean accepting a proposal at face value or showing up where one is not expected, à la Anwar Sadat, the late Egyptian leader, who traveled unexpectedly to Israel in 1977. It might mean going in the direction of the flow of energy rather than offering resistance, much like Aikido, a martial art based on the use of principles of nonresistance as a way to undermine the strength of the opponent. Agreeing that someone’s perspective has merit can take a lot of venom out of an argument.

**MAKE BRAINSTORMING A DISCIPLINE.** Convene brainstorming sessions with people skilled in lateral thinking and defer judging or assessing ideas until you have a rich pool of possibilities. Use visual stimuli or metaphors to develop unusual associations and new ways of looking at things.
PRACTICE OPPORTUNISM. Every event, even the mundane, is pregnant with opportunity for peacebuilding. Recognizing those opportunities comes with practice since not every opportunity requires action. Once opportunities are recognized, they need to be carefully assessed. Opportunities often have longer shelf lives than we expect. Two types of opportunity are particularly powerful: leverage points and synergies. Leverage points are opportunities to achieve either a scale or a significance well beyond the effort required to implement them. Boycotts are an example of leveraging. Many people, each withholding an individual transaction, fuel boycotts as a way to influence suppliers or governments. Synergies are mutually reinforcing dynamics that exceed the sum of the parts. The synergy or linking of peacebuilding efforts between herders and farmers, on the one hand, with development efforts, on the other, to increase the number of, and access to, boreholes can transform decades of hostility and resentment.

RELEASE THE ARTIST IN PEOPLE. John Paul Lederach maintains that “building adaptive and responsive [change] processes requires a creative act; which at its core is more art than technique…. [As peacebuilders] we need to envision ourselves as artists… and [regain] a sense of the art, the creative act that underpins the birth and growth of personal and social change.” (Lederach, 2005)

Once you have an idea and have discussed it thoroughly with people who know and understand the circumstances of your program, your creative concept will need to be transformed into a program design that can be read, supported, and perhaps even implemented by other people. Most of the rest of this chapter has to do with making that idea understandable and credible, and with illustrating its value and worth.

How are designs built?

Imagine that your analysis has identified a need for something located on a very high shelf, seemingly far out of reach. Below the shelf is a series of small platforms, which are also out of reach as seen on page 29. If we could find a way to get onto the platforms, we might be able to reach the item we need. We look around to see what is available to enable us to climb up to a platform. We could build scaffolding or a ladder. We could try ropes or hire a helicopter to lower us onto the platforms. We choose to build a ladder both because we want to be able to go up and down repeatedly and because we can get the materials quickly and inexpensively. We then get busy ordering supplies, taking measurements, learning ladder safety, cutting wood, etc.

Program design requires our thinking to go through a similar series of challenges in getting from one place to another, or from one result
The important thing to keep in mind is how the different levels – activity, output, objective, and goal – interact with each other. From the top, looking down, the level immediately below explains how the level above it will be achieved. We will reach the goal by achieving the objectives. We will reach the objectives through the outputs. Finally, we obtain the outputs by implementing the activities.

From the bottom looking up, each higher level explains why we are doing what preceded it on the lower level. We are implementing the
activities to produce the outputs. We need the outputs in order to achieve the objectives. We want to achieve the objectives because they contribute to the realization of the goal.

Ways to Understand the Design Hierarchy

<table>
<thead>
<tr>
<th>Why?</th>
<th>Design Hierarchy (levels)</th>
<th>How?</th>
</tr>
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<tbody>
<tr>
<td></td>
<td>Goal: Broadest change in the conflict</td>
<td>How will we achieve the goal? By achieving the objectives below.</td>
</tr>
<tr>
<td></td>
<td>Objectives: Types of changes that are prerequisites</td>
<td>How will we achieve the objectives? By producing the outputs below.</td>
</tr>
<tr>
<td></td>
<td>Outputs: Deliverables or products, often tangible from the activities</td>
<td>How will we produce the outputs we need? By implementing the activities below.</td>
</tr>
<tr>
<td></td>
<td>Activities: Concrete events or services performed</td>
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</table>

How do we set the goal?

