



Enhanced Integrated Framework (EIF)
for trade-related assistance for Least Developed Countries (LDCs)



Capacity Building in Project Identification, Formulation and Design

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INTRODUCTION

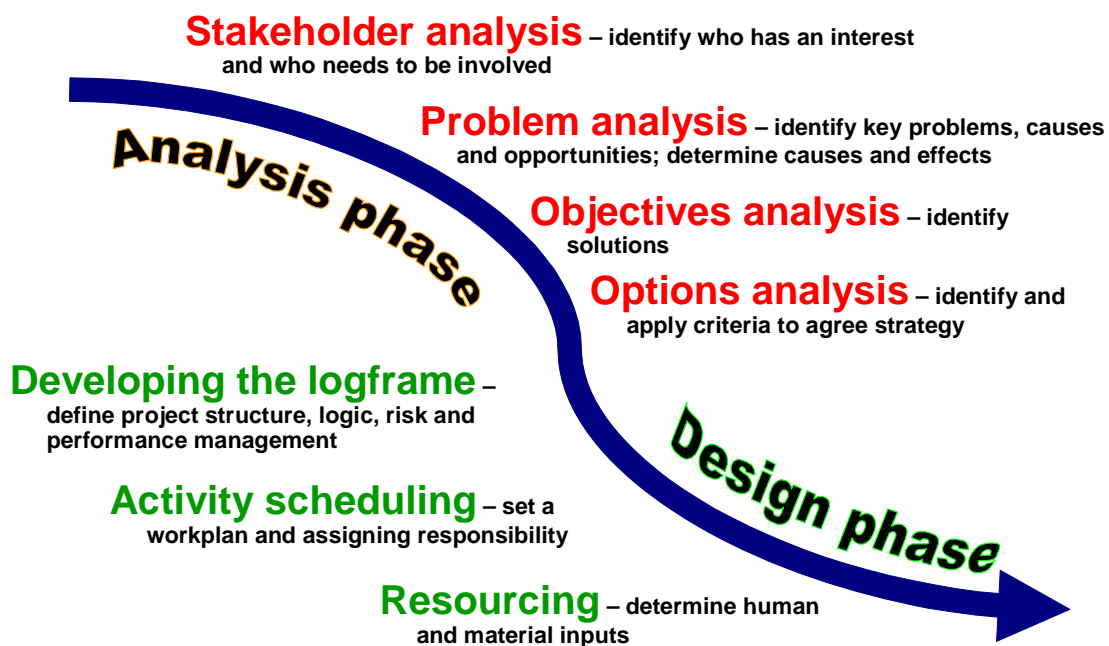
Project and Programme management and planning can be difficult at the best of times. When the project or programme is one that involves a whole range of partners and agencies, it can be made even more so.¹ The “Programme and Project Thinking Tools” introduced in this handbook have evolved over several decades to support teams undergoing “project” work.

The term ‘project’ can be confusing. In essence a **project** is set of activities aimed at achieving clearly specified objectives within a defined time period and with a defined budget. The “Project Thinking Tools” can be applied at different levels of planning and decision-making. Essentially they can be used, with a relatively small project, a higher-level programme or indeed a whole organisation. **In this handbook, the term ‘project’ is intended to include these higher levels.**

The process of developing the key “thinking tool” - a logical framework (logframe) - for a project includes the development with key partners of thorough and clear plans². The logical framework can help to organise the thinking within the project and to guide the purpose, with built-in mechanisms for minimising risks and monitoring, reviewing and evaluating progress. Completed logical frameworks form the basis of a project plan and can be used as a reference tool for on-going reporting.

The thinking tool approach is divided into two phases of **analysis** and **design**.

The Project “Thinking Tool Approach”



¹ For more background on projects and project management, see Appendix B

² For more information on the strengths and weaknesses of the logframe approach, see Appendix D

Put it another way, the “Project Thinking Tool” process helps guide the planning of a journey from where we are now, **HERE**, to where we want to go, **THERE**. It works through 7 core questions. This guidebook devotes a chapter to each question.

HERE

1 - Who are ‘we’?

Who has an interest? Who should be involved?

2 - Where are we now?

What are the problems? What are the possibilities?

3 - Where do we want to be?

What are the options? What are our objectives?

4 - How will we get there?

What activities do we have to undertake?

5 - What may stop us getting there?

What are the risks and how can we manage them?
What assumptions are we making?

6 - How will we know if we’ve got there?

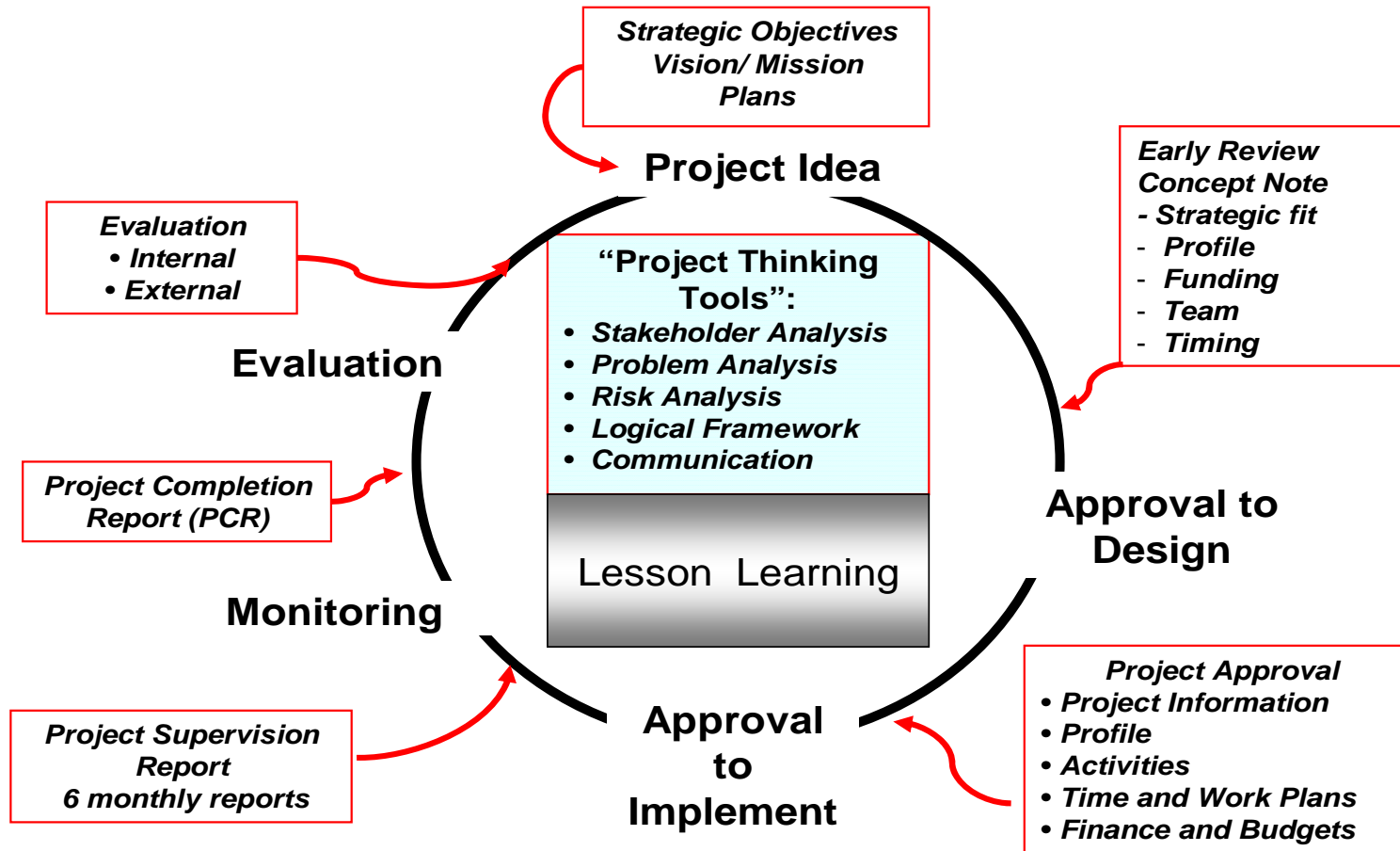
What are our indicators and targets?
What evidence do we need?

7 – What do we need to get there?

What detailed activities and resources are needed?

THERE

Figure 1: The Programme or Project Cycle



The Programme or Project Cycle

1. STAKEHOLDER ANALYSIS; WHO ARE WE?

1.1 Why do we involve others?

Involving key partners in the early stages of project planning helps ensure commitment and ownership. This can help minimise tensions later on and has the added benefit that it pools knowledge and experience; helping to ensure the plan is as robust as possible. In a multi-agency project this early involvement is vital.

Effective engagement is likely to result in:

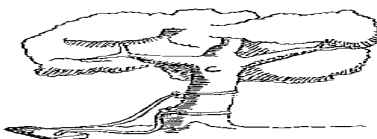
- Improved **effectiveness of your project**. There is likely to be a greater sense of **ownership** and agreement of the processes to achieve an objective. **Responsiveness** is enhanced; effort and inputs are more likely to be targeted at perceived needs so that outputs from the project are used appropriately.
- Improved **efficiency**. In other words project inputs and activities are more likely to result in outputs on time, of good quality and within budget if local knowledge and skills are tapped into and mistakes are avoided.
- Improved **sustainability** and **sustainable impact**. More people are committed to carrying on the activity after outside support has stopped. And active participation has helped develop skills and confidence and maintain infrastructure for the long term.
- Improved **transparency** and **accountability** if more and more stakeholders are given information and decision making power.
- Improved **equity** is likely to result if all stakeholders' needs, interests and abilities are taken into account.



What the experts proposed



What the government department specified



The design after review by an advisory committee



The final compromise design agreed



The system actually installed



What the people really wanted!

Participation can have some simple but very important benefits!³

³ The original of this cartoon was published about 30 years ago. We have been unable to trace the cartoonist but we would very much like to acknowledge them.

Participation is likely to have many benefits. But it is not a guarantee of success. Achieving participation is not easy. There will be conflicting interests that come to the surface; managing conflict is likely to be an essential skill.

Participation can be time consuming. And it can be painful if it involves a change in practice; for example in the way institutions have 'always done things'.

Working out who needs to be involved and what their input/interest is likely to be needs to be done as early as possible, but should also be repeated in the later stages of the project to assess whether the original situation has changed and whether the involvement of groups is being adequately addressed.

1.2 Who do we need to involve?

Analysing the stakeholders who need to be involved is one of the most crucial elements of any multi-agency project planning. Stakeholder analysis is a useful tool or process for identifying stakeholder groups and describing the nature of their stake, roles and interests.

Doing a stakeholder analysis can help us to:

- identify who we believe should be encouraged and helped to participate
- identify winners and losers, those with rights, interests, resources, skills and abilities to take part or influence the course of a project
- improve the project sensitivity to perceived needs of those affected
- reduce or hopefully remove negative impacts on vulnerable and disadvantaged groups
- enable useful alliances which can be built upon
- identify and reduce risks; for example identifying areas of possible conflicts of interest and expectation between stakeholders so that real conflict is avoided before it happens
- disaggregate groups with divergent interests.

Stakeholder analysis needs to be done with a variety of stakeholders to explore and verify perceptions by cross-reference.

Some potential groups you may want to consider are:

- Users groups - people who use the resources or services in an area
- Interest groups - people who have an interest in or opinion about or who can affect the use of a resource or service
- Winners and losers
- Beneficiaries
- Intermediaries
- Those involved in and excluded from the decision-making process.

Another useful way of thinking about stakeholders is to divide them into:

- **Primary stakeholders. (Often the *WHY* or target population of a project.)**
They are generally the vulnerable. They are the reason why the project is being planned. They are those who benefit from or are adversely affected by the project. They may be highly dependent on a resource or service or area (e.g. a neighbourhood, a health clinic) for their well-being. Usually they live in or very near the area in question. They often have few options when faced with change.
- **Secondary stakeholders. (Often the *HOW* of reaching the Primary Stakeholders.** These include **all other** people and institutions with a stake or interest or intermediary role in the resources or area being considered. Being secondary does not mean they are not important; some secondaries may be vital as means to meeting the interests of the primaries.

It may be helpful to identify **Key Stakeholders**; primary and secondary stakeholders who need to play an important active part in the project for it to achieve its objectives. These are the agents of change. Some key stakeholders are 'gatekeepers' who, like it or not, it is necessary to involve; otherwise they may have the power to block the project.

NOTE: Other meanings of the terms Primary and Secondary are used in some organisations. For example, **Primary** may refer to those **directly affected**, **Secondary** to those **indirectly affected**. This interpretation has generally been replaced by that above in order to emphasise a **poverty and MDG-focus**.

1.3 Undertaking a Stakeholder Analysis

There are many different tools to help us to think about our stakeholders. Which ones are used depends upon the questions that need to be addressed. This example is one way (but not the only way) of doing a stakeholder analysis.

There are several steps:

1. List all possible stakeholders, that is, all those who are affected by the project or can influence it in any way. Avoid using words like 'the community' or 'the Local Authority'. Be more specific, for example, '12 to 14 year olds' or the 'Youth Service'
2. Identify, as thoroughly as possible, each stakeholder's interests (hidden or open) in relation to the potential project. Note some stakeholder may have several interests. (See Figure 1a).
3. Consider the potential impact of the project on the identified stakeholders. Will the project have a positive or negative impact on them? (Award it + or - or +/- or ?).
4. Decide which stakeholder groups should participate at what level and when during the project cycle (see Figure 1b). Remember you cannot work with all groups all of the time. Complete participation can lead to complete inertia!

There are many other ways of doing a stakeholder analysis and many other factors that could be considered.

1.4 Where to get more information on stakeholder analysis:-

- <http://www1.worldbank.org/publicsector/anticorrupt/PoliticalEconomy/PREMNote95.pdf> - excellent World Bank paper on stakeholder analysis in reform processes
- <http://www1.worldbank.org/publicsector/politiceconomy/November3Seminar/Stakeholder%20Readings/SAGuidelines.pdf> - interesting guidelines for doing SA (over-complex and quantitative?)
- <http://www.stsc.hill.af.mil/crosstalk/2000/12/smith.html> - a good journal article
- <http://www.dfid.gov.uk/pubs/files/toolsfordevelopment.pdf> - DFID (2002) Tools for Development.
- <http://http-server.carleton.ca/~jchevali/Frontengl.html> - eccentric Canadian website
- <http://www.phrplus.org/Pubs/hts3.pdf> - stakeholder analysis in health reform
- <http://www.policy-powertools.org/index.html> - tools for SA in natural resource management

1.5 A note on the Organic and Fairtrade Dried Fruit (OFDF) project case study

The next 2 pages give an example of a Stakeholder Analysis.

Throughout this Handbook we have used one case study to illustrate the stages in the “Project Thinking Tool” approach. This will help you to see how the “thinking tools” link together.

The **Organic and Fairtrade Dried Fruit (OFDF) project case study** is based on a real project in **Central Asia**. We have removed some of the detail to make it more useful as a training case study. We have therefore made the context fictitious; we call the country **Misral**.

The **Organic and Fairtrade Dried Fruit** project involved the Government of Misral and the donors involved working together **to support small-scale growers of dried fruits to access niche markets in Europe and the Far East**.

Figure 1a The Organic and Fairtrade Dried Fruit (OFDF) project case study: Example of an initial Stakeholder Analysis

Stakeholders		Interests	Impact (+, -, ?)
Primary stakeholders			
1	Small-scale growers (less than 1ha; usually tenants, often sharecroppers)	Improved livelihoods through increased income generating opportunities Access to premium markets through cooperation Safe alternative to narcotics production	+ + ?/+
2	Children employed in production and processing	Limited employment that does not hinder school education	+
3	Women employed in production and processing	Improved income opportunities; safe, working conditions; fair, direct pay not to husbands	+
4	Large-scale growers (more than 1ha, landowners; often employers)	More production; added value; higher prices; more reliable income Gains that outweigh production, environmental and employment restrictions Safe alternative to narcotics production	+ ? ?/+
5	Producer groups / cooperatives	Access to premium markets; economy of scale; joint OF accreditation; voice	+
Secondary stakeholders			
6	Ministry of Agriculture, Livestock and Food (MALF) district level field staff	Long-term job prospects; opportunities for skills development Safety and security	+ ?/-
7	Provincial MALF Chiefs	Access to budget and capacity building; support in decentralised planning; political capital	+
8	MALF at national level	Delivery on national and local objectives; extra resource and support to Administration	+/?
9	OFDF Implementing Partner	Income through project management; success in delivery of results; future work prospects; capacity building opportunities for staff Security and safety of staff	+ -/?
10	OFDF Project staff	Long-term job prospects; opportunities for skills development Safety and security	+ ?
11	Misral Dried Fruit Traders Association	Access to high value niche markets Consistent and reliable supply	+
12	Central Asian Traders (of dried fruit & nut products)	Access to high value niche markets Consistent and reliable supply	+
13	Drug cartels and narcotics traders	Loss of supply and control	-
14	Dried fruit importers (Europe and Far East)	Consistent and reliable supply; lower on-costs due to volume of supply and small number of dependable trading partners	+
13	IFOAM (International Federation of Organic Agricultural Movements)	Achievement of objectives; reputation	?/+ +
14	FLO (Fairtrade Labelling Organisation)	Achievement of objectives; reputation	+
15	FAO Food and Agriculture Organisation	Achievement of objectives	+/?
17	Donors	Achievement of WB Country Plan objectives	+

Figure 1b The Organic and Fairtrade Dried Fruit (OFDF) project: Example of an initial Summary Participation Matrix

Action	Inform	Consult	Partnership		Manage/Control
Project Stage					
Identification		FAO	Donors Misral Dried Fruit Traders Association		Ministry of Agriculture, Livestock and Food (MALF)
Planning		Small scale growers Children Women Large scale growers	DONOR Producer Groups Provincial MALF Chiefs FAO	Misral Dried Fruit Traders Association Central Asian Traders Dried Fruit Importers Fairtrade Labelling Organisation (FLO)	MALF
Implementing and Monitoring	Donors	MALF FAO International Federation of Organic Agriculture Movements (IFOAM)	Implementing Partner Small scale growers Children Women Large scale growers Provincial MALF Chiefs	Project staff Producer Groups Misral Dried Fruit Traders Association Central Asian Traders Fairtrade Labelling Organisation (FLO)	Project Steering Committee
Evaluation	FAO	Implementing Partner Project staff Central Asian Traders IFOAM FLO Donors	Producer Groups Small scale growers Children Women Large scale growers	Provincial MALF Chiefs MALF Project Steering Committee Misral Dried Fruit Traders Association	External Evaluators

2. PROBLEM ANALYSYS; WHERE ARE WE NOW?

2.1 Identifying Problems and Possibilities (the current situation)

The first step has helped us to identify who needs to be involved, how and when in the initial design phase. With the right stakeholders on board, focus now turns to analysing the situation and prioritising the way forward, through situation and option analysis to help us to understand the current circumstances and develop possible choices for the future.

