PADM-GP 2211

Program Development and Management for International Organizations

Fall 2021

Instructor Information

- Professor: Charles Downs
- Email: cd69@nyu.edu
- Office hours: After class and by appointment

Course Information

- Class Meetings: Seven Friday sessions 09:00 to 13:00 from 3 September to 29 October
- Class Location: Rubin hall room 104, 35 5th Avenue Washington Square

Course Description and Objectives

Managers of international public service organizations, be they large or small, governmental or non-governmental, are accountable to a governing body or board that sets policy objectives and in some sense is responsible to a population meant to benefit from their activities. It is up to the managers to develop programs and projects that translate these broad objectives into concrete action plans, to implement these activities, and to report on progress. This progress should in turn be assessed against the respective plan and the results against the program objectives, leading to such adjustments as may be appropriate.

To do this effectively requires an amalgam of the skills and knowledge addressed in various other courses at the Wagner School: strategic planning to develop the necessary responsiveness to political and socio-economic realities; multicultural studies to build broad partnerships that will bring the program to life; understanding of institutions, policies and procedures; human resources to ensure that the right people will be at the right place at the right time; financial management to obtain and allocate resources judiciously; procurement to satisfy the material needs of the program; monitoring and evaluation to track progress in relation

to plans and goals; data management to provide the best possible information for decision-making; and communications to keep public perceptions on track.

In this course, we will be examining the inner workings of projects, and try our hand on the design of one or more. We will study the characteristics of effective programs, which bring together a series of projects for mutually supportive and concerted action. We will pay particular attention to programs selected from the areas where international public sector entities are most active, particularly post-conflict relief and development, and we will review case studies to gain a deeper understanding of the relationship between policy, design, and management of implementation. We will do this from the perspective of the program manager who must make decisions and manage project resources to achieve results in an imperfect world.

Upon completion of the course, participants will be able to design a program of action based on clear policy directives, to draft a comprehensive project document, and to monitor and evaluate the implementation of an ongoing program with a view to achieving planned outputs and contributing to intended outcomes, and (when necessary) recommending corrective action. Furthermore, students will have greater awareness of the many unplanned problems that may arise while they manage their projects and will have developed a toolkit of materials which will assist them to effectively address project design and management challenges.

Learning Assessment Table

Course Learning Objective Covered	Corresponding Assignment Title
Understand and apply core concepts in logical framework approach to design of projects – identify strengths, weaknesses and redesign of actual project log frame to support effective project management	Assignment #1: Review and redesign of project logical framework; Output and Outcome Exercise
Understand current application of strategic planning and results-based management in some United Nations agencies	Readings and class discussion (ungraded)
Understand issues to be addressed for effective management of multi-agency UN programmes	Assignment #2: Accountability and effectiveness - lessons from Oil-for-Food for management of multi-agency programmes
Understand issues of operational management as well as corruption as obstacles to effective project management	Readings and class discussions (ungraded)
Insight into beneficiary opportunity costs resulting from programme planning	Assignment #3: Priority setting for field operations in landmine clearance
Understand concepts and practical issues of public procurement to mobilize technical services and goods for UN programmes	Readings, class discussion and (ungraded) procurement knowledge assessment
Demonstrate ability to design a project with clear logical framework for management, monitoring and evaluation	Assignment #4: Project/grant proposal

Teaching Method and Grading

This is a collaborative course, where all the participants are partners and resources in a joint learning venture, and all are expected to take an active role. Instructor presentations will highlight key questions from materials for each week, which students are expected to read in advance. Classes include time for discussion and participants are encouraged to bring in material from their own work environment that could be relevant for the course. The course will be conducted on an intensive basis with seven extended Friday meetings. **Preparation is essential to fully participate in and benefit from each class; this includes reading the weekly presentation and other course materials in advance of the class. Attendance is required.**

Grading will be determined largely by completion of four written assignments including a final project proposal:

- Three group assignments: (a) a project design logframe assignment (prepared for first session, discussed in class, and completed before second session), (b) a lessons learned assignment regarding accountability and effectiveness (prepared for third session, discussed in class, and completed before fourth session), and (c) a priority setting exercise (prepared for fifth session, discussed in class, and completed before sixth session) will each count for 20% of the final course grade.
- Students are expected to come to each class fully prepared for the respective assignment. Assignments will be partially developed in work groups during the class session and due by 5pm evening of the following Thursday. Preliminary approach to most assignments is due Thursday evening before the respective class. Grades will be given to each group.
- Each participant's submission at the end of the course of a final project/grant proposal – meeting course specifications – will account for 40% of the course grade.
- Strong participation in class discussions throughout the semester, including on-line forums, and optional class presentation of relevant material, will each provide opportunity for extra credit to be factored into the calculation of the final grade.