The goal is the broadest change in the conflict that the program hopes to achieve. The goal should derive from the conflict or the people in conflict, rather than from the service or intervention that might be offered. The assessment should help in setting the goal. If the conflict assessment indicates that fear is the major factor contributing to the violence, the goal should focus on overcoming fear or increasing trust. If the assessment reveals that there is an active and high incidence of daily violence against a vulnerable population, a protection goal might be most strategic. Assessments and theories of change are the most common inputs into developing goals.

One way to determine whether or not one has reached the goal is by asking “why” five times. Strengthening the capacity of the office of the National Mediator, for example, is not a goal because it does not describe an intended change in the conflict. Why strengthen the capacity of the National Mediator? The answer to the question helps reveal the goal. In this case, the thinking is that the National Mediator can play an important role in resolving inter-community disputes over land tenure. Therefore, a more accurate goal is to

The goal is the broadest change in the conflict that the program hopes to achieve.

One way to determine whether or not one has reached the goal is by asking “why” five times.
“resolve inter-community disputes over land tenure.” Why do we want to resolve inter-community disputes over land tenure? We want to reduce the incidence of inter-community violence. Why do we want to reduce inter-community violence? We want to achieve greater human security. Why do we want to achieve greater human security? And so forth. Asking and answering the question why will take you to the goal.

Setting the goal at the appropriate level is critical. The team should attempt to identify a goal that is ambitious enough to represent an important change and realistic enough to be achievable given current realities and constraints. In the example above, the goal might be to reduce inter-community violence stemming from land tenure disputes.

The shift toward capacity building in recent years has been driven, in part, by the emphasis on sustainability. Obviously, it would be better to build local capacity to resolve future disputes that evolve in a changing environment than it would be to resolve one isolated dispute. By the same token, it would be better to sustain the capacity to prevent violent conflict rather than to intervene to prevent a single incident. In capacity building programs, the means (i.e., improved services) frequently become the goals, with little concern for the larger conflict that motivated the push for expanded services in the first place. In addition, local capacities often tend to focus on specific types of disputes such as herder/farmer conflicts or community-based disputes rather than those dealing with structural inequities, impunity, identity-based conflicts, and more “intractable” conflicts. The liability of the capacity-building approach is that it is all too common to find that the only change that is tracked relates to the capacity rather than the conflict.

How do we manage goals set by the donor?

Some donors have preferences. For example, the Office of Transitional Initiatives of USAID wants to set goals that are achievable by the implementing partner. Thus, make sure that you know your donor and modify your proposal accordingly. Other donors prefer making peace the goal. Reflecting on Peace Practice, or RPP\(^6\), calls this goal “peace \textit{writ large}.” Here the idea is that all peacebuilding programs should be able to demonstrate their contribution to peace at the most macro level even if this is not the stated goal of the program. This does not imply that every program needs to be able to achieve peace \textit{writ large}; rather, it indicates that each program can work on its piece of the peace without having to do everything. Partners and other organizations each make specific and coordinated contributions toward peace \textit{writ large}.

Some donors have their own design hierarchies for a conflict and expect their implementing partners, such as NGOs, to make proposals

\(^6\) More information on RPP can be found online at \url{http://cdainc.com}. 
that dovetail with their design framework. This requirement often means that the lowest level of the donor’s framework becomes the highest level of the local implementing partner’s program design structure.

Donors also need help in setting goals, however. Don’t casually discard your analysis and planning to blindly integrate the donor’s goal. In many cases, goals and objectives can be negotiated to meet mutual interests or simply be submitted through another channel, such as an unsolicited proposal.

Project objectives describe the types of changes that are prerequisites to achieving the goal.

“How do we define the objectives?”

Project objectives describe the types of changes that are prerequisites to achieving the goal (see the chapter on Understanding Change page 18 for examples of types of change). If our goal is to increase the level of trust between two communities, one objective might be to increase the amount of constructive, safe contact between those communities. If we are seeking to protect vulnerable populations, an objective might be to expand and improve policing efforts.
Strengthening the offices of the National Mediator is an objective because it does not involve a change in the conflict. It is one means of achieving the goal of reducing inter-community violence stemming from land tenure disputes. There are generally several (1-3) objectives to be achieved under any given goal. Other possible objectives in the National Mediator example might be to introduce a land title and registration system, adjudicate pending cases from earlier failed land redistribution initiatives, or broadcast harvest and migration schedules.