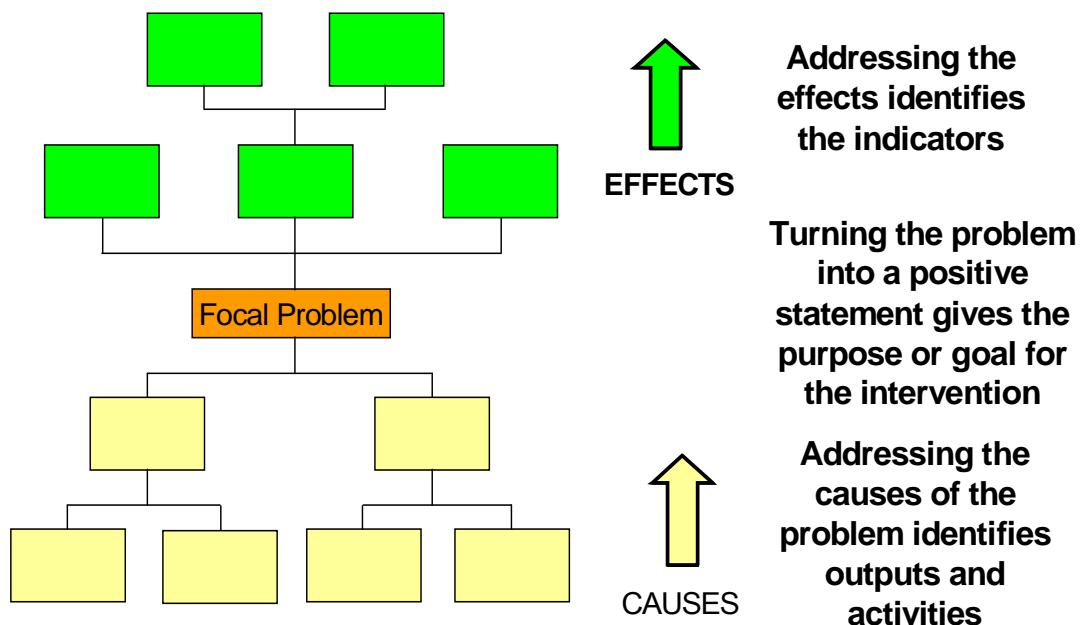
The purpose of these activities is to develop a relationship of mutual respect and agreement between key stakeholders and to reach a position of collective understanding of the underlying issues and problem so that they can move onto the next stage.

There is no single right way to do this and there are a number of options for working through the process – you should judge for yourself the best route to fit the context. This stage will include analysis of previous studies, research or evaluation material – perhaps documents that have lead you to this stage or documents from other organisations. There may also be notes from earlier meetings that may inform the process. The exercise usually needs to be repeated with different stakeholder groups, often very different pictures of the situation emerge.

2.2 Developing a Problem Tree

Developing a **problem tree** is one way of doing problem analysis. Essentially this involves mapping the focal problem against its causes and effects.

Figure 2a The Problem Tree



Depending on the group or the situation there are two methods for developing a problem tree...

Start with a blank sheet of flip chart paper, pens and 2" x 2" post-its (or small card and tape).

Method 1: "Brainstorming"

This method can be more creative, but it is risky; you can get tangled up.

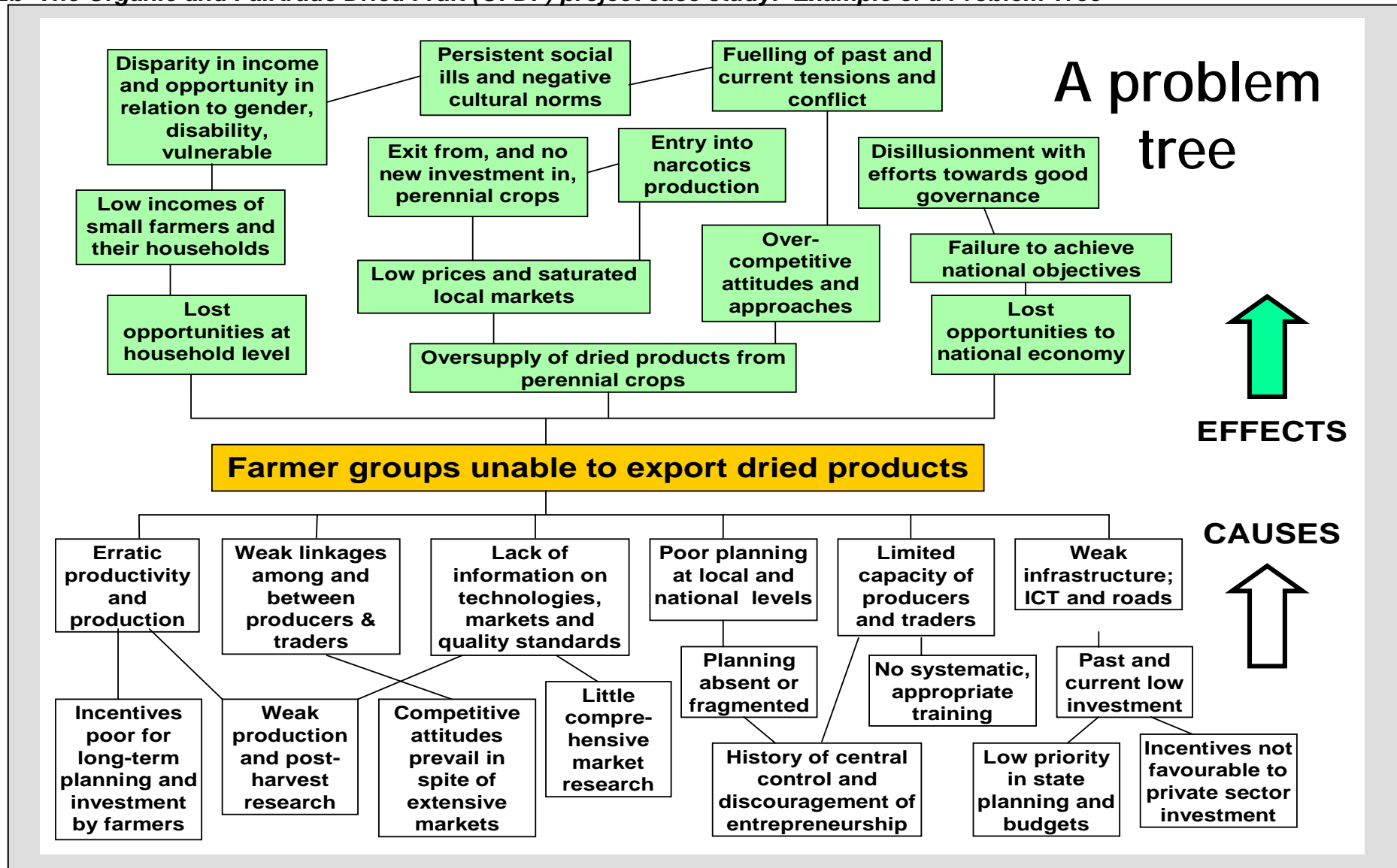
- Participants "**brainstorm**" **issues** around a problem(s) as yet unidentified. Each issue is recorded on a separate post-it. Don't stop and think or question, just scatter the post-its on the flipchart. When ideas for issues dry up and stop,
- **Identify and agree the focal problem.** It is probably there on the flipchart, but may need rewording. Note that a problem is not the absence of a solution, but an existing negative state.
- **Sort the remaining issues into causes and effects** of the problem.
- **Cluster the issues into smaller sub-groups** of causes and effects building the tree in the process. Tear up, re-word and add post-its as you go.
- Finish by drawing **connecting lines to show the cause and effect relationships.**

Method 2: Systematic

Better suited to the more systematic and methodical.

- Participants first **debate and agree the focal problem.** Write this on a post-it and place it in the middle of the flipchart.
- Now **develop the direct causes** (first level below the focal problem) by asking '**but why?**'. Continue with 2nd, 3rd and 4th level causes, each time asking '**but why?**'.
- **Repeat for the effects** above the focal problem instead asking '**so what?**'.
- **Draw connecting lines to show the cause – effect relationships.**

Figure 2b The Organic and Fairtrade Dried Fruit (OFDF) project case study: Example of a Problem Tree



3. OBJECTIVES AND OPTIONS ANALYSIS; WHERE DO WE WANT TO BE?

3.1 Looking forward

Having defined the problem that we are trying to tackle we now need to develop this into objectives that we can work towards.

Some facilitators and participants prefer to skip Step 2 the Problem Tree and move directly on to an **Objectives** or **Vision Tree**. Instead of looking back, looking forward; rather than thinking in terms of negatives, participants imagine a desired situation in the future; (this Focal Objective is placed in the centre of the flipchart.) What is needed to achieve that situation? (placed below the Focal Objective). What would result from achieving the situation? (placed above).

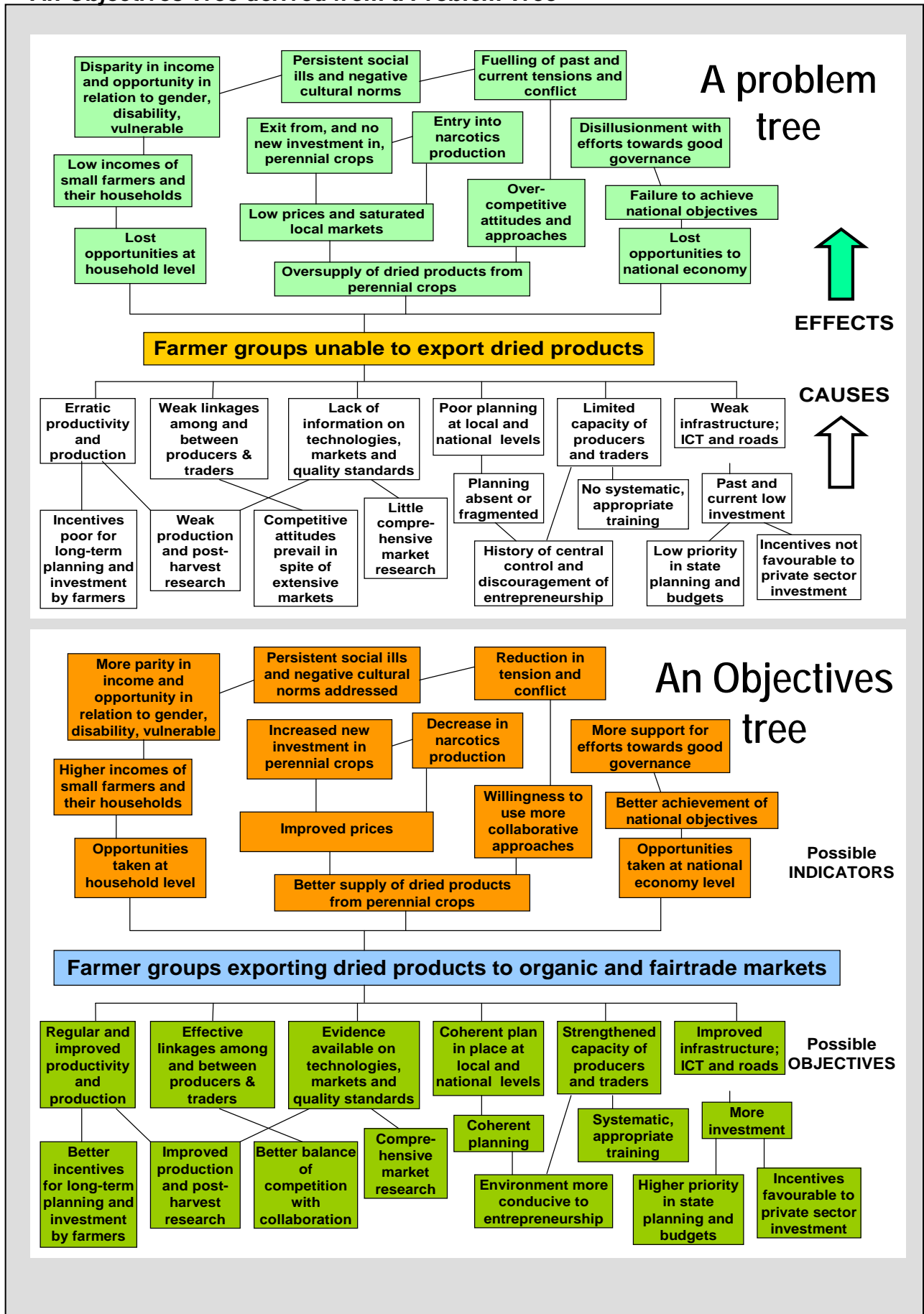
Going directly to an Objective Tree can be particularly useful in a post-conflict context where participants find analysis of the problem painful.

3.2 Developing an Objectives/Vision Tree

This can be done by reformulating the elements of our problem tree into positive desirable conditions. Essentially the focal problem is “turned over” to become the key objective for addressing the problem. In logical framework terms it may be the Impact/Goal or Purpose; discussed in more detail later. (So in our example, the problem of *‘Farmer groups unable to export dried products’* could become an objective of *‘Farmer groups exporting dried products to organic and fairtrade markets’*). Below the focal problem, you can continue this “reversing” for each of the causes listed to create further objectives.

Above, if the problem is addressed one would expect to see changes in the effects, so there will be useful ideas here for potential indicators of progress and identification of the benefits to be achieved.

Figure 3a The Organic and Fairtrade Dried Fruit (OFDF) project case study: An Objectives Tree derived from a Problem Tree



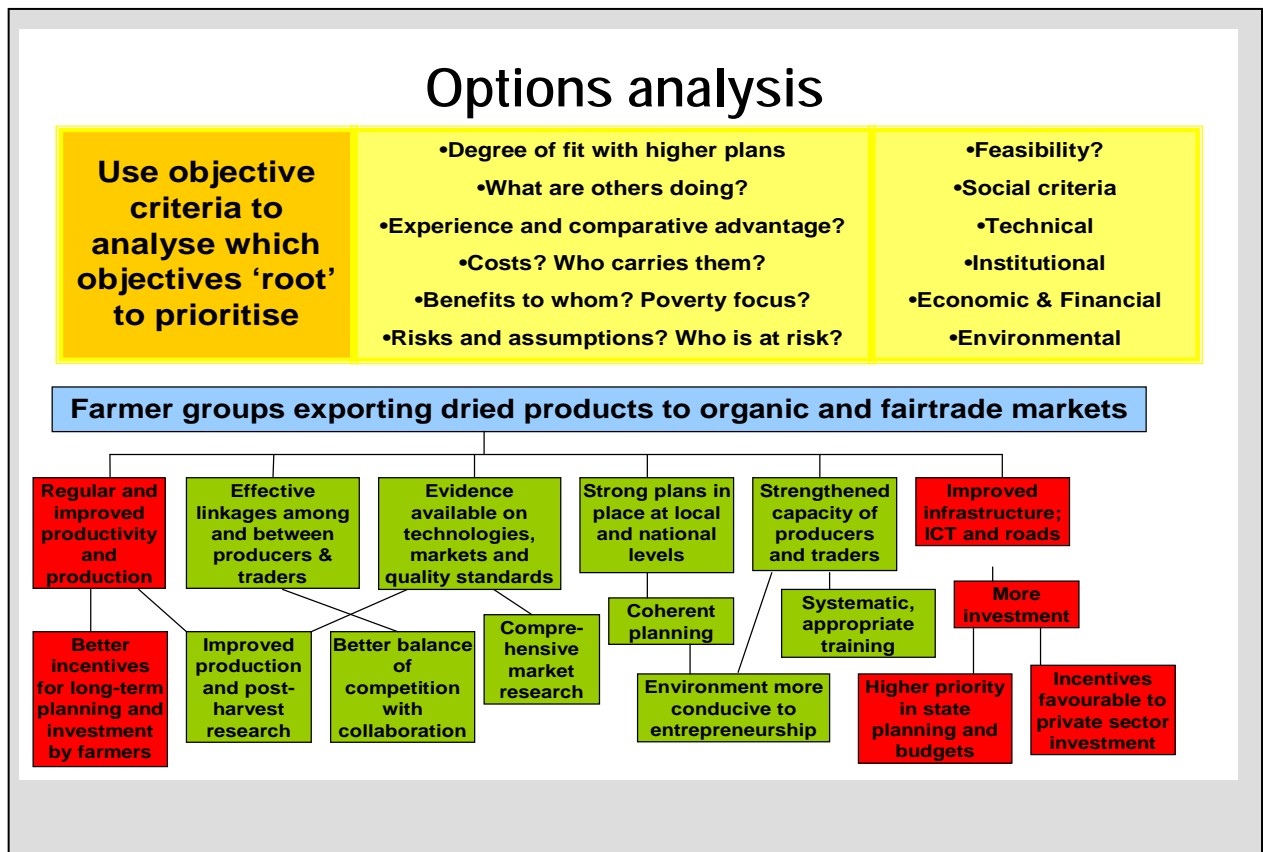
3.3 Choosing between options

This has now given us a number of options for our objectives and the group needs to decide which ones to focus on (**Options Analysis**). You should agree the criteria for assessing the various options. Key factors here could include:

- Degree of fit with macro objectives (The bigger picture)
- What other stakeholders are doing?
- The experience and comparative advantage of your organisation and partners
- What are the expected benefits? To whom?
- What is the feasibility and probability of success?
- Risks and assumptions? Who is carrying the risk?
- Financial criteria – costs, cashflows, financial sustainability?
- Social criteria – costs and benefits, gender issues, socio-cultural constraints; who carries social costs?
- Environmental criteria – what are the environmental costs and gains?
- Technical criteria – appropriateness, use of local resources, market factors?
- Institutional criteria – capacity, capacity building, technical assistance?
- Economic criteria – economic returns, cost effectiveness?