Required Readings

Course readings will be drawn primarily from actual documents used by the organizations whose work we will examine to consider the issues of concern to the course. Weekly presentations by the instructor are part of the required reading to be completed prior to class. Materials are on-line in NYU Classes; required sections of documents are often contained in full documents that students may wish to read – check syllabus for pages. Additional documents that may serve as elements of student "toolkits" for future work are also provided. Students are invited to submit case materials from their own experience, which will be made available on-line for discussion.

Required Texts

The Gosling required text, used in the course and a useful long-term reference, is available on NYU Classes and may be available at the NYU Bookstore. Transparency International's "Preventing Corruption in Humanitarian Operations" is on NYU Classes and downloadable.

- **Gosling, Louisa (2006), Toolkits: A Practical Guide to Monitoring, Evaluation and Impact Assessment, London: Save the Children**
- **Transparency International (2010), Preventing Corruption in Humanitarian Operations**
  - [Transparency International Download](http://www.transparency.org/whatwedo/pub/handbook_of_good_practices_preventing_corruption_in_humanitarian_operations) (http://www.transparency.org/whatwedo/pub/handbook_of_good_practices_preventing_corruption_in_humanitarian_operations).

Recommended Texts

The following recommended books are also available at the NYU Bookstore or online:

- Uvin, Peter (1998), **Aiding Violence**, Waterbury: Kumarian Press
- IBRD, **World Development Report 2017 – Governance and the Law**
  - [World Development Report 2017](http://www.worldbank.org/en/publication/wdr2017) (http://www.worldbank.org/en/publication/wdr2017)
- IBRD**, World Development Report 2011 – Conflict, Security and Development**
  - [World Development Report 2011](http://wdronline.worldbank.org/worldbank/a/c.html/world_development_report_2011/abstract/WB.978-0-8213-8439-8.abstract) (http://wdronline.worldbank.org/worldbank/a/c.html/world_development_report_2011/abstract/WB.978-0-8213-8439-8.abstract)
- UNDP, **Human Development Report 2019**
  - [Human Development Report 2019](http://www.hdr.undp.org/sites/default/files/hdr2019.pdf) (http://www.hdr.undp.org/sites/default/files/hdr2019.pdf)

Course Outline and Schedule

Any change to precise schedule will be announced in advance.

SESSION #1 – Friday September 03

Introduction

Introduction of the participants. Overview of the course. The management challenge: from policy to programs to projects to results, while attending to relevant risks. Expectations and goals for the semester.

Required Materials:

- Course syllabus
- World Bank, Project Cycle

  Exercise: Course expectations

TOPIC I – LOGICAL FRAMEWORK APPROACH TO DESIGN & MANAGEMENT

Concepts of program and project design, management, monitoring and assessment: Logical Framework Approach (logframe) to results-based design and implementation of major development agencies. Analysis of specific agency project documents to determine how clearly each was designed.

Required Materials:

- Instructor's weekly presentation: Session 1
- CARE, Logframe "Rosetta Stone"
- Gosling, **Toolkits**, pgs 68-91, 222-234
- Agency project management guides (read one carefully; skim one for comparison)
  - ECHO (2005). PCM Handbook, pgs 1-18
  - FAO/SEAGA (2001). Project Cycle Management Technical Guide, pgs 11-52
  - ILO Child Labour Project Formulation Guide - Logical Framework Approach pgs 23-42
  - UNDP (2009). Handbook on Planning, Monitoring and Evaluating, pgs 53-73
- Sample agency project documents (read two)
  - Trickle-Up, Irian Jaya – Micro-Finance Project Proposal for USAID
  - UNDP Liberia – Community Based Support in Reintegration and Recovery
  - UNICEF Senegal – Women's Empowerment (note page #212 out of order)
  - GFATM - Angola HIV/AIDS – Round 4 (especially pages 20 and onward)

Toolkit #1 – Agency guides to project design:

- Bond (2013), Logical Framework Approach
- DFID (2011), Guidance on Using Revised Logical Framework
- DFID (2002), Tools for Development
- ECHO (2005), PCM Handbook
- Europeaid (2004), Project Cycle Management Guidelines
- FAO (2011), Mainstreaming Gender in Project Cycle Management

- IFAD, Annotated Example of Project Logframe Matrix
- ILO (2010), Project Design Manual
- Innovation Network – Logic Model Workbook
- Kellogg, Logic Model Development Guide
- OECD (2002), Glossary of Key Terms and Results Based Management Terminology
- Europeaid (2004), PCM Guidelines
- Seco (2008), Logical Framework User's Manual
- UNDG (2012), RBM Handbook
- UNDG Technical Brief – Outcomes, Outputs and Indicators aligned with RBM
- UNDP (2009), Handbook on Planning, Monitoring and Evaluation
- USAID Technical Note (2012), The Logical Framework
- World Bank (2005), Logical Framework Handbook

Assignment #1:

Prior to first class session, read two of the required agency project management guides, one thoroughly and the other for comparison. Read two agency project documents and come to the first class prepared to develop in class a logframe for one of the projects. Finalized assignment due by 5pm on Thursday before second class.

SESSION #2 – Friday September 10

The UN Secretariat operates several key programs each with annual budgets in excess of $100 million received through contributions to its General Trust Funds. Such funds face specific operational risks that differ from those that existed when the UN system was established. What are these risks? How can they be assessed and managed? In December 2012, in anticipation of an end to the Syrian conflict, the Group of Friends of the Syrian People agreed to establish the Syria Recovery Trust Fund (SRTF), which began to operate in late 2013. How should the program managers know and show whether they have been effective? Do the operational and corruption risks faced by the SRTF differ from those of the UN General Trust Funds? Can they be managed?

Required Materials:
- Instructor's weekly presentation: Session 2
- Downs, United Nations Global Trust Fund Risk Assessment, 2010
- SRTF General Eligibility Criteria and Guidelines for Development of Logical Frameworks
  - SRTF General Eligibility Criteria (http://www.srtfund.org/articles/13_general-eligibility-criteria)
- Downs, Incorporating NGOs in UN Humanitarian programs: lessons learned from Sudan CHF/FMU
- Transparency International, Preventing Corruption in Humanitarian Operations, pgs. VIII-XIII, 7-20

Toolkit #2 references: Monitoring and evaluation indicators

- High Level Panel – Post 2014 Global Partnership and Goals
- MDG Goals and Indicators
- GFATM, Top 10 Indicators for HIV/AIDS, TB and Malaria
- GFATM 2011, Monitoring and Evaluation Toolkit
- Roche, Chris (2004). Impact Assessment for Development Agencies
- OHCHR 2012, Human Rights Indicators
- UNDP 2010, Democratic Governance Indicators
- UNDP 2005, Gender-sensitive and Pro-Poor Indicators of Good Governance
- UNDP 2006, Indicators for Human Rights Based Approach to Development
- UNDP 2013, Human Development Report
- World Bank, Governance Matters
  - World Bank Governance Indicators (www.govindicators.org)
- World Bank 2013, Worldwide Governance Report
- Monitoring and Evaluation website:
  - Monitoring and Evaluation (http://www.mande.co.uk)

Optional Presentation

Student presentation of own past projects for review of logframe structure

Assignment #1

Group logframe for project, begun in Session 1, due via email by 5pm Thursday before Class #2

Assignment #4

Students identify project topic for final proposal via email by 30 September

TOPIC II – DESIGN OF PROGRAM MANAGEMENT FOR EFFECTIVENESS AND ACCOUNTABILITY

SESSION #3 – Friday September 24

Longstanding concerns with accountability in use of development funds were heightened with the Volker Committee review of the UN Oil-for-Food program, with strong echoes in assessments of the US development efforts in Iraq and Afghanistan. What were the problems identified? What lessons can be learned from the OFFP review to improve the management of future multi-agency programs? The Heads of State assembled for the opening session of the 2005-2006 UN General Assembly called for specific UN efforts to develop democracy, and the UN Democracy Fund became operational in early 2006. Were the Oil-for-Food lessons applied for UNDEF? In 2015, OCHA issued a comprehensive Operations Manual for Country Based Pooled Funds. Do efforts to ensure accountability run counter to operational effectiveness?