Objectives ensure a logical link between activities and goals, which is why they can be difficult to develop. As peacebuilders, we want peace. As practitioners, we have creative and exciting ideas about activities and events. Determining and demonstrating the connection between peace and our proposed activities is critical.

**How do we select the activities and outputs?**

Activities are the concrete events or services that program staff members and participants implement such as dialogue sessions, mediations, exchange visits, curriculum development, radio soap opera production, community organizing, sporting events, training, negotiations, etc. The immediate deliverables or products from activities, which are often tangible, are called outputs. A training activity will produce trained people as an output. A mediation will produce facilitated negotiation sessions as an output. Recording a radio soap opera will produce radio shows.

Outputs and activities are so closely linked that they are best conceived together rather than separately. Well-produced outputs contribute to the achievement of the objectives. Outputs are like the rungs on the ladder – each one should move us closer to the corresponding objective.

The challenge in selecting activities is making a few strategic and effective choices from a large menu of possibilities. Criteria established prior to assessing the many possible activities will help weed out the great ideas of little importance. Consider the outputs that each activity will generate. Are they needed? Are they enough to lead to the change anticipated in the objective? Making a contribution toward the objectives has to be among the top criteria in choosing among multiple activities.

**Aren’t all design hierarchies relative?**

Those well-trained in implementing activities correctly point out that activities also have goals, objectives, and activities within the implementation of those activities. For instance, an individual training, which is an activity within a larger program, contains a goal for that training, objectives on how to reach that goal, and a set of activities that collectively
constitute the entire training. This “relativity,” to borrow from Einstein, is extensive. Three separate programs, each with its own design, could be focused on the same intervention at a different level in their design. What might be characterized by a donor – such as DFID, for example – as an activity might be a goal for a local peacebuilding organization.

Understanding relativity in program design can be instrumental in identifying partners, building integrated programs, finding points of collaboration, reinforcing interventions, and creating synergies to leverage greater results.

The Relativity of Design Hierarchies

Point of entry depends on focus, capacity, scope and interest.

How do we identify assumptions?

Assumptions are the unproven connections between levels. Most assumptions focus on:

- How the context will evolve.
- Program philosophy or approach.
- Participation. In a war zone, for example, many programs assume there will be sufficient security to safely access the people or certain areas.
- Our understanding of how things work in life. For example, we assume that relationships built by enemies in the safety of a workshop or a structured exchange will enable them to behave differently upon their return to their everyday, often-polarized environments. We assume that greater transparency will lead to better governance, rather than to well-publicized corruption. We assume that a ceasefire opens space for negotiations rather than serving as a time for restocking ammunition and reinforcing military positions.

It is important to identify assumptions early in the design process, ideally when establishing the goals and objectives, and certainly before developing indicators and the means of verification.
It is important to identify assumptions early in the design process, ideally when establishing the goals and objectives, and certainly before developing indicators and the means of verification. If the assumptions are unlikely to hold (remain true), the goals and objectives may need to be further refined. Once the effort has been made to develop indicators, people are reluctant to alter them because of an inaccurate assumption. Therefore, develop assumptions for each level and determine if the design hierarchy is still viable before proceeding to indicators.

When we begin to look at assumptions we quickly become swamped. Which assumptions matter the most? The following flowchart can help in determining which assumptions to include in the design. Generally speaking, we need to consider those assumptions that could possibly prevent or block a connection between one level in the design and another level.

**Determining Assumptions**

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How likely is it that the assumption will prevent the program from advancing to the next level in the design framework?

**Very Likely**
- Is it possible to redesign the program in a way that reduces the likelihood of the assumption?
  - yes: Redesign the program
  - no: Program is not technically viable