When the criteria have been set a decision as to which option to take can follow.

Figure 3b The OFDF project case study: Options Analysis



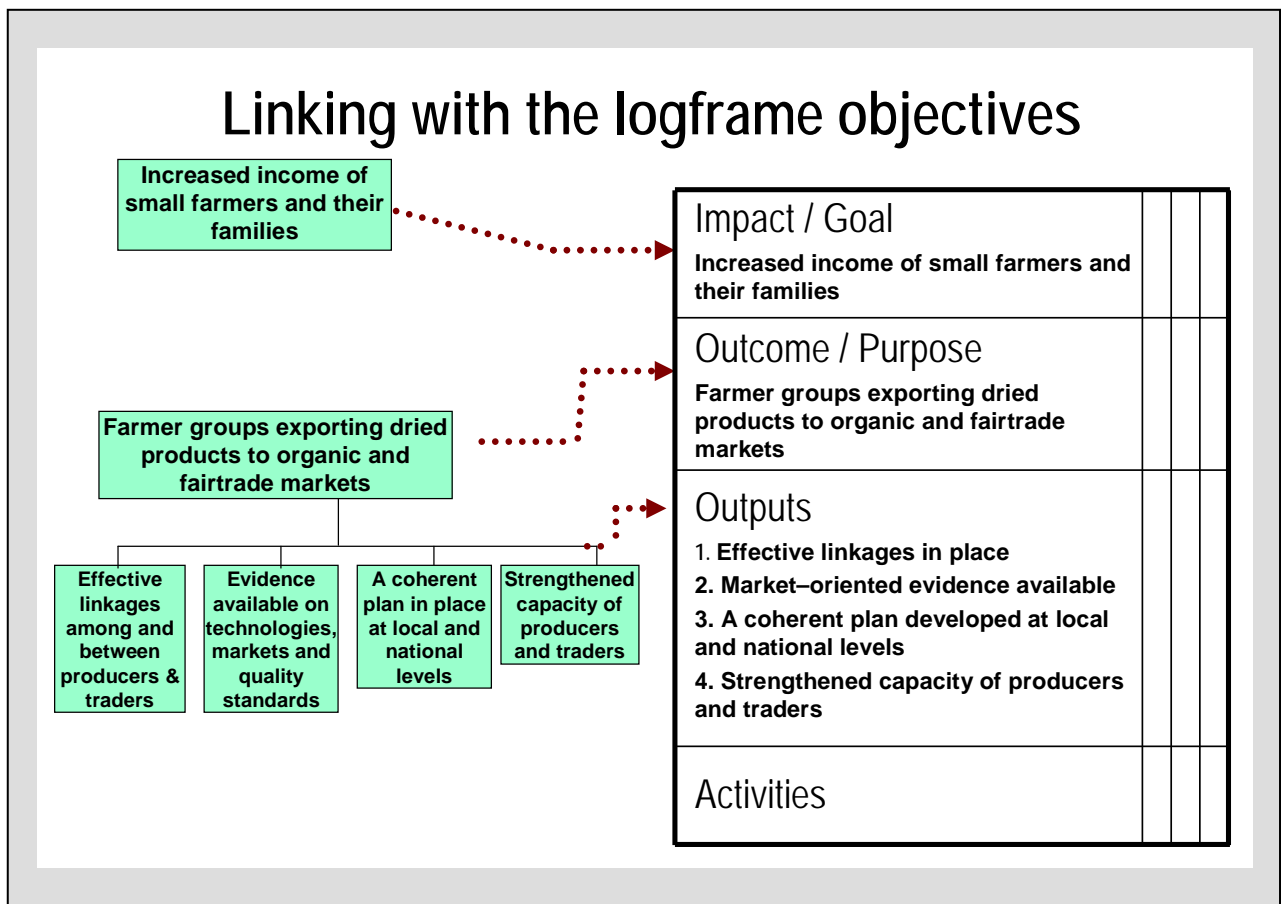
What then happens to options which you decide NOT to address? (In the example in Figure 3b, it has been decided, for whatever reason, not to focus on *regular and improved productivity and production and improved infrastructure*.) It may be these options are being addressed by others in parallel with your project (in which case there will be need for dialogue with those involved). If no one will be addressing them, and these root causes to the original problem are serious, they remain **risks** to our planned project and will need to be managed. We will return to this later.

3.4 Linking with the logframe

Sometimes it is possible to link the chosen options from the objectives tree into the first 'objectives' column of the logframe as shown in Figure 3c.

It does not always work as neatly as in the example! It depends on the complexity of the original problem, and on the time spent on and the level and detail of the problem analysis. Sometimes the original core problem translates into the *Purpose* (as here), sometimes into the *Impact/Goal*. **The point is, your problem and objectives trees are important as source documents for ideas.** There are no hard and fast rules. In the example, a major effect of the original problem *low income for small farmers and their households* has been used as the basis for the *Goal*, giving the project a social and poverty focus.

Figure 3c The OFDF case study: Linking with the logframe objectives



4. OBJECTIVES DESIGN; HOW WILL WE GET THERE?

4.1 Identifying our objectives

We have defined our problem and begun to consider our objectives. Remember the Problem Tree and Objectives Tree are important reference documents at this stage. Work through a simple step-by-step approach.

Step 1 - Define the Impact or Goal

The **Impact** or **Goal** is the higher order objective, the longer term **positive change** that the project will contribute to. Use only one Impact statement. Some progress towards the Impact should be measurable during the lifetime of the project. The Impact defines the overall “big picture” need or problem being addressed; it expresses the justification, the ‘Greater WHY’, of what is planned. E.g. *Increased income of small farmers and their families.*

Step 2 - Define the Purpose or Outcome

The **Purpose** (together with its associated indicators) describes the short and medium-term positive effects of the project. The Purpose is also a justification, a WHY statement. It needs to be clearly defined so all key stakeholders know what the project is trying to achieve during its lifetime. E.g. *Farmer groups and exporters are competent partners for international trade and are exporting dried fruit products to organic and fairtrade markets.*

Have only one Purpose. If you think you have more, then you may need more than one logframe; or your multiple Purposes are in fact Purpose indicators of a single Purpose as yet unphrased; or they are lower order outputs.

The Purpose should not be entirely deliverable, i.e. fully within the project manager’s control. If it is deliverable, then it should be an Output. The Purpose usually expresses the uptake or implementation or application by others of the project’s Outputs; hence it cannot be fully within managerial control. ‘You can take a horse to water, but you can’t make it drink’. The project may be ‘delivering’ the water, but it cannot control the behaviour of others outside the team (the horse). So we aim for the Purpose to be **achieved** but this cannot be guaranteed. It will depend on stakeholders’ actions and assumptions beyond the control of the project manager. The manager can best exert influence over Purpose achievement by maximising the completeness of delivery of the Outputs and mitigating against risks to the project.

The ‘gap’ between Outputs and Purpose represents ambition. How ambitious you are, depends on the context, on the feasibility of what you are trying to do and the likelihood others outside managerial control will change their behaviour. Don’t have the Purpose unrealistically remote from the Outputs; conversely, don’t set them so close when, in reality, more could be achieved. **The Purpose is not simply a reformulation of the Outputs.**

Whoever will be approving the project proposal, should be focusing their challenge on, and seeking **justification for, the causal link between Outputs and Purpose.**

When setting the Purpose, **avoid phrases like ‘by’ or ‘through’ or ‘in order to’ or ‘so that’.** They are confusing and usually mean the Purpose includes objectives at more than one level. This detail will more appropriately be in other boxes of the logframe (e.g. indicators).

Step 3 - Describe the Outputs

The **Outputs** describe what the project will deliver in order to achieve the Purpose. They are the results that the project must deliver. They can be thought of as the **Terms of Reference** or **Components** for project implementation, the **deliverables** in the control of the project manager. Outputs are things, nouns and usually include Human Capacity, Systems, Knowledge and Information, Infrastructure, Materials, Awareness. E.g. a) *Effective linkages*; b) *Market-oriented evidence*; c) *A coherent plan* etc. For more details see Appendix E.

Typically there are between 2 – 8 Outputs; any more than that and the logframe will become over-complicated.

Step 4 - Define the Activities

The **Activities** describe what actions will be undertaken to achieve each output. Activities are about getting things done so use strong verbs. E.g. *Establish... Develop...*

Step 5 - Test the Logic from the bottom to the top

When the four rows of column 1 have been drafted, the logic needs to be tested.

Use the **IF/THEN test** to check cause and effect. When the objectives hierarchy is read from the bottom up it can be expressed in terms of:

If we do these activities, **then** this output will be delivered.

If we deliver these outputs, **then** this Purpose will be achieved

If the Purpose is achieved **then** this will contribute to the Goal.

The IF/THEN logic can be further tested by applying the **Necessary and Sufficient test.** At each level, ask **are we doing enough** or **are we doing too much** for delivering, achieving or contributing to the next level objective?

As you test the logic, you will be making assumptions about the causal linkages. We will be looking at this in more detail shortly.

4.2 The Objectives Column in the Logical Framework

We put the objectives into the first column of the logical framework – the objectives column:

Figure 4a The Objectives Column

Column 1 Objectives	Column 2 Indicators / targets	Column 3 Data sources	Column 4 Assumptions
Goal: The higher order long-term development objective to which the project contributes <i>The Greater Why?</i>			
Purpose: The specific and immediate beneficial changes achieved by the project <i>The Why?</i>			
Outputs: The deliverables of the project or the terms of reference <i>The What?</i>			
Activities: The main activities that must be undertaken to deliver the outputs <i>The How?</i>			

Figure 4b The OFDF case study: Column 1 - The Hierarchy of Objectives

Column 1 Objectives	Column 2 Indicators / targets	Column 3 Data sources	Column 4 Assumptions
<p>Goal:</p> <p>Increased income of small farmers and their families.</p>			
<p>Purpose:</p> <p>Farmer groups and exporters are competent partners for international trade and are exporting dried fruit products to organic and fairtrade markets.</p>			
<p>Outputs:</p> <ol style="list-style-type: none"> 1. Effective institutional linkages and networks in place. 2. Market-oriented evidence available on which to base strategy and on-going planning. 3. A coherent plan developed, agreed by stakeholders at all levels and in operation for small farmers to engage in international organic and fairtrade markets. 4. Capacities of producers and others in the market chain strengthened. 			
<p>Activities:</p> <ol style="list-style-type: none"> 1.1 Awareness raising. 1.2 Establish partnerships with existing institutions. 1.3 Review current networking. 1.4 Set up farmer groups 1.5 Identify service providers. 2.1 Analyse market opportunities and standards. 2.2 Conduct baseline study of current farmer practices, productivity and production. 2.3 Establish information systems for on-going access, flow and exchange of information. 2.4 Carry out analysis of post-harvest elements of the market chain. 2.5 Identify best practices in production and post-harvest. 3.1 Develop farmer group level action plans. 3.2 Agree criteria for OFDF project support. 3.3 Develop and agree overall OFDF project plan and process. 3.4 Implement following agreed plan and process. 3.5 Develop and implement OFDF communications plan and strategy. 4.1 Carry out Training Needs Assessment. 4.2 Develop and implement a training programme for key stakeholders. 			

4.3 Checklist - Objectives

Below is a simple checklist for checking the objectives in column 1 of the Logframe.

1. Do they answer

- Goal Greater Why?
- Purpose Why?
- Outputs What?
- Activities How?

2. Does the logic work?

- Vertical logic in Column 1;



- Is it necessary and sufficient? (i.e. is too much or too little being proposed?)

3. Is there only one Purpose?

4. Is the Purpose clearly stated, avoiding phrases like 'by', 'in order to', 'through' and 'so that'.

5. Is the Purpose too remote from the Outputs?

6. Is the Purpose more than just a reformulation of the Outputs?

7. Does the gap between Purpose and Outputs show realistic ambition? Is it assessable? Is the causal link strong?

8. Are the Outputs deliverable?

9. Do we see Process as well as Product objectives?

10. Are the Outputs and Activities linked /cross-numbered?

5. RISK MANAGEMENT; WHAT MAY STOP US GETTING THERE?

5.1 Managing Risk

Risk is the **potential for unwanted happenings impairing the achievement of our objectives**. Every project involves risks. Risk assessment and management are essential elements in business; likewise in development and community work.

If you talk to experienced development and/or community workers they will usually agree that when projects fail, it is not generally because the objectives were wrong but because insufficient time and thought were given to the risk factors, to what can go wrong with the plan and to the assumptions that are being made.

Worthwhile projects involve risk, sometimes very high risk. **The important point is not necessarily to avoid risks but to plan for them** by identifying and assessing them and allocating time and other resources to manage them for example by monitoring and mitigation.

So it is vital that risks are identified in planning and that a risk management plan is built into the overall design process and implementation management.

Development organisations are placing considerable emphasis on **creating a risk culture**; an awareness and competence in risk management. There are a number of common **perceptions** blocking progress; and **responses** that can move forward good practice.

Figure 5a Perceptions and Responses in risk management

Perceptions blocking progress Poor practice	Responses Good practice
<ul style="list-style-type: none"> Risk analysis is seen as an 'add-on'; it's done mechanically because it's a mandatory procedure. 	<ul style="list-style-type: none"> It should be an integral core of what we do. It should serve as a challenge function to interrogate our thinking.
<ul style="list-style-type: none"> It's seen as too difficult. 	<ul style="list-style-type: none"> It's not difficult. It involves just a few basic questions.
<ul style="list-style-type: none"> A long list of risks will impress. 	<ul style="list-style-type: none"> Strong analysis is needed to identify the few, key 'mission critical' risks. And then to design effective mitigatory measures.
<ul style="list-style-type: none"> Once the Risk Analysis is done, it's done and never revisited. 	<ul style="list-style-type: none"> It needs regular tracking and review.
<ul style="list-style-type: none"> It's just done internally. 	<ul style="list-style-type: none"> Potentially it's a key tool for broader project ownership and political buy-in.

5.2 The Key Questions

Remember other documents are likely to help in the identification of risks; e.g. the stakeholder analysis, the problem analysis etc. But once we have identified the risks, what are the key questions?

Figure 5b The Key Questions

What is / are the:

IMPORTANCE? depends mainly on:

- What is the **HAZARD** itself? Scale? Seriousness?
- What is the **VULNERABILITY** to the hazard? of the poor? of the project?

PROBABILITY? The likelihood of it happening. What data is there? How reliability is the data?

COSTS? Social? Financial? What are they and who bears them? The already vulnerable?

GAINS? What are the gains from going ahead?

MITIGATION? What can be done to improve any or all the above?

5.3 Undertaking a Risk Analysis

Step 1 Identify the risks. Brainstorm the risks using the draft Hierarchy of Objectives (Column 1). At each level ask the question: 'What can stop us ... ?' ...doing these Activities,.....delivering these Outputs,achieving this Purpose,contributing to this Impact / Goal?

These are phrased as **risks**. Write each risk on a separate post-it and place them in column 4; it does not matter at this stage at what level you place them.

On a separate sheet on flipchart paper draw the table in **Figure 5b** overleaf. Transfer the risk postits from column 4 of the logframe to the left column of the new table.

Step 2 Analyse and manage the risks. Then as a group discuss each risk in turn:

- **What is its likely importance (Im)?** Write H, M or L; high, medium or low.
- **What is its likely probability (Pr)?** Write H, M or L.

- You may at this point decide to hereafter disregard insignificant risks; those that are Low Low.
- Discuss and agree possible mitigatory measures;** record these on the chart. In a few cases there wont be any but even with so-called uncontrollable risks, some degree of mitigation is usually possible.
- Even if mitigatory measures are successful, it is unlikely you can remove the risk completely. **What 'residual' assumptions are you left with?** Record these.

Risks and Assumptions

A Risk is potential event or occurrence could adversely affect achievement of the desired results.

An **Assumption** is a necessary condition for the achievement of results at different levels.

A risk is best not written as the negative of an assumption (e.g. Assumption = 'inflation remains at manageable level'; Risk = 'hyperinflation'). It is useful to view assumptions as the conditions that remain after mitigatory measures have been put in place.