Required Materials:

- Instructor's weekly presentation: Session 3
- Report of the Independent Inquiry Committee (IIC-Volcker Report), Vol 4, at least Chaps 4 and 6
- Report of the IIC (Volcker Report) on the "Impact of the OFFP on the Iraqi People", pgs. 176-185
- UNDEF website: Project Proposal Guidelines, and Monitoring, Evaluation and Reporting Guidelines
- OCHA, Operational Handbook for Country Based Pooled Funds, pgs. 25-39
- Transparency International, "Institutional Guidelines and Polices," in "Preventing Corruption in Humanitarian Operations," pgs. 41-54

Documents for further background

- Independent Inquiry Committee documents
- Report on implementation of US assistance to Iraq
- Report on UNDP/UNOPS implementation of USAID QIPs in Afghanistan

Assignment #2

Lessons learned: design for accountability and effectiveness of multi-agency programs – initial bullet points due by email Thursday preceding class; come prepared to develop group memo in class. Final version of the assignment due by 5pm Thursday evening following this class.

Exercise

Review "logframe exercise set" before class, for discussion during session.

Optional Student Presentation

SESSION #4 – Friday October 01

The United Nations has sought to increase its own effectiveness through focus on results. First, through Results Based Budgeting and currently Results Based Management. How is this carried out by agencies, and how could it be strengthened? OCHA, OHCHR and UNMAS have each tried to establish strategic goals, outcomes and outputs to enable management for results? How successful have they been? What are the difficulties in their implementation?

Required Materials (read OCHA or OHCHR materials, according to your own interest):

- Instructor's weekly presentation: Session 4
- OCHA, **Proposed Strategic Framework**, 2018-2019 pgs. 2-10
- OCHA, **Strategic Plan 2018-2021**, skim all
- USG Compact – OCHA
- OHCHR, **Proposed Strategic Framework**, 2018-2019, pgs. 2-13
- OHCHR, **Management Plan 2018-2021**, skim all, table of planned results pgs. 56-59
- USG Compact – OHCHR

- UNMAS, **Strategic Plan**, 2019-2023
- SG Accountability Report #8

Documents for further background:
- ACABQ and GA documents on RBM and UN accountability system
- UN General Assembly, Strategic Framework, 2018-2019
  - [UN General Assembly Strategic Framework](#)
- High Level Panel – Post 2014 Global Partnership and Goals
- UN Mine Action Strategy, 2019-2023
- UN, Handbook on RBM
- UNDP, RBM in UNDP: Technical Note
- OECD (2001), RBM in Development Cooperation
- UNDG (2012), RBM Handbook
- UNDG (2011), Technical Brief: Outcomes, Outputs and Indicators
- UNICEF (2005), RBM Guide

Final Assignment (#4)

Submit your tentative topic by 29 September by email and plan to discuss

Topic III – OPERATIONAL MANAGEMENT FOR PROGRAM EFFECTIVENESS

SESSION #5 – Friday Oct 08: Planning and Priority Setting for Impact

Setting operational priorities is one of the most important management decisions. Information is key to implementing international policies, allocating funds among programs, and deciding how to best use project assets. The Global Landmine Survey was initiated in 1998 by a group of NGOs working with the UN and key donors seeking to better understand the extent of the global landmine crisis, to enable donors to better allocate funds to countries with greater need, to assist mine action programs to work where they would have the greatest impact and to be able to measure their progress. The Landmine Impact Surveys have had both more and less effect than their advocates expected. We will consider the results of the surveys and implications of alternative priority setting criteria when applied to an actual national landmine survey database. We will also consider the impact of mine action on beneficiary communities.

Required Materials:
- Instructor's weekly presentation: Session 5
- Downs, Increasing Impact of Survey in Mine Action, Journal of Mine Action, 10:2, 2006
- UNOPS – Priority Setting for Mine Action Programme Impact
- UNDP, Evaluation of Impact of UNDP in Mine Action, 2016, pages 27-47
- Transparency International, Preventing Corruption in Humanitarian Operations, 119-122, 131-134

Further reading:

- Final Report of the Evaluation of the Global Landmine Survey
- Downs, Survey and Land Release, Journal of Mine Action, 13:2, 2009
- SAC – Impact Scoring and Community Classification
- Database for priority setting exercise

Assignment #3:

Draft group priority setting exercise due by 5 pm Thursday before class by email.
Final priority setting exercise due by 5pm Thursday following this class.