**Possible**
- Include in the Log frame

**Unlikely**
- Do not include in the Log frame
```
moving around to ensure their safety. Consequently, the program should be redesigned in such a way that additional activities are directed at changing the behaviors of key stakeholders, such as conducting mobile training workshops for leaders, organizing zones of peace, and distributing solar-powered radios.

This assumption might be different in an area where listenership is high and where past evaluations reflect evidence of significant behavioral change among certain segments of the population which have repeatedly been exposed to balanced and accurate media. We would, therefore, include this assumption in the design. The same program assumes that people will be able to purchase batteries to listen to the radio. In this specific context, such an assumption is very unlikely to prevent the program from advancing because batteries are cheap, produced locally, and in large supply. Thus, we would not include this assumption in the design.

It is important to identify and determine how to deal with assumptions before beginning to work on indicators and other parts of the monitoring and evaluation plans.

How do we put all of these ideas together?

A single goal promotes clarity. There is no fixed, required number of objectives, although 2-3 objectives are the norm. There is also no set number of activities for each objective. The activities and outputs, when viewed together, should reflect a convincing mass or momentum that will result in the planned objective.

Putting It All Together

<table>
<thead>
<tr>
<th>Narrative Summary</th>
<th>Assumptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Goal</td>
<td>Reduce the incidence of youth violence in five counties by 40% in three years</td>
</tr>
<tr>
<td>Objective 1</td>
<td>Increase the safe, no-violence areas</td>
</tr>
<tr>
<td>Objective 2</td>
<td>Promote collaborative relationships between major youth groups</td>
</tr>
<tr>
<td>Objective 3</td>
<td>Improve relationships between communities and youth groups</td>
</tr>
</tbody>
</table>
The concepts outlined above – hierarchies and assumptions – are common to both logical and results frameworks. The logical framework is oriented toward work to be done in the future. The results framework describes the results as if the program has already been completed.

The example above is an excerpt from the logical framework, minus the monitoring and evaluation components to be discussed later. When completing a logical frame, complete these two columns first before proceeding to the monitoring and evaluation columns.

How are logical and results frameworks different?

The concepts outlined above – hierarchies and assumptions – are common to both logical and results frameworks, which are the most common design frameworks in the peacebuilding field at present. These frameworks are intended to facilitate design and enable better management of project implementation. As such, they are actually management tools, but for the purpose of this manual, we will refer to them as program or project design frameworks.

The major difference between the two versions – logical and results – is one of perspective. The logical framework is oriented toward work to be done in the future. The results framework describes the results as if the program has already been completed. Because the results
framework focuses on achievements, the logical connections between levels are sometimes clearer and easier to understand. The table below illustrates how each framework handles the same objective.

**Results vs. Logical Frameworks**

<table>
<thead>
<tr>
<th><strong>Logical Framework</strong></th>
<th><strong>Results Framework</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Objective</td>
<td>Intermediate Result</td>
</tr>
<tr>
<td>To reduce by 50% within three years the number of people in each identity group who fear the other identity group</td>
<td>After three years, 50% of the people in each identity group no longer fear people of the other identity group</td>
</tr>
<tr>
<td>Both ethnic groups will respect traditional cultural heritage events of the other group</td>
<td>Cultural heritage events of both groups were celebrated in an atmosphere of acceptance and respect</td>
</tr>
</tbody>
</table>

For additional information on how to complete specific design frameworks, see the resource guide at the end of this chapter.

**Designing Integrated Peacebuilding Programs**

Integrated programming is often perceived as combining programs from different sectors, such as health and peacebuilding or education and peacebuilding. For our purposes, integrated peacebuilding refers to the connection between two or more approaches to peacebuilding in an effort to promote synergies and leverage greater results. This is also referred to as vertical integration. Another way to think about this concept is in terms of integrating multiple theories of change. More often it is the realization that changes require multiple stakeholders, with differing interests, to agree on a variety of solutions or changes. Accessing each stakeholder may require a different approach to each. Programs working with all the needed stakeholders or those linked to other programs that include all needed stakeholders are likely to succeed.

In Confronting War, Critical Lessons for Peace Practitioners, the authors have synthesized 27 case studies into several concrete strategies for integrated peacebuilding programs. They first categorized all the programs into four types along two axes. One axis describes the targeting of people, ranging from more people to key people. The other axis looks at the locus of the change ranging from individuals to institutions.
In sum, the findings suggest programs will be more effective when they:

- **CONNECT THE INDIVIDUAL/PERSONAL LEVEL AND THE SOCIO/POLITICAL LEVEL.** Evidence shows that when programs focus only on change at the individual/personal level without regard to how these may be translated to the socio/political level, actions inevitably fall short of having an impact on the larger goals. Many peace efforts that work either with more people or with key people at the individual/personal level aim to build relationships and trust across lines of division, to increase tolerance, to make peace seem possible and within reach to people, or to inspire hope. Practitioners and communities talk of having been “transformed personally” by a particular program or “having my perceptions about the other side changed” or “improving my relationships and communication with individuals on the other side.” The evidence shows, however, that in order to have a real impact on conflict, personal change must be translated into actions at the socio/political level.

- **CONNECT MORE PEOPLE AND KEY PEOPLE AT THE SOCIO/POLITICAL LEVEL.** Evidence shows that even in activities at the socio/political level, work with more people is not enough if it does not reach key people, while work with key people is not enough if it does not reach more people. Some examples will illustrate these
common problems of peace programming. An agency organized an ongoing high-level dialogue process involving influential people with decision-making power in the official negotiations. This resulted in improved communication in the official negotiations and the uptake of some ideas on solutions. However, after several years, the two sides remained far apart on a political resolution. Leaders on both sides claimed they were blocked from making more progress. Public opinion was described as “not ready.” The effort was stuck at the key people level, and was unable to affect the more people level.7

How do we monitor and evaluate if we don’t have a design?

The original design document and its subsequent incarnations are important references in monitoring and evaluation. Well-written plans, such as logical and results frameworks, that contain useful indicators can play a significant role in facilitating implementation, monitoring, and evaluation, contributing to learning, and cutting costs. In the absence of an initial design, evaluators may need to work with practitioners to recreate the project’s/program’s original goals and objectives. When this type of effort is undertaken, the result is more likely to reflect current perspectives rather than those held at the outset of the program. Placing emphasis on the goals and objectives sought today can be problematic because there is a risk of overlooking important developments and modifications made either after the original design or during implementation. Subsequent developments may contain important strategic breakthroughs, missed opportunities, or flawed decisions made on false assumptions.

If the donors use design terms differently, how do we know what they mean?

Most donor agencies and actors within the peacebuilding world use a core set of design terms; however, they use them in vastly different ways. In other words, “impact” to one donor may mean “results” to another, while “goal” for one organization may refer to “overarching objective” to another. These hidden differences cause confusion and frustration for those seeking to translate their project design into the appropriate format for each donor.

The OECD (Organization for Economic Cooperation and Development) has produced a glossary of terms for evaluation that is becoming widely adopted by evaluation departments within donor governments (available online at http://www.oecd.org/dataoecd/29/21/2754804.pdf). However,
these definitions have not yet been transferred into the design frameworks for most donor agencies, which means that the glossary cannot be relied upon for donor design purposes.

To assist the need for translation, a terminology decoder for donor design, monitoring, and evaluation terms has been developed, found on page 42. Since donor frameworks and requirements change frequently, check with the donor to ensure that this language is still current before submitting a proposal for funding.

Please see Appendix A on page 227 for a list of the source documents for each of the donor agencies.

Further Reading


# Donor Terminology Decoder

<table>
<thead>
<tr>
<th>SFCG</th>
<th>Goal</th>
<th>Objective</th>
<th>Activity</th>
<th>Inputs</th>
<th>Output</th>
<th>Outcome</th>
<th>Impact</th>
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<tbody>
<tr>
<td>UNDP</td>
<td>Outcomes</td>
<td>Outputs</td>
<td>Activities</td>
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<tr>
<td>CIDA</td>
<td>Project Goal (Program Objective)</td>
<td>Project Purpose</td>
<td>Resource</td>
<td>Resource</td>
<td>Output</td>
<td>Outcome</td>
<td>Impact</td>
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<td>EuropeAid</td>
<td>Overall Objective</td>
<td>Purpose</td>
<td>Activities</td>
<td>--</td>
<td>Results</td>
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<td>Overall Objectives Specific Objectives</td>
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<td>Means</td>
<td>Expected Results</td>
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<td>Activities</td>
<td>Output</td>
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<td>Goal</td>
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<td>Component Activities</td>
<td>Input/Resources</td>
<td>Output</td>
<td>Impact</td>
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<td>UNHCR</td>
<td>Goal</td>
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<td>Input</td>
<td>Outputs</td>
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<td>SIDA</td>
<td>Goal/Overall Objectives/ Development Objective</td>
<td>Project Purpose/ Immediate Objective</td>
<td>Activities</td>
<td>Resources/Input</td>
<td>Results/Outputs</td>
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<td>RELEX</td>
<td>Overall Objectives</td>
<td>Operation Purpose</td>
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<td>Overall Objectives</td>
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<td>Activities</td>
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<td>USAID</td>
<td>Strategic Objective</td>
<td>Immediate Results</td>
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