Example:

Highjacking is a risk in civil aviation. As a mitigatory measure, passengers are now subject to hand luggage and body searches. Even if done effectively this does not remove the risk altogether; the Impact probably remains unchanged, the Probability may be reduced from Medium to Low. You are left with a **residual assumption** that 'With effective screening measures in place, highjacking will not happen'.

Figure 5b Risk analysis table

Risks	Im ⁴	Pr ⁵	Mitigation	Assumptions
Highjacking of aircraft	H	M	Airport security screening of all passengers	With effective screening measures in place, highjacking will not happen

Do these transfer to Column 1 and become extra activities?

Transfer these to Column 4 of the LF

⁴ Importance
⁵ Probability

Figure 5c The OFDF case study: Managing the risks

(Table incomplete; for illustration only)

Risks	Im	Pr	Mitigation	Assumptions
1. Deterioration of security situation disrupts project activities, outputs, Purposes and impact.	M	M	<ul style="list-style-type: none"> • Ensure close liaison with security forces and District Chiefs. • Draw up security plan with attached budget. • Monitoring and regular review. 	1. The security situation does not deteriorate such that it disrupts project activities and results.
2. Benefits of the project are captured by elites at community and household levels.	M	M	<ul style="list-style-type: none"> • Ensure institutional representation of disadvantaged groups. 	2. Benefits of the project accrue to the vulnerable at community and household levels.
3. Export organic and fairtrade markets are hard to penetrate and local markets become saturated.	M	L	<ul style="list-style-type: none"> • Initial and on-going market research must be realistic and robust. 	3. Local production is able to compete in meeting growing international and local demand.
4. Required production inputs outside project control (notably extension advice and irrigation) are available.	L	M	<ul style="list-style-type: none"> • Encourage diversity of service provision. • Strong collaboration with relevant partners. • Inclusion of partners in planning and capacity building. 	4. Key production inputs are available to small farmers.
5. Current social networks hinder the establishment of new essential linkages e.g. between producers and traders.	H	L	<ul style="list-style-type: none"> • Thorough stakeholder analysis, involvement and ownership. • Implement communication strategy. 	5. Essential linkages between producers, traders and others in the market chain can be fostered.
6. The on-going demands of international quality standards are alien to producers and traders.	H	M	<ul style="list-style-type: none"> • Effective training and communication. • Clear and understood quality criteria. • Export farmer certification and ongoing fair produce grading system. 	6. Quality needs are understood and addressed especially by producers and traders.
7. The incentives and social pressures to stay in, or enter, narcotics production are too strong.	H	M	<ul style="list-style-type: none"> • Parallel efforts within the enforcement and alternative livelihood programmes. 	7. The incentives for small farmers to produce and export dried fruit are strong enough.

5.4 The Assumptions Column in the Logframe

You have identified and analysed the risks, determined mitigatory measures and agreed what residual assumptions still hold. Transfer to your logframe as appropriate:

- Your mitigatory measures into Column 1; i.e. extra activities; (or the measures may be reflected in the indicators in Column 2; we come to this later).
- Your residual assumptions into Column 4. These are conditions which could affect the success of the project. They are what remains **after** the mitigatory measures have been put in place.

Figure 5d The Assumptions Column

Column 1 Objectives	Column 2 Indicators / targets	Column 3 Data sources	Column 4 Assumptions
Impact / Goal:			Important conditions needed in order to contribute to the Impact / Goal
Purpose:			Important conditions needed in order to achieve the Purpose
Outputs:			Important conditions needed to deliver the Outputs
Activities:			Important conditions needed to carry out the Activities; the pre-conditions.

By adding assumptions our logic is extended; check the logic with the IF AND THEN test:

- IF the Pre-conditions hold, THEN the Activities will be carried out.
- IF Activities have been carried out, AND if the Assumptions at Output level hold true, THEN the Outputs will be delivered.
- IF Outputs are delivered, AND if the Assumptions at Output level hold, THEN the Purpose will be achieved.
- IF the Purpose has been achieved, AND if the assumptions at Impact level hold, THEN the Project will contribute to the Impact / Goal.

Figure 5e The IF AND THEN logic

	Objectives		Assumptions
Impact/ Goal	Then we should contribute to this Impact/Goal	←	And these conditions hold
Purpose	If we achieve this Purpose. Then we should achieve this Purpose.	←	And these conditions hold
Outputs	If we deliver these Outputs. Then we will deliver these outputs.	←	And these conditions hold
Activities	If we carry out these activities		

Figure 5f The OFDF case study: Column 4 - The key assumptions.

(Table incomplete; for illustration only)

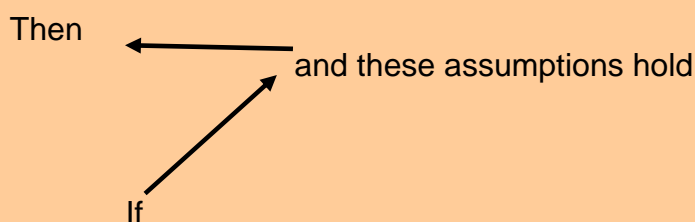
Objectives	Col2	Col3	Assumptions
Impact / Goal: Increased income of small farmers and their families.			1. Benefits of the project accrue to the vulnerable at community and household levels.
Purpose: Farmer groups and exporters are competent partners for international trade and are exporting dried fruit products to Organic and Fairtrade Markets (OFDF).			2. The security situation does not deteriorate such that it disrupts project activities and results. 3. Local production is able to compete in meeting growing international and local demand.
Outputs: 1. Inception report with agreed consolidated project plan, M&E framework and systems in place. 2. Effective institutional linkages and networks in place. 3. Market-oriented evidence available on which to base strategy and on-going planning. 4. A coherent plan developed, agreed by stakeholders at all levels and in operation for small farmers to engage in international Organic and Fairtrade Markets. 5. Capacities of producers and others in the market chain strengthened.			4. Essential linkages between producers, traders and others in the market chain can be fostered. 5. Quality needs are understood and addressed especially by producers and traders.
Activities: 1.1 Raise awareness of key stakeholders. 1.2 Establish Project Steering Committee. 1.3 Recruit and train core staff. 1.4 Initial stakeholder consultations. 1.5 Secure agreement on Inception Report with project plan, M&E framework and security plan. 2.1 Establish partnerships with existing institutions (including parallel programmes on counter narcotics and alternative livelihoods). 2.2 Review current socio and economics networks with particular emphasis on gender and the needs of vulnerable groups. 2.3 Set up farmer groups. 2.4 Identify and build networks with diverse service providers in public and private sectors and civil society. 3.1 Analyse market opportunities and standards. 3.2 Conduct baseline and on-going study of farmer practices, productivity and production. 3.3 Review lessons from similar quality standards export marketing efforts, particularly in complex and difficult environments.			6. Key production inputs are available to small farmers. 7. The incentives for small farmers to produce and export dried fruit are sufficiently strong.

Notice that many elements of Column 1 have changed (including an extra Output) to include risk mitigation. Compare with Fig 4b.

<p>3.4 Establish information systems for on-going access, flow and exchange of information.</p> <p>3.5 Carry out analysis of post-harvest elements of the market chain.</p> <p>3.6 Identify best practices in production and post-harvest.</p> <p>4.1 Develop farmer group level action plans.</p> <p>4.2 Agree criteria for OFDF project support.</p> <p>4.3 Develop and agree overall OFDF project plan and process.</p> <p>4.4 Implement following agreed plan and process.</p> <p>4.5 Develop and implement OFDF communications plan and strategy.</p> <p>5.1 Carry out comprehensive Training Needs Assessment across all key stakeholders.</p> <p>5.2 Develop and implement a training programme for key stakeholders.</p>			
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5.5 Checklist – Risks and Assumptions

1. Have all the important risks been identified?
 - e.g. from the Stakeholder analysis?
 - e.g from the Problem trees? Etc.
2. Are the risks specific and clear? Or too vague?
3. Where risks are manageable, have they been managed?
4. Where possible, have mitigatory measures been included as Activities and Outputs? i.e. moved into Column 1?
5. Are the Assumptions at the right level?
6. Does the logic work?
 - Check the diagonal logic for Columns 1 and 4



- Is it necessary and sufficient? Again, is enough being proposed; is too much being proposed?
7. Should the project proceed in view of the remaining assumptions? Or is there a KILLER risk that cannot be managed, of such high probability and impact, that it fundamentally undermines the project and forces you to stop and rethink the whole project?

6. HOW WILL WE KNOW IF WE'VE GOT THERE?

6.1 Laying the foundations for Monitoring, Review and Evaluation (M,R&E)

One of the key strengths of the logframe approach is that it forces the planning team to build into the design how the project will be **monitored, reviewed and evaluated**. The project is planning to deliver, achieve and contribute a **chain of results** at different levels; these are the **intended changes in development conditions** resulting from the development project or programme.

Indicators are identified to show how we intend to measure change from the current **baseline**. **Targets** are set to be achieved by the end of the time period, together with **milestones** to measure progress along the way. The logframe approach helps in addressing and reaching agreement on these issues early at the design stage. It helps to pinpoint the gaps and determine what needs to be done. It asks what data is needed now and in the future, and what **data sources** will be used, be they **secondary**, external, reliable and available, or **primary**, internal and requiring budgeted data collection activities within the project.

An oft-quoted principle is '**if you can measure it, you can manage it**'. The one may not inevitably follow the other, so we can qualify as: '**if you can measure it, you are more likely to be able to manage it**'. Or the reverse that '**if you can't measure it, you can't manage it**'.

6.2 Terms and principles

An **Indicator** is a quantitative and/or qualitative variable that allows the verification of changes produced by a development intervention relative to what was planned.

A **Target** is a specific level of performance that an intervention is projected to accomplish in a given time period.

Milestones are points in the lifetime of a project by which certain progress should have been made

A **Baseline** is the situation prior to a development intervention against which progress can be assessed or comparisons made.

The main confusion comes with Indicators and Targets. Indicators are a **means** by which change will be measured; targets are definite **ends to be achieved**. So to take two examples:

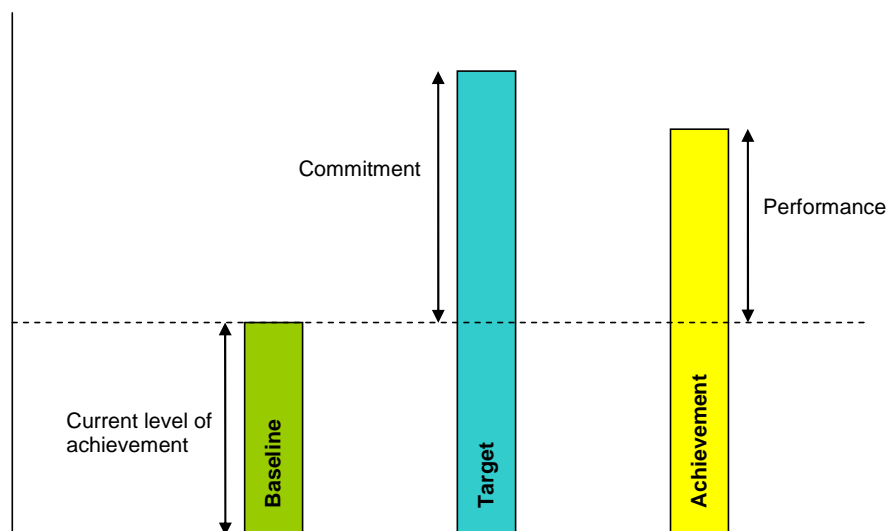
Indicators	Targets
the proportion of population with access to improved sanitation, urban and rural	halve, between 1990 and 2015, the proportion of people without sustainable access to basic sanitation
the proportion of girls achieving Grade 4	increase by 15% in girls achieving Grade 4 by month 36

The indicator shows **how** the change from the current situation will be measured. An indicator is not something you achieve. You do however aim to achieve a target. A target is an **endpoint**; a Specific, Measureable, Achievable, Relevant and Time-bound endpoint. A target should be **SMART**; don't try making an indicator smart. And don't make the objectives in column 1 of the logframe smart; keep them as broad results.

It's useful to think of **milestones** as interim or formative targets. Thus for the first example target above of *halving by 2015 the proportion of people without sustainable access to basic sanitation*, reductions of 35% by 2009 and 42% by 2012 would be milestones. They provide an early warning system and are the basis for monitoring the trajectory of change during the lifetime of the project.

A **baseline** is needed to identify a starting point and give a clear picture of the pre-existing situation. Without it, it is impossible to measure subsequent change and performance (Figure 6a). For example, without knowing the baseline, it would not be possible to assess whether or not there has been a '25% improvement in crop production'. Collecting baseline data clearly has a cost; but so does the lack of baseline data! The reliability and validity of existing, secondary data may be in doubt and there may not be enough of it. In which case, baseline studies will be needed before targets can be set and **before approval for implementation can generally be given**. In some circumstances, it may be appropriate to carry out some baseline data collection and target-setting post-approval. Indeed it may be perfectly acceptable, indeed good practice, to state that some '*indicators and targets to be developed with primary stakeholders in first 6 months of the project.*'

Figure 6a: Baseline, targets and achievement (adapted from UNDG guidelines)

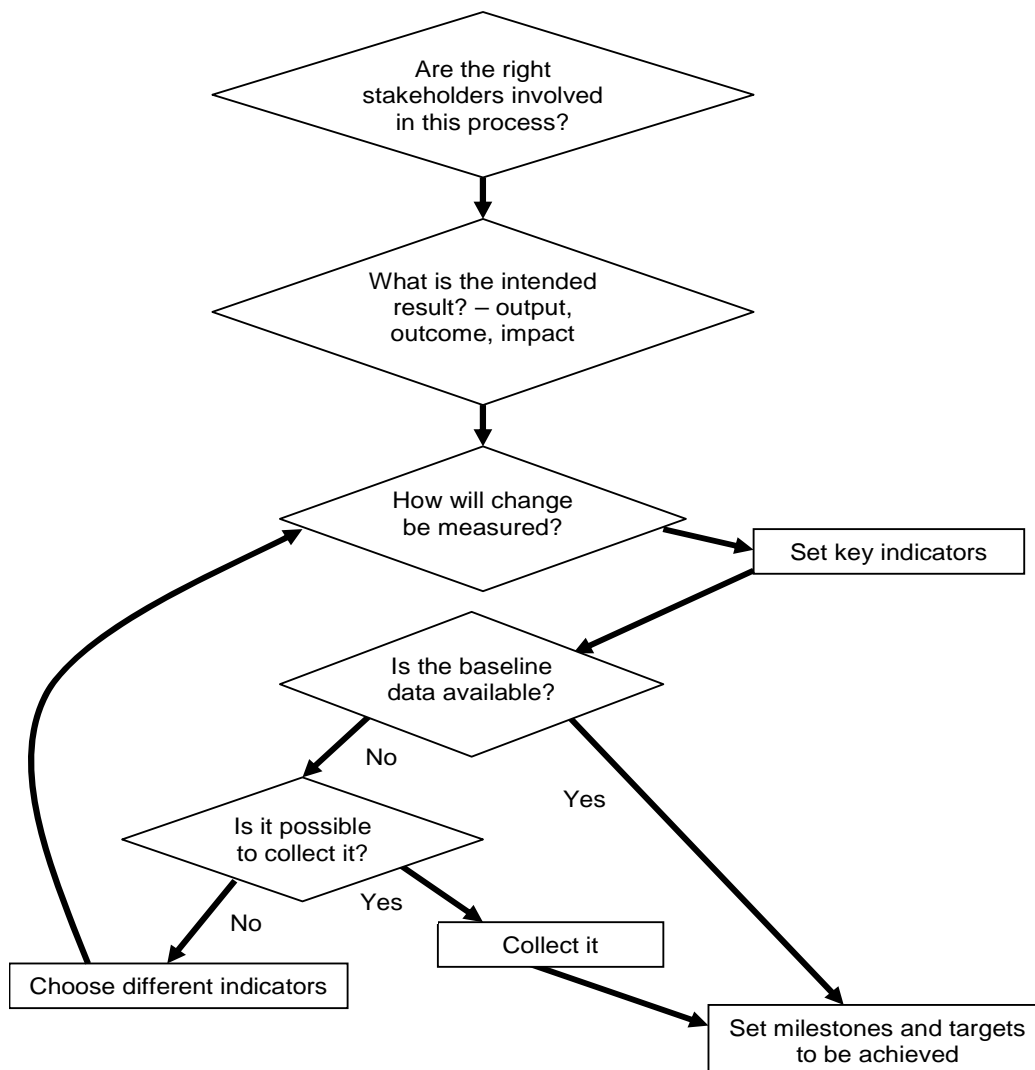


Before looking at how indicators are constructed, some important points:

- **Who sets indicators and targets is fundamental**, not only to ownership and transparency but also to the effectiveness of the measures chosen. Setting objectives, indicators and targets is a crucial opportunity for participatory design and management.
- Indicators and targets should be **disaggregated** for example by **gender, ethnic group, age, or geographic area**. Averages can hide disparities particularly if large sample sizes are needed for statistical reliability.

- **Some indicators in every logframe should relate to standard or higher level indicators.** Most organisations seek to attribute and communicate their work towards a set of standard results or indicators (often closely aligned with the MDGs). Operations in-country will need show linkage to national priorities; UN agencies to an UNDAF etc. Projects will need to show linkage of indicators upwards if they are part of a larger programme.
- A **variety** of indicator target types is more likely to be effective. The need for objective verification may mean that too much focus is given to the quantitative or to the simplistic at the expense of indicators that are harder to verify but which may better capture the essence of the change taking place. Managers sometimes need to be persuaded of the usefulness of qualitative data!
- The **fewer the indicators the better. Collect the minimum.** Measuring change is costly so use as few indicators as possible. **But** there must be indicators in sufficient number to measure the breadth of changes happening and to provide the triangulation (cross-checking) required.