Optional Student Presentation:

Strengths and weaknesses of community based rapid assessment approaches (participatory rapid assessment and planning techniques – rapid rural appraisal descendent) or other topic

Student presentations: Discussion of student final projects

SESSION #6 – Friday October 15: Managing Project Resources: Procurement, Risk, Reporting and Monitoring

Donors have sought to harmonize their approaches to project management and to rely increasingly on national systems and procedures, in order to simplify and lower costs to beneficiary governments and to increase the effectiveness of capacity building efforts. What are the principles and focus of these harmonization efforts?   What are the implications of using national systems for procurement? How is "implementation partner capacity" assessed and how can it be developed? What are the increased risks of corruption with greater reliance on partner capacity and how can they be managed? What practical steps can a project manager take? Building on projects introduced earlier, we will focus on importance of monitoring and reporting.

Required Materials:

- Instructor's weekly presentation: Session 6
- OECD, High-Level Forum on Aid Effectiveness: A History (Rome, Paris, Accra, Busan, Mexico links)
- EU Aid Effectiveness (https://ec.europa.eu/europeaid/policies/eu-approach-aid-effectiveness_en)
- Transparency International, "Programme Support Functions", in Preventing Corruption in Humanitarian Operations, pgs 63-87 (procurement), 89-98 (HRM), and 99-114 (finances)
- Downs, Principles of Public Procurement, extract from draft training manual, 2006

Toolkit #3 references – Procurement procedures and issues

- Transparency International, Curbing Corruption in Public Procurement, 2006

- Transparency International, Mapping the Risks of Corruption in Humanitarian Action, 2006
- OECD/DAC, Joint Procurement Policy
- UNDP, Financial and procurement rules and procedures
- UNDP Programming Manual – Management of Inputs and Finances, pgs 14-34
- UNOPS, Contracting Process
- World Bank, Deterring Corruption and Improving Governance in the Electricity Sector

Optional Student Presentation:

Corruption risks in humanitarian and development operations [or other]

Student presentations: Student projects

Exercise:

Assessment of basic procurement knowledge

Toolkit #4 references – Partner assessment and strengthening:

- UNFPA, Assessment of National Execution Capacity – A Methodology
- UNDP, Capacity for Programme and Project Management – Key Considerations
- UNDP (2006), Review of Selected Capacity Assessment Methodologies
- UNDP (2010), Users Guide to Civil Society Assessments
- UNDG (2014), HACT assessment instrument
- UNICEF, Guidelines for Assessment of NGOs as Partners
- Interamerican Development Bank, Institutional Capacity Assessment Tool
- PACT, Organizational Capacity Assessment Tool
- PACT, Organizational Capacity Assessment Tool Guide
- GFATM, Principal Recipient Assessment Tools
- GFATM, M&E Systems Strengthening Tool
- Tools for Partner Capacity Assessment
- Transparency International, Preventing Corruption in Humanitarian Operations, (123-130)
- Support to Life (2016), Partner Capacity Assessment Tool

SESSION #7 – Friday October 22

Course Conclusion – What Have We Learned: Summing Up and Evaluation Up

Classroom discussion on the main themes and issues addressed during the semester; review of course in relation to student goals identified at the first session.
- Course expectations and goals from first session
- Your final thoughts

Course evaluation:

Please complete written evaluation on-line.

FINAL PROJECT DUE 15 NOVEMBER TO DECEMBER 19

Drafts accepted for comment two weeks before submission, latest 30 November

Academic Integrity

Academic integrity is a vital component of Wagner and NYU. All students enrolled in this class are required to read and abide by Wagner's Academic Code. All Wagner students have already read and signed the Wagner Academic Oath. Plagiarism of any form will not be tolerated and students in this class are expected to report violations to me. If any student in this class is unsure about what is expected of you and how to abide by the academic code, you should consult with me.

Henry and Lucy Moses Center for Students with Disabilities at NYU

Academic accommodations are available for students with disabilities. Please visit the Moses Center for Students with Disabilities (CSD) website and click on the Reasonable Accommodations and How to Register tab or call or email CSD at (212-998-4980 or mosescsd@nyu.edu) for information. Students who are requesting academic accommodations are strongly advised to reach out to the Moses Center as early as possible in the semester for assistance.

NYU's Calendar Policy on Religious Holidays

NYU's Calendar Policy on Religious Holidays states that members of any religious group may, without penalty, absent themselves from classes when required in compliance with their religious obligations. Please notify me in advance of religious holidays that might coincide with exams to schedule mutually acceptable alternatives.