6.3 The process in brief



6.4 Constructing indicators and targets

Before looking at the process of constructing indicators and targets, the point is made again here: **who should be involved in developing indicators and determining the target?** 'Insiders' are much more likely to come up with original and effective measures than 'outsiders'.

Step1: Start by writing **basic indicators** as simple measures of change. They are best written at this stage without elements of the baseline or target, without numbers or timeframe. For example:

a. Loan return rate
b. Immunization coverage
c. Community level representation on district councils
d. Fish catch
e. Rural households with livestock

Step 2: Indicators need to be clear, measuring **quality** and **quantity** and, where appropriate, **disaggregated** and **location-specific**. So re-examine your basic indicator to clarify your measure. The previous examples might develop into:

a. % loan return rate of men and women group in 3 targeted districts
b. Proportion of one-year olds vaccinated against measles.
c. Number of women and men community representatives on district councils
d. Average weekly fish catch per legally certified boat
e. Proportion of female- and male-headed households in 3 pilot rural areas with livestock

Each variable in an indicator will need to be measurable and measured. So for an indicator such '*Strengthened plan effectively implemented*' what is meant by 'strengthened' or 'effectively', or 'implemented'? Each of these terms will need to be clarified for this to become a usable, measurable indicator.

Step 3: Now for each indicator ask:

- i. **Is the current situation, the baseline, known?** If not, can the baseline data be gathered now, cost-effectively?
- ii. **Will the necessary data be available** when needed (during the intervention for **milestones**, and at the end for a **target**)?

If data is or will not be available, you should **reject the indicator** and find some other way to measure change.

Step 4: With the relevant baseline data to hand, **determine milestones** (at regular intervals during the project) **and targets** (at the end). For example

	Baseline ^e	Milestone 12 months	Milestone 24 months	Target 3 years
a. % loan return rate of men and women group in 3 targeted districts.	F44:M24	F50:M40	F70:M60	F80:M70
b. Proportion of one-year olds vaccinated against measles.	24%	30%	60%	85%
c. Number of women and men community representatives on district councils.	F0:M0	-	At least F2:M2	At least F2:M2
d. Average weekly fish catch per legally certified boat.	50kg	50kg	75kg	100kg
e. Proportion of female- and male-headed households in 3 pilot rural areas with livestock.	F24:M80	F36:M85	F60:90	F95:M95

Step 5: **Check that your milestones and targets are SMART, Specific, Measureable, Achievable, Relevant and Time-bound.**

To be useful, indicators need to have a number of characteristics. They need to be:

- **Specific**; not vague and ambiguous; clear in terms of the quality and quantity of change sought; sensitive to change attributable to the project; disaggregated appropriately;
- **Measurable**; the information can be collected, and will be available at the time planned; cost-effective and proportionate
- **Achievable**; realistic in the time and with the resources available; targets not just 'made up', without baseline or stakeholder ownership;
- **Relevant**; substantial, necessary and sufficient; they relate to higher level indicators
- **Time-bound**; milestones will together show progress is on-course; targets are measurable within the lifetime of the project.

6.5 Types of Indicators

Binary Indicators

These simple **Yes or No** indicators are most common at Output and Activity levels. For example 'Draft guidelines developed and submitted to Planning Committee'

Direct and Indirect Indicators

Direct indicators are used for objectives that relate to directly observable change resulting from your activities and outputs; for example *tree cover from aerial photography* as an indicator of deforestation. **Proxy** indicators measure change indirectly and may be used if results:

- are not directly observable like the quality of life, organisational development or institutional capacity
- are directly measurable only at high cost which is not justified
- are measurable only after long periods of time beyond the life span of the project.

The *number of lorries carrying timber out of the forest* could be an proxy indicator of deforestation. But then there's uncertainty as to whether timber resources are being used or burned within the forest; or are being taken out by means besides lorries; or on unsurveyed routes etc.

So proxy indicators need to be used with care. But well-chosen proxies can be very powerful and cheap. Sampling for a certain river invertebrate can give a very clear picture of pollution levels. The price of a big-Mac has been used to assess the health of a currency or economy.

Qualitative and Quantitative Indicators

Quantitative indicators measure numerical values over time. **Qualitative** indicators measure changes not easily captured in numerical values e.g. process-related improvements, perceptions, experiences, behaviour change, strengthened capacity etc. This is particularly relevant in gender and social aspects. Special effort and attention needs to be given to devising qualitative indicators. A balance of indicators is needed that will capture the total picture of change.

Rigid application of the steps and format outlined in 6.4 can result in performance or change that is difficult to quantify not being considered or given value. We should not ignore to measure changes just because they may be difficult to quantify or analyse.

It is often, with care, possible to 'quantify' qualitative aspects; opinion polls and market surveys do it all the time. A citizen score card for example might collect public opinion data on public services. Whether the instrument is valid or crude or spurious will depend on the context, and the way the information is collected, analysed and used.

Process and Product Indicators

It is important to measure not just *what* is being done but *how* it is being done; not just the 'products' resulting from an intervention, but also the 'processes'. Processes may be 'means' but with an underpinning capacity building agenda, those 'means' themselves become 'ends'.

Focus on the processes will generally lead to better targeting of the activities at real problems and needs, better implementation and improved sustainability. At the outset of a process initiative it may be very difficult, and undesirable, to state the precise products of the initiative. Instead outputs and activities may be devised for the first stage or year; then later outputs and activities are defined on the basis of the initiative learning. Processes will therefore need more frequent monitoring.

Product indicators may measure the technologies adopted, the training manual in print and disseminated, the increase in income generated. Process indicators are usually more qualitative and will assess how the technologies were developed and adopted, how the manual was produced and how the income was generated, and who was involved. At least some of these indicators will be subjective. End-users

and participants may be asked to verify them, but the means of verification may still be less than fully objective.

6.6 Identifying the Data Sources, the evidence

Having set indicators, milestones and targets, what Data Sources or evidence will be used for each measure? This is a vital aspect of the initial planning that is often overlooked. Building in data sources at this stage will make the monitoring, review and evaluating of the project easier.

Column 3 of the logframe relates to the **verification**; indeed it is sometimes titled **Means of Verification**. It should be considered as you formulate your indicators and targets. So **complete columns 2 and 3 at the same time**.

A data source will almost invariably be **documents**; sometimes it may be films, DVDs, videos or audiotapes. The key point, a data source is **not an activity**, such as a survey, a stakeholder review. If an activity is required, and will be done and budgeted within the project, then it will be in Column 1 of the logframe. The **output** of that activity, the **survey report** or **review report** will be the data source.

In specifying our Data Sources we need to ask a series of simple questions:

- What evidence do we need?
- Where will the evidence be located?
- How are we going to collect it?
 - *Is it available from existing sources? (e.g. progress reports, records, accounts, national or international statistics, etc)*
 - *Is special data gathering required? (e.g. special surveys)*
- Who is going to collect it? *(e.g. the project team, consultants, stakeholders etc)*
- Who will pay for its collection?
- When/how regularly it should be provided (e.g. monthly, quarterly annually)
- How much data gathering (in terms of quantity and quality) is worthwhile?

Some typical Data Sources

- Minutes of meetings and attendance lists
- Stakeholder feedback, results of focus groups
- Surveys and reports
- Newspapers, radio and TV recordings, photographs, satellite imagery
- National and international statistics
- Project records, reviews and reports; external evaluation reports
- Reports from participatory poverty assessment or rural/urban appraisal exercises

Be careful not to commit yourselves to measuring things that will be very expensive and time consuming to measure. Go back to Column 2 if the indicators you have chosen are impractical to measure. You need to be practical!

In the process of completing Columns 2 and 3, you are likely to be adding activities and possibly an output to Column 1 relating to monitoring, review and lesson learning.

Figure 6b. Indicators and Verification

Column 1 Objectives	Column 2 Indicators / targets	Column 3 Data Sources	Column 4 Assumptions
Impact / Goal:	Measures of the longer-term impact that the project contributed to.	Sources of data needed to verify status of Goal level indicators	
Purpose/ Outcome:	Measures of the outcome achieved from delivering the outputs.	Sources of data needed to verify status of the Outcome level indicators	
Outputs:	Measures of the delivery of the outputs.	Sources of data needed to verify status of the Output level indicators	
Activities:	These measures are often milestones and may be presented in more detail in the project work plan.	Sources of data needed to verify status of the Activity level indicators	

6.7 Checklist – Indicators and Data Sources

1. Are the Targets and Milestones described in terms of Quality, Quantity and Time (QQT)?
2. Are the Indicators and Data Sources:
 - Relevant
 - Valid / Reliable
 - Measurable / verifiable
 - Cost-effective / proportionate?
3. Are the Indicators necessary and sufficient? Do they provide enough triangulation (cross checking)?
4. Are the Indicators varied enough?
 - Product and Process
 - Direct and Indirect
 - Formative, Summative and beyond
 - Qualitative and Quantitative
 - Cross-sectoral?
5. Who has set / will set the Indicators? How will indicators be owned?
6. Are the Data Sources
 - Already available
 - Set up where necessary within the project?
7. Is there need for baseline survey?

Objectives	Indicators and Targets					Data sources	Assumptions
	Indicators	Base-line	Milestones			Target 2015	
			1year	2 year	-		
	% loan return rate of men and women group in 3 targeted districts.	F44 M24	F50 M40	F70 M60		F80 M70	

One possible layout of Indicators Baselines, Milestones and Targets

Figure 6c The OFDF case study: The complete logframe example

Timeframe: 4 years Allocation: \$2.4 million

Objectives	Indicators (by End of Project unless otherwise stated) ⁶	Data Sources	Assumptions
Impact / Goal: Increased income of small farmers and their families.	1 10% increase in income from dried fruit production by target group members. 2 At least 50% of target group members attribute their livelihood improvement to the OFDF project. 3 Growth in production, and exports of dried fruit products. 4 Stable or upward trend in export and farm gate prices.	Producer household survey (PHS) report PHS report Dried Fruit Board (DFB) report DFB data and market report	1. Benefits of the project accrue to the vulnerable at community and household levels.
Purpose: Farmer groups and exporters are competent partners for international trade and are exporting dried fruit products to organic and fairtrade markets.	1 20% representation by OFDF target producer groups in established local and district DFB institutions/fora. 2 At least 100 producers certified as either Organic or Fairtrade or both. A further 200+ producers in transition. 3 Quality of OFDF, transitional and non-OFDF dried fruit produce for export improved: <ul style="list-style-type: none"> • %s Grade A, B and C • % Grade D (reject) • % rejected at point of import. 4 Increased overall volume and value of OFDF and non-OFDF dried fruit exports. 5 Proportion of DFB exports that secure OFDF premium. 6 Exporters storing and/or releasing in response to price. 7 Ability to meet demand; supply as a proportion of demand.	DFB and Project reports DFB / OFDF reports DFB / OFDF reports DFB reports DFB and OFDF joint reports DFB and OFDF joint reports DFB data and market report	2. The security situation does not deteriorate such that it disrupts project activities and results. 3. Local production is able to compete in meeting growing international and local demand.
Outputs: 1 Inception report with agreed consolidated project plan, M&E framework and systems in place.	1.1 Inception report presented at 3 provincial stakeholder workshops in M7 with feedback and ownership. 1.2 Annual reviews show the M&E system is generating timely, accurate data for project management needs. 1.3 The number of security incident reports involving project personnel.	Inception report and workshop reports M&E status reports informing Annual review (AR) reports Security reports informing AR report.	4. Essential linkages between producers, traders and others in the market chain can be fostered. 5. Quality needs are understood and addressed especially by producers and traders.
2 Effective institutional linkages and networks in place.	2.1 The vulnerable and disadvantaged engaged in equitable OFDF processes. 2.2 New linkages established with external institutions. 2.3 At least 36 farmer groups	Social devt adviser reports Quarterly reports District staff	

⁶ Most are expressed as Indicators; Targets to be determined by end of Inception Phase and baseline survey.

Objectives	Indicators (by End of Project unless otherwise stated) ⁶	Data Sources	Assumptions
	across 9 districts and 3 provinces operating largely self-managed obtain services from diverse providers. 2.4 Quarterly self managed OFDF district producer meetings.	reports; Project Quarterly Reports District reports; Quarterly Reports	
3 Market-oriented evidence available on which to base strategy and on-going planning.	3.1 Analysis report includes expressions of interest with analysis of needs and standards of at least 20 new international clients in 6 countries; by M9. 3.2 Volume of OFDF and non-OFDF dried fruit export orders secured and number from new clients.*	Analysis report DFB reports and OFDF joint reports	
4 A coherent plan developed, agreed by stakeholders at all levels and in operation for small farmers to engage in international Organic and Fairtrade Markets.	4.1 Plan approved by key stakeholders in government and parallel programmes (counter narcotics and alternative livelihoods). 4.2 Plan developed and approved by all stakeholder groups (including small farmers, vulnerable and disadvantaged). 4.3 Plan (in particular the mutual dependence of groups to meet export demands) assists other efforts in conflict resolution.	The Plan and Letters of agreement Social devt adviser reports Quarterly reports	
5 Capacities of producers and others in the market chain strengthened.	5.1 A team of 12 field staff able to fulfill the dual role of supporting farmers, farmer groups and traders, and administering the OFDF certification scheme. 5.2 At least 300 farmers entering OFDF export certification scheme; 100 by end M18. (Data disaggregated small/large farmers, gender and vulnerable groups). 5.3 Number of farmers leaving OFDF certification scheme. 5.4 Increase in exporters' storage / dispatch capacity.	Stakeholder survey reports Quarterly reports DFB / OFDF reports DFB / OFDF data and report DFB / OFDF data and report	

Indicative Activities: 1.1 Raise awareness of key stakeholders. 1.2 Establish Project Steering Committee (PSC). 1.3 Recruit / train core staff. 1.4 Initial stakeholder consultations. 1.5 Secure agreement on Inception Report.	1.1 Completed by M2. 1.2 PSC in place by M3. 1.3 Staff recruited, trained and in post by M6. 1.4 Completed by M4 1.5 Inception Report agreed by PSC completed by M6 including project plan, M&E framework and security plan.	Quarterly reports Quarterly reports Quarterly reports Quarterly reports Inception report and PSC meeting report	6. Key production inputs are available to small farmers. 7. The incentives for small farmers
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<p>2.1 Establish partnerships with existing institutions (including parallel programmes on counter narcotics and alternative livelihoods).</p> <p>2.2 Review current socio-economic networks with emphasis on gender and the needs of vulnerable groups.</p> <p>2.3 Set up farmer groups.</p> <p>2.4 Identify and build networks with diverse service providers in public and private sectors and civil society.</p>	<p>2.1. Linkages in place by M5 with meetings at least quarterly thereafter.</p> <p>2.2 Review completed by M7 with action plan in operation</p> <p>2.3 Three district-level clusters each of at least 12 farmer groups with a total of 120 farmers established by M12 and meeting monthly. A further six similar district clusters established by M24; total number of groups 36, and farmers 360.</p> <p>2.4 Initial review carried out as part of 2.2; review action plan in operation.</p>	<p>Quarterly reports</p> <p>Review report and Quarterly reports</p> <p>Quarterly reports</p> <p>Review report and Quarterly reports</p>	<p>to produce and export dried fruit are sufficiently strong.</p>
<p>3.1 Analyse market opportunities and standards.</p> <p>3.2 Conduct baseline and on-going study of farmer practices, productivity and production.</p> <p>3.3 Review lessons from similar quality standards export marketing efforts, particularly in complex, difficult environments.</p> <p>3.4 Establish information systems for on-going access, flow and exchange of information.</p> <p>3.5 Carry out analysis of post-harvest elements of the market chain.</p> <p>3.6 Identify best practices in production and post-harvest.</p>	<p>3.1 Robust analysis completed by M9.</p> <p>3.2 Baseline study completed by M 9. Ongoing data study thereafter</p> <p>3.3 Reviews completed by M12 with case studies and clear lessons derived.</p> <p>3.4 Timely quality information informing the development, implementation and updating of the OFDF plan</p> <p>3.5 Analysis provides information as per 3.4</p> <p>3.6 Best practice briefings for a variety of audiences drafted and tested; first set by M 18.</p>	<p>Analysis report and Quarterly reports</p> <p>Baseline report and Quarterly report</p> <p>Review report</p> <p>OFDF Plan</p> <p>Quarterly reports</p> <p>Synthesis report</p> <p>OFDF Plan</p> <p>Quarterly reports</p> <p>Best practice briefings and other materials</p>	
<p>4.1 Develop farmer group level action plans.</p> <p>4.2 Agree criteria for OFDF project support.</p> <p>4.3 Develop and agree overall OFDF project plan and process.</p> <p>4.4 Implement following agreed plan and process.</p> <p>4.5 Develop and implement OFDF communications plan and strategy.</p>	<p>4.1 Each group develops a plan within 3 months of forming; updated annually.</p> <p>4.2 Initial criteria set by M 6; amended in the OFDF plan.</p> <p>4.3 Plan agreed by PSC M 9.</p> <p>4.4 Implementation targets as per the plan.</p> <p>4.5 Communications plan agreed by PSC by M12.</p>	<p>District staff reports and Quarterly reports</p> <p>Quarterly reports</p> <p>The OFDF plan and Quarterly reports</p> <p>Quarterly Reports</p> <p>The Comm plan and Quarterly Reports</p>	
<p>5.1 Carry out comprehensive Training Needs Assessment (TNA) across key stakeholders.</p> <p>5.2 Develop and implement a training programme for key stakeholders.</p>	<p>5.1. TNA completed by M12.</p> <p>5.2 Training plan in place by M12; training ongoing thereafter.</p>	<p>TNA report</p> <p>Training Plan and reports</p>	

7. WORK AND RESOURCE PLANNING; WHAT DO WE NEED TO GET THERE?

7.1 Preparing a Project Work Plan

The activities listed in a logframe developed for approval prior to implementation will probably include indicative activity clusters or groups. Clarification of a detailed work plan will generally happen in the first few months of implementation, often called the **Inception Phase**. This is very important time when stakeholder ownership is broadened and consolidated, when the overall plan is confirmed, when the necessary activities are worked out in detail and when the monitoring, review and evaluation needs and arrangements are finalised.

A common mistake is to include too much detail in the logframe. There is no need to list pages and pages of detailed activities. Typically these are set out in a separate **Work plan** or **Gantt Chart**, in general terms for the whole project lifespan and in detail for the next 12 months. See Figure 7a for an example.

In a Gantt Chart each Output is listed together with its associated activities (sub-activities and/or indicators and milestones are sometimes used as well). Then some form of horizontal bar coding is given against a monthly (or sometimes weekly) calendar.

To this may be added other columns such as the identity of the staff who will do the activity; the proposed number of days; priority; rough estimate of cost; etc.. The beauty of the work plan in this form is that it is highly visual, relates back to the logical framework in a precise way, and it can be used to give order and priority to inputs.

It is an opportunity to review the time scale and feasibility of the project activities, allocate responsibility for undertaking actions (or achieving indicators), and can also inform issues of cash flow. It is also a participatory tool that can be used with the project team to explore precisely the issues listed above. In this role it may begin as a timeline onto which indicators are placed (thus making them milestones), which in turn informs the timing of the actions to achieve them.

7.2 Preparing a Project Budget

Now the full Budget needs to be prepared. Figure 7b gives an example. It is not essential for the budget line headings to fully correlate with the logframe objective headings and not always possible. For example there could be one project vehicle partially used for implementation of ALL project activities.

However if costs can be accounted for against project activities and outputs then **value for money** can be compared between the different Activities and Outputs and this will be very useful when the project is reviewed and perhaps further phases are planned and funded.

In addition if project expenditure can be reported against the logframe objectives then expenditure on different aspects of the project become much more transparent for the interested, but intermittently involved, stakeholders

Figure 7a Example of a work plan / Gantt Chart (partial) The OFDF case study

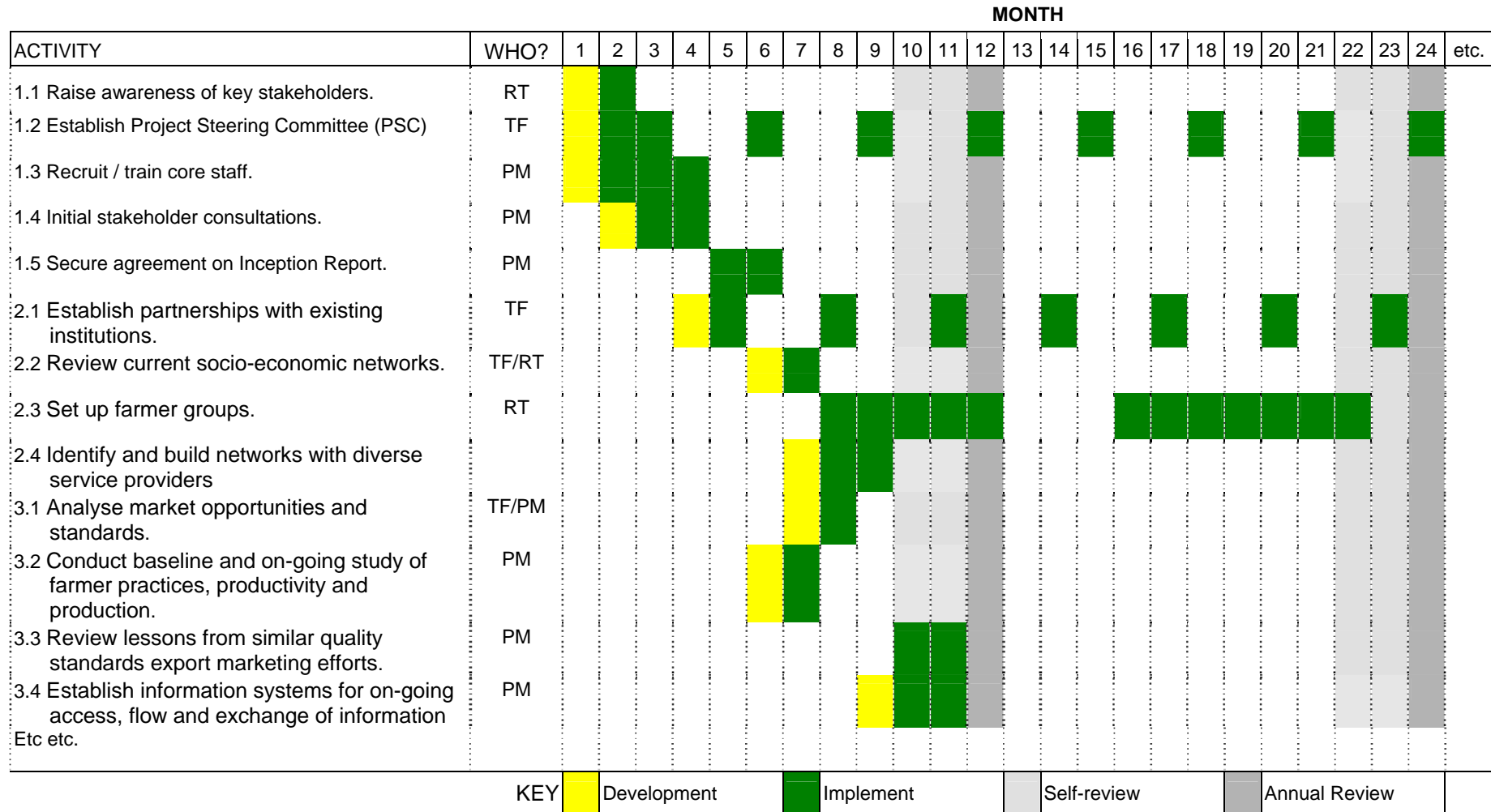

















Figure 7b: A typical project budget based on a logframe

Activities / Inputs	Unit	Quantity per quarter				Cost per unit	Cost codes		Costs per quarter				Project total
		Q1	Q2	Q3	Q4		Project	Govt	Q1	Q2	Q3	Q4	
1.1 Raise awareness of key stakeholders													
Equipment Computers	No.	1				780	E2	A/1.5	780				780
Travel	Km	500	500	250	250	0.2	T1	C/2.3	100	100	50	50	300
Non-fixed salaries and allowances	P days	40	40	40	40	70	S4	B/4.3	2800	2800	2800	2800	11200
Consultancy support	P days	14			14	300	S3	B/3.2	4200	-	-	4200	8400
Meeting costs	No.	2	1	1	3	200	P5	F/4.2	400	200	200	600	1400
Communications	Lump	2	2	1	1	100	O3	H/3.3	200	200	100	100	600
1.2 etc													
1.3 etc													
















8. CONCLUSIONS

8.1 Checking the Logical Framework

You should now have a completed Logical Framework and it is worth going through it and checking it against this checklist⁷.

- 1  The Project has one clear *Purpose*.
- 2  The *Purpose* is not a reformulation of the *outputs*.
- 3  The *Purpose* is outside the full managerial control of the project manager BUT the causal links between *outputs* and *Purpose* are clear and strong.
- 4  The *Purpose* is clearly stated and does not contain words like “by”, “so that” or “through”.
- 5  All the *outputs* are necessary for accomplishing the *Purpose*.
- 6  The *outputs* are clearly stated.
- 7  The *outputs* are stated as results, with the noun preceding the verb.
- 8  The *activities* define the action strategy for accomplishing each output, led by strong verbs.
- 9  The *impact / goal* is clearly stated.
- 10  The if/then relationship between the *Purpose* and *goal* is logical and does not miss important steps.
- 11  The *assumptions* at the *activity* level include pre-existing conditions.
- 12  The *outputs* plus the *assumptions* at *Purpose* level produce the necessary and sufficient conditions for achieving the *Purpose*.
- 13  The *Purpose* plus *assumptions* at *impact / goal* level describe the critical conditions for substantively contributing to the goal.
- 14  The relationship between the *inputs/resources* and the *activities* is realistic.
- 15  The relationship between the *activities* and *outputs* is realistic.

⁷ Adapted from the Team up Project List.

- 16  The relationship between the *outputs* and the *Purpose* is realistic
- 17  The vertical logic from *activities*, *outputs*, *Purpose* to *goal* is realistic as a whole.
- 18  The *indicators* at the *Purpose* level are independent from the *outputs*. They are not a summary of outputs but a measure of the *Purpose level change*.
- 19  The *Purpose indicators* measure what is important.
- 20  The *Purpose targets* have quantity, quality and time measures.
- 21  The *output targets* are objectively verifiable in terms of quantity, quality and time, and are independent of the *activities*.
- 22  The impact / goal-level targets are verifiable in terms of quantity, quality and time.
- 23  The associated budget defines the resources and costs required for accomplishing the *Purpose*.
- 24  The Data Sources column identifies where the information for verifying each indicator will be found and who will be responsible for collecting it.
- 25  The *activities* identify any actions required for gathering data / evidence.
- 26  The *outputs* define the management responsibility of the Project.
- 27  When reviewing the Logical Framework, you can define the monitoring, review and evaluation plan for the Project.
- 28  The *Purpose indicators* measure sustainable change.
- 29  The *output strategy* includes a description of the project management systems.
- 30  The team designing the project are completely exhausted!

8.2 Using the Logical Framework

The logical framework now provides a comprehensive and through project plan that all partners have been involved in and that has an inherent logic running through it. The logical framework is useful for a number of purposes:

- Monitoring, Reviewing and Evaluating – Keeping track of the project, it forms a most useful monitoring, reporting and evaluation tool (*See Appendix F for further details*).
- Communicating the details of what the project is about – Informing partners about the overall objectives of the project (*See Appendix I for further details*).
- Reporting in brief. (*See Appendix J for further details*).
- A commissioning tool – Section 8.3 explains how frameworks can be nested within each other – the overall goals can become Purposes which other organisations can be commissioned to deliver.

8.3 Nesting the Framework

One of the interesting things about logical frameworks is how they can be linked together and ‘nested’ within each other. Your organisation/group may have a number of different level plans (For example an organisational plan, regional plans, team plans and individual plans within these). Theoretically the objectives should feed down through these plans so that the ‘Purpose for the high level plan becomes the impact / goal for the subsequent plans and this process continues as objectives become more and more specialised. See Appendices G and H for further details.

8.4 Useful References

DFID (2002) Tools for Development. <http://www.dfid.gov.uk/pubs/files/toolsfordevelopment.pdf>

Asian Development Bank Guidelines for Preparing a Design and Monitoring Framework (DMF) (2006) www.adb.org/Documents/guidelines/guidelines-preparing-dmf/guidelines-preparing-dmf.pdf

Ausaid guides www.ausaid.gov.au/ausguide/default.cfm

Europe Aid guides

http://europa.eu.int/comm/europeaid/qsm/project_en.htm

http://europa.eu.int/comm/europeaid/qsm/documents/pcm_manual_2004_en.pdf

SIDA guide http://www.sida.se/shared/jsp/download.jsp?f=SIDA1489en_web.pdf&a=2379

Groupe Initiatives http://www.gret.org/ressource/pdf/traverse_13.pdf

APPENDIX A: GLOSSARY

Term	Definitions	Notes
Activities	Actions taken or work performed through which <i>inputs</i> , such as funds, technical assistance and other types of resources are mobilised to produce specific <i>outputs</i> .	
Assumptions	Hypotheses about factors or <i>risks</i> which could affect the progress or success of <i>development intervention</i> .	An assumption is a necessary condition for the achievement of results at different levels. See <i>Risks</i> .
Baseline	The situation prior to a <i>development intervention</i> against which progress can be assessed or comparisons made.	Baseline study – analysis thereof
Benchmark	A reference point or standard against which progress or achievements can be assessed.	A benchmark refers to the performance that has been achieved in the recent past by other comparable organisations, or what can be reasonably inferred to have been achieved in similar circumstances.
Development Intervention	An instrument or approach for partner (donor or non-donor) support aimed to promote development	For example projects, programmes, budget support, sector wide approach etc.
Goal	The higher order objective to which a <i>development intervention</i> is intended to contribute.	See <i>Impact</i> . 'Goal' is synonymous with <u>positive</u> impact.
Impact	Positive and negative, long-term effects on identifiable population groups produced by a development intervention, directly or indirectly, intended or unintended.	These effects could be economic, socio-cultural, institutional, environmental, technological or of other types. Note that both <i>Goal</i> and <i>Impact</i> should relate to <u>people</u> , not solely to things e.g. an ecosystem.
Inputs	The financial, human, material technological and information resources used for the development intervention.	
Indicators	See <i>Performance Indicators</i> .	
Milestones	Significant points in the lifetime of a project. Times by which certain progress should have been made.	Hence the term may apply to a <i>milestone indicator</i> or <i>target</i> , synonymous with <u>formative indicator</u> or <i>target</i> in contrast with <u>terminal</u> – at the end of a given period or intervention.
Logical Framework or Logframe	A management tool used to improve the design of interventions, most often at project level. It involves identifying strategic elements (inputs, outputs, Purposes and impact) and their causal relationships, indicators and the assumptions and risks that may influence success and failure. It thus facilitates planning, execution and evaluation of a <i>development intervention</i> .	Typically synonymous with <u>Results Framework</u> or <u>Design and Monitoring Framework</u> . Though most often used at project level, is also used at lower levels (e.g. an personal development plan) and at higher levels (e.g. programme, budget support, or country levels - such as an UNDAF <u>Monitoring and Evaluation Framework</u>).

Term	Definitions	Notes
Means of Verification (MoVs)	Data sources and reporting mechanisms that specify how indicator data will be collected, by whom and when.	More or less synonymous with <u>Evidence</u> or <u>Verification</u> or <u>Data Sources</u> .
Nesting	The inter-relationship of two or more <i>Logical Frameworks</i> to illustrate how they communicate and share objectives at different levels.	
Objective	A generic term referring to <i>Activities, Outputs, Purpose</i> and <i>Impact</i> .	To avoid confusion it is best to <u>only use</u> this term generically. Avoid using it more narrowly e.g. <i>Specific Objective, Intermediate Objective, Development Objective</i> .
Purpose	The likely or achieved short-term and medium-term effects of an intervention's outputs, usually requiring the collective effort of partners. Purposes represent changes in development conditions which occur between the completion of outputs and the achievement of impact	<i>Outcome</i> has become synonymous with <i>Purpose</i> . Limit the <i>Purpose</i> to one succinct statement to ensure clarity and focus. Purpose statements typically <u>describe the change of behaviour</u> resulting from the uptake or use or implementation by others outside the project team (often beneficiaries) of the <i>Outputs</i> .
Outputs	The products and services which result from the completion of <i>Activities</i> within a <i>development intervention</i> .	<i>Outputs</i> are like promises; they are the deliverables, the term of reference of the project manager and team. The team has a high degree of control over the delivery of the outputs.
Performance Indicator	A quantitative and/or qualitative variable that allows the verification of changes produced by a development intervention relative to what was planned.	Synonymous with <i>Indicators</i> or <i>Objectively Verifiable Indicators</i> . See <i>Target</i> . An indicator is a <u>means</u> of measuring change; a target is a specific <u>end point</u> . Specify indicators and targets in terms of quantity, quality and time.
Problem Analysis	A structured investigation of the negative aspects of a situation in order to establish causes and effects.	
Project	A series of activities aimed at bringing about clearly specified objectives within a defined time-period and with a defined budget.	Confusingly the term is sometimes used more widely to include programmes and budget support; i.e. it is used synonymously with <i>Development Intervention</i> .
Purpose	The publicly stated <i>outcome</i> of a project or programme.	<i>Purpose</i> has become synonymous with <i>Outcome</i> . <i>Outcome</i> is preferred in UNDG terminology.
Results	Results are changes in a state or condition which derive from a cause-and-effect relationship. There are three types of such changes (intended or unintended, positive and/or negative) which can be set in motion	<i>Result</i> is best used as a <u>generic term</u> for output, outcome and impact at any or all levels. In contrast the EC uses the term narrowly, synonymous with <i>Output</i> .

Term	Definitions	Notes
	by a <i>development intervention</i> – its output, Purpose and impact.	
Results Based Management	A management strategy by which an organisation ensures that its processes, products and services contribute to the achievement of desired results (outputs, outcomes and impacts).	RBM rests on clearly defined accountability for results and requires monitoring and self-assessment of progress towards results, and reporting on performance.
Results chain	The causal sequence for a development intervention that stipulates the necessary sequence to achieve desired objectives – beginning with inputs, moving through activities and outputs, and culminating in outcomes, impacts and feedback.	Based on a theory of change, including underlying <i>assumptions</i> .
Risk	A potential event or occurrence could adversely affect achievement of the desired results.	A risk should not be written as the negative of an assumption (e.g. Assumption = ‘inflation remains at manageable level’; Risk = ‘Hyperinflation’). It is useful to view assumptions as the conditions that remain <u>after mitigatory measures have been put in place</u> .
Stakeholder	Any person, group, organisation or institution that has an interest in an activity, project or programme.	This includes intended beneficiaries and intermediaries, winners and losers, and those involved or excluded from the decision making process.
Stakeholder Analysis	Identification of all stakeholders who can influence the intervention or are likely to be affected (either positively or negatively) by it.	
Sustainability	The continuation in the benefits produced by the intervention after it has ended.	
Target	A specific level of performance that an intervention is projected to accomplish in a given time period.	See <i>Performance Indicator</i> . <i>Indicators</i> are means, <i>targets</i> are ends. E.g ‘the proportion of population below minimum level of dietary energy consumption’ is an <i>indicator</i> ; ‘Halve, between 1990 and 2015, the proportion of people who suffer from hunger’ is a <i>target</i> .

APPENDIX B: PROJECT MANAGEMENT

What is a project?

A project can be defined as ‘a series of **activities** aimed at bringing about **clearly specified objectives** within a defined **time period** and with a defined **budget**’⁸.

Another definition of a project might be ‘a **temporary organisation** that is needed to produce a unique and **defined Purpose** or result at a **pre-specified time** using **predetermined resources**.’⁹

A project should have a number of features:

- a **finite, defined life cycle**
- defined and **measurable results**
- a **set of activities** to achieve those results
- defined **stakeholders**
- an **organisational structure** with clear roles and responsibilities for management, coordination and implementation
- a defined amount of **resources** and
- a **monitoring, review and evaluation** system.

Within the business context emphasis is placed on the need for a project to be created and implemented **according to a specified business case**. In the development context, this may not be considered relevant. But it is. Perhaps omit the word *business* and the message is clear and useful; that a project needs to have **a specified case**. It needs to be based on a clear rationale and logic; it must be ‘defendable’ at all stages when it comes under scrutiny.

By its very nature, a project is temporary, set up for a specific purpose. When the expected results have been achieved, it will be disbanded. So projects should be **distinguished from on-going organisational structures, processes and operations**, with no clear life cycle. These organisational aspects may well of course provide key support functions to projects but those aspects do not come with the remit of the project team. Where needed they are in effect services bought in by the project. (One can of course have an individual with more than one role, one of which may be long-term, on-going within the organisation, another temporary within a project.)

Within the **development context there are many different types of project; different in purpose, scope and scale and this can lead to confusion**. In essence a project is any planned initiative that is intended to bring about beneficial change in a nation, community, institution or organisation. It has boundaries that are determined by its objectives, resources and time span. A ‘project’ typically is a free-standing entity relatively small in budget, short in duration and delivered by its own

⁸ EU (2004) *Aid Delivery Methods. Volume 1 Project Cycle Management Guidelines* available at ec.europa.eu/comm/europeaid/reports/pcm_guidelines_2004_en.pdf

⁹ This definition comes from PRINCE2 a project management method established by the UK Office of Government Commerce (OGC) which has become a standard used extensively by the UK government but which is also widely used and recognised internationally. OGC (2005) *Managing successful projects with PRINCE2*

implementation unit. Or it may be an endeavour with a multi-million dollar budget and timeframe stretching to a decade. But the same term is sometimes confusingly used also for large and complex initiatives embedded within still larger programmes, with rolling time-frames and involving multiple partners. The term is sometimes also used for the development of an element of policy. These notes are about **project planning**; but **remember essentially the same principles, processes and tools can also be applied in programme planning.**

Weaknesses of the project approach

'Classical' projects in the development context have come in for much, usually highly justified, criticism; for example:

- **'Outsider' (usually donor) controlled** priorities and systems
- **Not aligned** with national priorities
- **Little local ownership, not responsive to real needs**, weak implementation, accountability and sustainability
- **Not addressing holistic, cross-sectoral issues**; the management language is full of metaphors, of projects exacerbating the tendency to think and work in 'boxes' or 'silos'
- **Fragmented** and disjointed effort (sometimes in opposite directions)
- **Perverse incentives** (e.g. well-funded 'capacity building' projects can de-skill other key actors such as government departments)
- **High transaction costs**; excessive demands on time of national government offices; poorly harmonised planning and reporting systems
- **Bias** in spending; tied aid.

But all these issues are not unique to projects; many can apply equally to other aid approaches. And they have not meant that projects have disappeared. In non-state work, such as civil society (e.g. NGOs, charities) and the private sector, projects remain a key aid modality. And projects remain within state work, but the nature and ownership of those projects and the funding mechanisms behind them have changed and are continuing to change.

What is the Project Managers Role?

Every project requires management. Someone should be setting objectives, allocating resources, delegating responsibility and monitoring performance in order to keep the project on track.

Of course, as in any management situation, the style that the manager adopts can vary from a very authoritarian, vanguard leader with a hands-on approach, through to a consultative, delegating manager who is one step back from the action, to a democratic, developer manager who facilitates others to achieve. We would advocate the latter.

As a project manager you are key to the success of the project. To be effective you must be able to:

- Lead and/or coordinate a team of skilled individuals
- Communicate with everyone involved with the project
- Motivate the project team, stakeholders, and contractors

- Negotiate effective solutions to the various conflicts that may arise between the needs of the project and its stakeholders.
- Identify the risks to the project and limit their effects upon its success.
- Use a variety of basic project management tools and techniques
- Maintain a good sense of humour at all times!

Do however please remember:

Tools such as stakeholder and problem analysis are not a substitute for professional judgement; simply complementary!

What is Project Cycle Management (PCM)?

The term Project Cycle Management (or PCM as it is sometimes called) is used to describe the management activities, tools and decision-making procedures used during the life of the project. This includes key tasks, roles and responsibilities, key documents and decision options.

The objective of PCM is to provide a standard framework in which projects are developed, implanted and evaluated. The concept of a cycle ensures that the results of the different experiences of the project are learned and factored into new projects, programmes and policy.

The use of PCM tools and decision making procedures helps to ensure that:

- Projects are relevant to agreed strategic objectives
- Key stakeholders are involved at the important stages of the project
- Projects are relevant to real problems of target groups/beneficiaries
- Project objectives are feasible and can be realistically achieved
- Project successes can be measured and verified.
- Benefits generated by projects are likely to be sustainable
- Decision-making is well informed at each stage through easily understood project design and management materials.

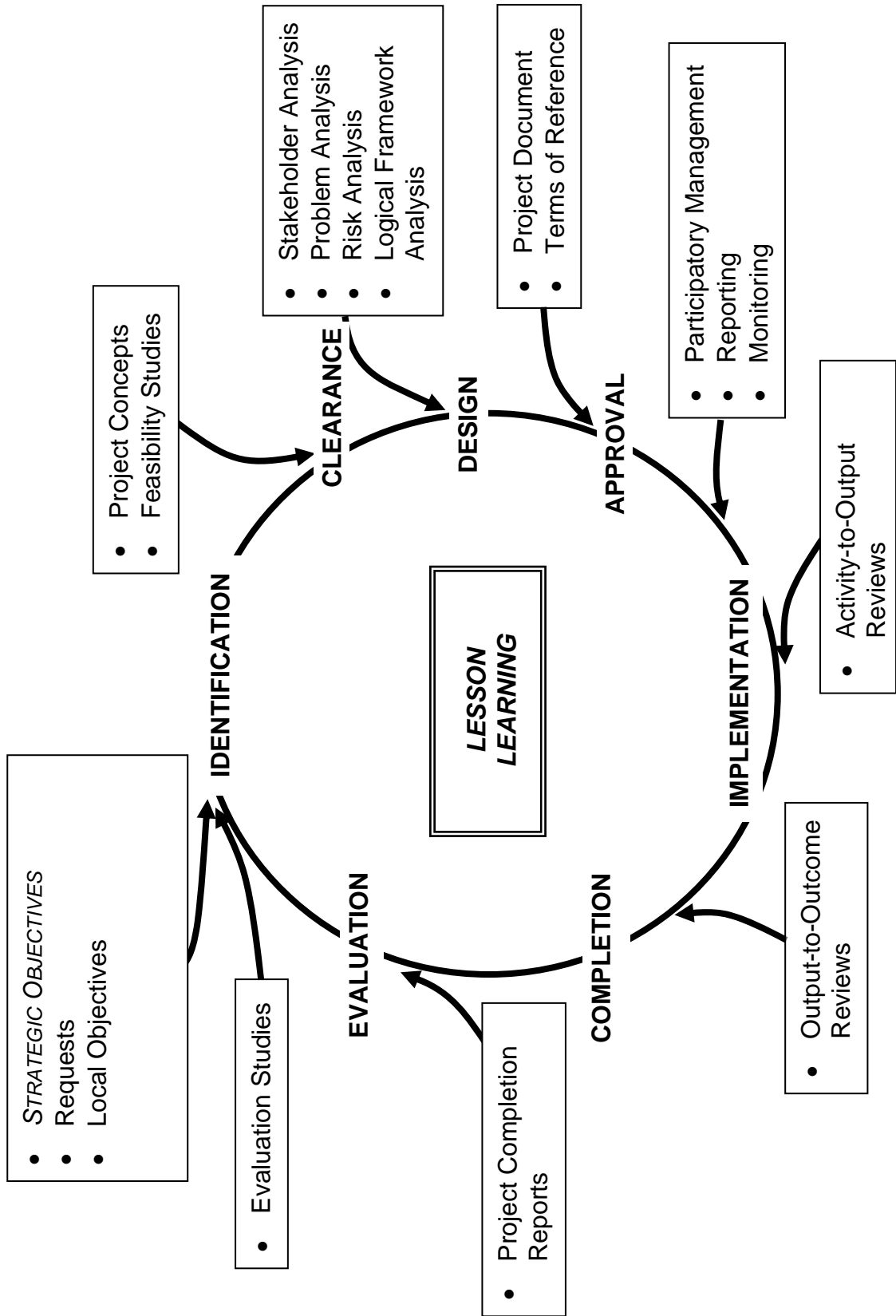
The Project Cycle

There is no “correct” or “ideal” project cycle. Different organisations develop their own project cycle according to their own needs, requirements and operating environment.

A typical Project Cycle is shown in Figure A (over). It is interesting to compare it with the cycle in the Introduction.

Throughout the entire cycle a process of reflection is encouraged to ensure that **LESSON** learning is at the heart of the process, enabling adjustment to activities, indicators of success, appreciation of risks and the focus of achievements.

FIGURE A: THE PROJECT CYCLE



APPENDIX C: SUMMARY OF THE LOGICAL FRAMEWORK

Start here (NOT with the Activities!)

Prior Steps Use appropriate and proportionate processes before starting on the logframe itself e.g stakeholder, problem, objectives and options analyses.

Step 1 Define the Impact / Goal

To what national or sector level priorities are we contributing? What long-term benefits on the lives of the poor will happen partly as a result of the project? Several interventions may share a common Goal.

Step 2 Define the Purpose

What immediate change do we want to achieve? Why is the intervention needed? How will others change their behaviour as a result of the use, uptake or implementation of the Outputs? How will development conditions improve on completion of the Outputs? Limit the Purpose to one succinct statement.

Step 3 Define the Outputs

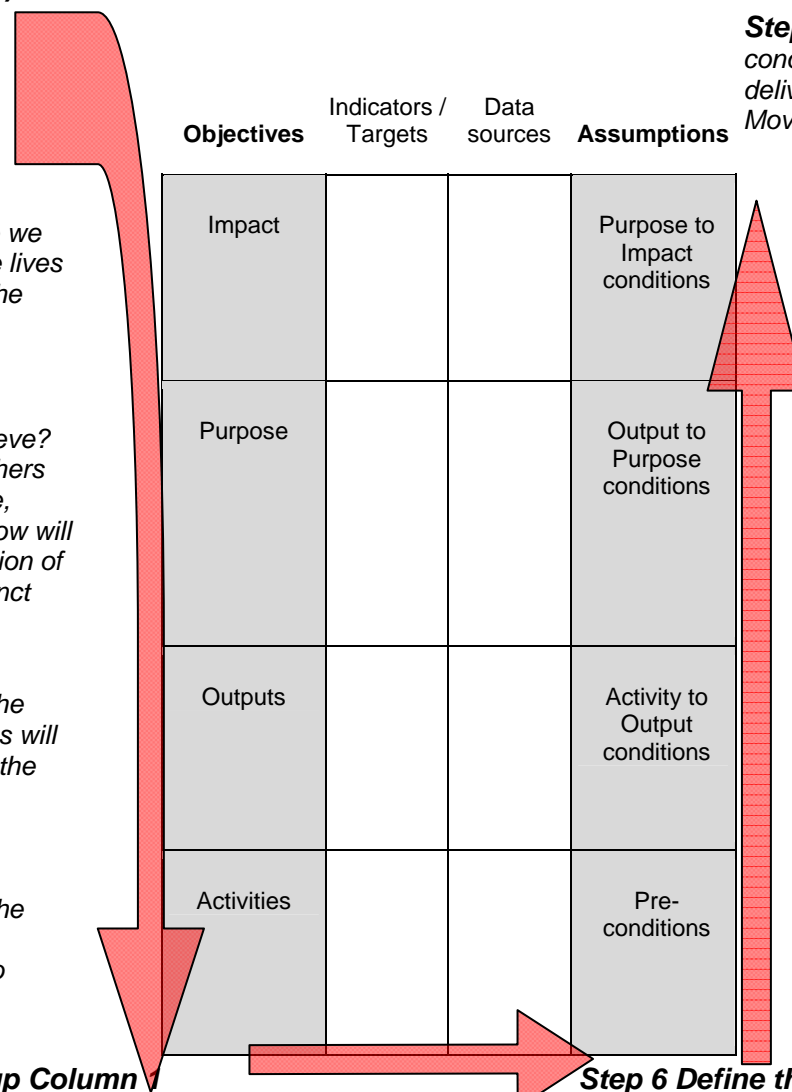
What will be the measurable end results of the planned activities? What products or services will the project be directly responsible for, given the necessary resources?

Step 4 Define the Activities

What needs to be actually done to achieve the Outputs? This is a summary (not detailed workplan) showing what needs to be done to accomplish each Output.

Step 5 Check the vertical logic back up Column

Apply the If/then test to check cause and effect. If the listed Activities are carried out, then will the stated Output result? Is what is planned necessary and sufficient? Are we planning to do too much or too little? And so on up Column 1.



Step 7 Re-check the design logic e.g if the conditions are in place and we do the activities, will we deliver the Outputs? And so on up columns 1 and 4. Move on to Step 8 overleaf.

Step 6d

With the Purpose achieved, what conditions are needed to contribute to the Impact / Goal?

Step 6c

With the Outputs delivered, what conditions are needed to achieve the Purpose?

Step 6b

With the Activities completed, what conditions are needed to deliver the Outputs?

Step 6a

What conditions need to be in place for the Activities to be done successfully?

Do a robust risk analysis.

At each level, identify risks by asking what can stop success. For each risk, evaluate its seriousness and probability; and identify mitigatory measures. **Manage the risks** by adding mitigatory measures planned within the project to Column 1 (mainly as Activities, possibly as an Output). The conditions that remain are the Assumptions in Column 4. Avoid mixing Assumptions and Risks.

Step 6 Define the assumptions at each level

Do a robust risk analysis to determine the Assumptions in the project design.

Step 8 Define the Performance Indicators and Data Sources / Evidence

Complete both columns together

Indicators are means; Targets are ends. Start by defining Indicators; only set Targets when there is enough baseline data and stakeholder ownership. Set Indicators and Targets in terms of Quality, Quantity and Time.

Evidence is usually in the form of documents, outputs from data collection. Some reliable sources may already be available. Include data collection planned and resourced in the project as Activities in Column 1.

Objectives	Indicators / Targets		Data sources	Assumptions
Impact		<p>Step 8a Impact indicators / targets What will indicate the impact changes that are happening / will happen to which the project has contributed? Include changes that will happen during the lifetime of the project, even if only early signs.</p>	<p>Step 8a Impact data sources What evidence will be used to report on Impact changes? Who will collect it and when?</p>	
Purpose		<p>Step 8b Purpose indicators / targets At the end of the project, what will indicate whether the Purpose has been achieved? This is <u>the</u> key box when the project is evaluated on completion.</p>	<p>Step 8b Purpose data sources What evidence will be used to report on Purpose changes? Who will collect it and when?</p>	
Outputs		<p>Step 8c Output indicators / targets What will indicate whether the Outputs have been delivered? What will show whether completed Outputs are beginning to achieve the Purpose? These indicators / targets define the terms of reference for the project</p>	<p>Step 8c Output data sources What evidence will be used to report on Output delivery? Who will collect it and when?</p>	
Activities		<p>Step 8d Activity indicators / targets What will indicate whether the activities have been successful? What milestones could show whether successful Activities are delivering the Outputs? A summary of the project inputs and budget will also be one (but not the only) entry here?</p>	<p>Step 8d Activity data sources What evidence will be used to report on the completion of Activities? Who will collect it and when? A summary of the project accounts will be one (but not the only) entry here.</p>	

Do not include too much detail in the logframe. A detailed workplan and budget will follow as separate, attached documents.

APPENDIX D: STRENGTHS AND WEAKNESSES OF THE LOGFRAME PRINCIPLES

INTRODUCTION

The logical framework (logframe) approach (LFA) is a process and tool (more accurately a 'basket of tools') for use throughout the project and programme cycle¹⁰ to help strengthen analysis and design during formulation, implementation, evaluation and audit. It involves identifying strategic elements (activities, outputs, Purpose and impact) and their causal relationships, indicators and evidence to measure performance and the assumptions and risks that may influence success and failure.

The logframe approach includes a set of interlocking concepts to guide and structure an iterative **process** of analysis, design and management. In this paper we distinguish between that **process** and the documented **product** of that process, the logical framework matrix. A quality process is vital if a useful and effective product is to be generated. The approach is essentially a **way of thinking**, a **mentality**. In some contexts the matrix product is less important than the process; indeed a matrix may not be needed.

The approach has become very widely employed and influential especially, but not exclusively, in international development work. Many development agencies, including national governments, multilateral and bilateral partners, and non-government organisations, use the logframe approach in one of its variants. In many agencies and for a variety of reasons, it has become mandatory practice.

Aid effectiveness commitments, most recently in the 2005 Paris Declaration¹¹ agreed by most partners in the development community, set out clear progress indicators including for harmonisation of procedures in shared analysis, design and results-oriented frameworks. This is work still, as the webpages say, 'under construction'. Already we are seeing much more consensus on terminology (e.g. in OECD¹² and UNDG¹³ glossaries). Similarly there is more uniformity amongst agencies in the format of logical frameworks than there was a decade ago. Complete uniformity is unlikely to be achievable or indeed desirable; frameworks are needed for different outcomes so a general design framework will differ from one specifically to show detailed results monitoring arrangements. The important thing is that the **frameworks help not hinder communication**; that users can see how frameworks for different outcomes link one to another within an overall results-based management system.

The logframe approach, proponents argue, is a simple process that helps:

- organise thinking;
- relate activities and investment to expected results;

¹⁰ The LFA can be applied at different levels with small projects, a higher-level programme or indeed a whole organisation. In this paper, the term 'project' is intended to include all levels.

¹¹ <http://www.oecd.org/dataoecd/11/41/34428351.pdf>

¹² <http://www.oecd.org/dataoecd/29/21/2754804.pdf>

¹³ http://www.undg.org/documents/2485-Results-Based_Management_Terminology_-_Final_version.doc

- set out performance indicators;
- allocate responsibilities;
- communicate information on the project concisely and unambiguously.

There are however limitations to the logframe approach. In the current debate, it is not easy to separate weaknesses that may be inherent in the tool itself from the poor application of that tool. Some feel it is essentially a good tool, but one that is often badly applied. The 'good servant, bad master' theme is deepened by the frequent use of the logframe as a rigid and inflexible tool for central, hierarchical control. Some opponents go further and reject the approach itself on the grounds that it is reductionist and simplistic, that it exacerbates power imbalances between funder, intermediary and beneficiary and that it is 'western-centric'.

Perhaps the most valid, but not altogether satisfactory, justification for widening the use of the LFA is that 'something is better than nothing'. **An** approach has to be used, ultimately to report progress against expenditure, and if there is widespread consensus on one approach, all the better. Some who criticise the LFA as a planning tool, are actually comparing it with **not planning**. Most of us would rather not plan; but not planning rarely results in effective and efficient operation.

Many lessons have been learnt over the last twenty years as regards LFA best practice; examples of enlightened and rewarding application in a variety of contexts are now common. The LFA will only be beneficial if it is used in a thoughtful way such that it influences project identification and design from the start, rather than only being added at the end. The logframe matrix itself should be a product and summary of thorough and systematic situation analysis and cannot be a substitute for this. As such it must be embedded in a wider process; before work on the logframe matrix starts, there needs to be analysis of **who** should be involved and **how**. This in turn will lead to more effective appraisal of the context (be it social, technical, environmental, economic, institutional, or gender etc.), of the problem to be addressed, of the vision sought and strategic analysis of the alternative ways forward.

STRENGTHS OF THE LOGICAL FRAMEWORK APPROACH

The major strengths of the logframe approach are:

It brings together in one place a statement of all key elements of the project or programme.

- Having all key components of projects or programme in a systematic, concise and coherent way helps you clarify and demonstrate the logic of how the initiative will work. This can be particularly helpful when communicating between partners and when there is a change of personnel.

It fosters good situation analysis and project design that responds to real problems and real needs.

- It systematizes thinking. It can help ensure that the fundamental questions are asked and that cause and effect relationships are identified. Problems are analysed in a systematic way and logical sequence. It guides you in identifying

the inter-related key elements that constitute a well-planned project. It highlights linkages between project elements and important external factors.

It encourages robust risk management.

- It systematically requires risks to be identified and assessed and mitigatory measures to be factored into the design. It informs the ultimate decision to approve the plan for implementation in the light of remaining assumptions.

It anticipates implementation.

- The logframe approach helps in the setting up of activity and input schedules with clear anticipated outcomes. Likewise the use of logframes, can help ensure continuity of approach if any original project staff move or are replaced.

It sets up a framework for monitoring and evaluation where anticipated and actual results can be compared.

- By having objectives and indicators of success clearly stated before the project starts the approach helps you set up a framework for monitoring and evaluation. It is notoriously difficult to evaluate projects retrospectively if the original objectives are not clearly stated. It helps to reveal where baseline information is lacking and what needs to be done to rectify this. The approach can help clarify the relationships that underlie judgements about the likely efficiency and effectiveness of projects; likewise it can help identify the main factors related to the success of the project.

It is easy to learn and use.

- Effective training in the basics of the logframe approach can be given in a few days. Opportunities are then needed to apply and consolidate learning with follow-up support through mentoring, networking and further training. A key group of staff can become an effective resource team in a short period of time.

It does not add time or effort to project design and management, but reduces it.

- Like many other design and management tools the logframe approach has to be learnt before it can be effectively used. Once learnt however, it will save time. Of course, if it is being compared with not doing essential analysis and design work, then it takes longer; but 'not doing' is not an option.

It enhances communication.

- The approach facilitates common terminology, understanding, purpose and ownership within and between partners. Several logframes can interrelate; they can nest together as a portfolio of initiatives working towards a common vision. In a powerful way this can help individuals and teams understand the whole of which they are a part; it helps them to see the bigger picture.

It can be used as a basis for a reporting and overall performance assessment system.

- The monitoring and evaluation elements of the logframe can be used to develop a format for reporting clearly and succinctly against objectives and indicators and for success scoring. Scores in turn can be collated across a portfolio to give an assessment of overall performance and organisational and developmental effectiveness.

WEAKNESSES OF THE LOGICAL FRAMEWORK APPROACH

Some significant limitations of the LF approach are:

It is not a substitute for other technical, economic, social and environmental analyses. It cannot replace the use of professionally qualified and experienced staff.

- It can help project design, implementation and evaluation, but clearly does not do away with the need for other project tools especially those related to technical, economic, social and environmental analyses. Likewise the approach does not replace the need for professional expertise and experience and judgement.

It can be used as a means of rigid, top-down hierarchical control.

- Rigidity in project administration and management can sometimes arise when logframe objectives, targets and external factors specified during design are used as a straightjacket. The LF matrix should not be sunk in concrete, never to be altered to fit changing circumstances. There needs to be the expectation that key elements will be re-evaluated and adjusted through regular project reviews.

The logframe process might be carried out mechanistically as a bureaucratic box-filling.

- This is a common abuse of the tool. The individual at their desk or in their hotel room mechanistically filling in the matrix 'because that's what the procedures say' is the antithesis of the approach. In its extreme the approach becomes a fetish rather than an aid.

The process requires strong facilitation skills to ensure real participation by appropriate stakeholders.

- To undertake the logframe process with the active participation of appropriate stakeholders in decision-making is not easy. Facilitating, for example illiterate primary stakeholders effectively through the process requires considerable skill.

The logframe is simplistic and reductionist.

- It over-relies conceptually on linear cause and effect chains. Life is not like that. As a result, the logframe can miss out essential details and nuances.

The whole language and culture of the logframe can be alien.

- The jargon can be intimidating. In some cultures (organisational and national) the logframe can be very alien. Concepts and terminology do not always easily translate into other cultures and languages. The objectives-driven nature of the logframe does not always transfer well across cultural boundaries. Unless precautions are taken the LFA can discriminate and exclude.

The logframe approach is western-centric.

- This continues to be a hotly debated issue. Some opponents see the approach as a manifestation of western hegemony and globalisation.

IN CONCLUSION

The logframe is not a panacea. However, used sensitively, it is a powerful approach, that can result in greater effectiveness, efficiency and inclusion. Developing a logframe with real participation can have a very positive impact. Fresh thinking is needed, customised to each context, to the extent in some contexts perhaps of not using the matrix itself, and just working with the questions therein. The LFA's wide adoption suggests that, on balance, its strengths outweigh its limitations; some disagree. Users need however to be well aware of the weaknesses and potential abuses and misuses of the approach. The LFA must to be used flexibly with eyes open to its limitations and pitfalls.

APPENDIX E: CATEGORIES OF OUTPUTS

Human Capacity

- Specific Individuals or Groups able to do specific tasks
- To identify needs
- To research
- To develop policy

Systems

- For Administration
- For Management
- For Handling Information
- Procedures and guidelines
- For Research
- For Monitoring and Evaluation
- For Promotion and dissemination
- For Procurement and Contracting
- For Reporting
- For Human Resource Management

Knowledge and Information

- Lessons learned
- Product and Process
- Policy initiatives

Infrastructure

- Clinics
- Classrooms
- Computers etc.

Materials

- Research publications
- Extension materials
- Grey literature
- Training materials / curricula
- Broadcasts
- Websites
- Databases
- Documented procedures
- Product and Process

Awareness of various audiences

- Users
- Policy makers
- Other researchers in region and internationally
- Donor community
- Secondary Stakeholders

APPENDIX F: ASSESSING PROJECT PERFORMANCE

Why assess project performance?

We need to demonstrate project performance so that we can more effectively manage the outputs and outcomes of what we do and direct our effort in the direction where it will have the greatest impact.

Project performance assessment traditionally involved monitoring and evaluation with a focus on assessing inputs and implementation processes. The trend today is to broaden assessment to include many elements that together contribute to a particular development outcome and impact. So depending on the context, assessment may be needed for example of outputs, partnerships, coordination, brokering, policy advice, advocacy and dialogue.



The main reasons for performance assessment are to:

- Enhance **organisational and development learning**; to help our understanding of why particular activities have been more or less successful in order to improve performance
- Be **accountable** to clients, beneficiaries, donors and taxpayers for the use of resources; and thereby to
- Ensure **informed decision-making**.

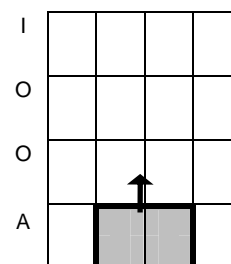
An underpinning rationale is the **capacity building for improving performance**.

Monitoring, Review, Evaluation and Impact Assessment

The use of the terms varies in different organisations. Be aware that when talking with others, they may use different words, or the same words may mean different things. A common interpretation of them is:

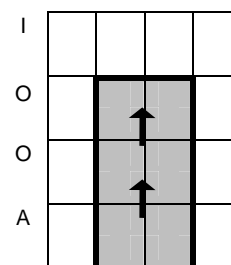
Monitoring:

the systematic collection and analysis on a regular basis of data for checking performance. This is usually done internally to assess how inputs are being used, whether and how well activities are being completed, and whether outputs are being delivered as planned. Monitoring focuses in particular on **efficiency**, the use of resources. Key data sources for monitoring will be typically internal documents such as monthly/quarterly reports, work and travel logs, training records, minutes of meetings etc.



Review:

an assessment of performance periodically or on an ad hoc basis, perhaps annually or at the end of a phase. It usually involves insiders working with outsiders; implementers with administrators and other stakeholders. Review focuses in particular on **effectiveness, relevance and immediate impact**. It assesses whether the activities have delivered the outputs planned and the Purposes of those outputs; in other words whether there is indication that the outputs are contributing to the purpose of the intervention. Early reviews are sometimes called Activity-to-Output Reviews, later ones Output-to-Purpose Reviews. 'Review' is sometimes used synonymously with 'evaluation'; review is a form of evaluation. Key data sources for review will typically be both internal and external documents, such as ½ yearly or annual reports, a report from a stakeholder participatory review event, data collection documents, consultants' reports etc.



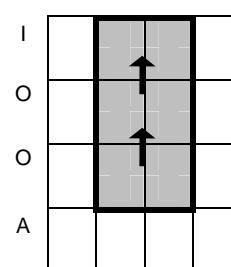
Evaluation:

in many organisations is a general term used to include review. Other organisations use it in the more specific sense of a systematic and comprehensive assessment of an on-going or completed initiative. Evaluations are usually carried out by outsiders (to enhance objective accountability) but may involve insiders also (to enhance lesson learning).

Evaluations focus on the **relevance, effectiveness, efficiency, impact and sustainability** of a project or programme. Evaluations are often carried out to assess and synthesise several initiatives together on a **thematic, sector or programme** basis.

Key data sources for evaluation will be both internal and external. They may include review reports, commissioned study reports, national and international statistics, impact assessment reports etc.

Impact assessment is a form of evaluation that tries to differentiate changes that can be attributed to a project/programme from other external factors that may have contributed. Those changes may be intended or unintended. Impact assessment tries to assess what has happened as a result of the intervention and what may have happened without it.



It is clear then that M&E reflect a continuum with no clear boundaries. With that caveat said, the following table offers some general differences.

	Monitoring	Review	Evaluation
			
When is it done?	continuous throughout the life of an initiative	occasional, mid-way or at the end of a phase or initiative	infrequent, during, at the end or beyond the end of an initiative
Why is it done?	to assess whether an initiative is on track and make adjustments	to reflect on and explain performance; to learn and share lessons; to hold managers accountable	to reflect on and explain performance; to learn and share lessons, often at a programme, thematic or sector , rather than project level; to hold managers accountable; to assess impact in relation to external factors and contributions and attributions to change
What is measured?	checks mainly efficiency , the processes of the work - inputs, activities, outputs, conditions and assumptions	checks the effectiveness, relevance and immediate impact of the initiative and the achievement of Purpose	checks the efficiency, effectiveness, relevance, impact and sustainability of the work and the achievement of objectives. It examines with and without scenarios .
Who is involved?	generally only insiders involved	may involve outsiders and insiders ; generally initiated by the project/programme team	usually involves outsiders but perhaps also insiders ; often initiated by an Evaluation Office in the same agency or by another agency altogether
What sources of information are used?	typically internal documents such as monthly/quarterly reports, work and travel logs, training records, minutes of meetings etc.	both internal and external documents such as ½ yearly or annual reports, a report from a stakeholder participatory review event, data collection documents, consultants reports etc.	both internal and external including review reports, consultants reports, national and international statistics, impact assessment reports etc.
Who uses the results?	managers and staff are the main users of the information gathered	many people use the information e.g. managers, staff, donors, beneficiaries	many people use the information e.g. managers, staff, donors, beneficiaries and other audiences
How are the results used?	decision-making results in minor corrective changes	decision-making may result in changes in policies, strategy and future work	decision-making may result in major changes in policies, strategy and future work

M & E criteria

It is crucial to plan an M&E system from the outset; e.g. when doing an organisational strategic plan, when planning an initiative. A system is needed that will examine progress against agreed performance indicators; that will address core criteria and questions (based on the DAC criteria):

- **relevance** (Does the organisation or initiative address the needs? Is it consistent with the policies and priorities of the major stakeholders – especially, where relevant, of the client country? To what extent is it compatible with other efforts? Does it complement, duplicate or compete?)
- **efficiency** (Are we using the available resources wisely and well? How do outputs achieved relate to inputs used?)
- **effectiveness** (Are the desired objectives being achieved at Purpose and Impact / Goal level? Does it add value to what others are doing? To what extent are partners maximising their comparative advantage?)
- **impact** (What changes, positive and negative, have occurred and are these attributable to the initiative?)
- **sustainability** (Will the Purposes and impacts be sustained after external support has ended? Will activities, outputs, structures and processes established be sustained?)

Performance Scoring

Some organisations use scoring systems as an integral part of the monitoring and review process to rate aspects of performance; for example of the **likelihood that the outputs and Purpose of the project will succeed** (or have succeeded, depending on when the scoring is done) or of the **level of risk**, which threatens the achievement of success.

Annual scoring can provide important data for accountability, learning and decision-making. With care it may be possible for scores to be aggregated across a programme or sector or office to provide an overall picture of success and value for money. The quality of scoring is clearly a key issue; bad data generates bad conclusions. The system has to be applied consistently and robustly involving relevant stakeholders and partners.

A typical scoring system (based on DFID's), using a scale of 1-5 that can be applied for each Output, overall at Output level and at Purpose level:

No.	Descriptions	Achievement
1	Likely to be completely achieved	The outputs / Purpose are well on the way to completion (or completed)
2	Likely to be largely achieved	There is good progress towards Purpose completion and most outputs have been achieved, particularly the most important.
3	Likely to be partly achieved	Only partial achievement of the Purpose is likely and/or achievement of some outputs.
4	Only likely to be achieved to a very	Purpose

	limited extent	
5	Unlikely to be achieved	No progress on outputs or Purpose
X	Too early to judge	It is impossible to say whether there has been any progress towards the final achievement of outputs or Purpose. This score should not be used unless they meet at least one of the following criteria: a) Project is postponed because of conflict b) External Constraints c) Recruitment delays

A typical risk rating system (also based on DFID's) that can be used to determine an Overall Project Risk rating:

	Rating	Description
Impact	Low	Risk factor may lead to tolerable delay in the achievement of objectives or minor reduction in Quality/Quantity and/or an increase in cost.
	Medium	Risk factor may lead to some delay, and/or loss of quality/quantity and/or and increase in cost.
	High	Risk factor may cause some or all aspects of objectives in relation to Time, Quality/Quantity not being achieved to an acceptable standard or to an acceptable cost.
Probability	Low	Unlikely to occur or the risk is fully manageable by us.
	Medium	Could go either way and we can have some influence in managing the risk but cannot control it completely.
	High	Very likely to occur and our ability to actively manage the risk is limited.

Preparing for review or evaluation

This will probably have been set in the project document logframe and workplan. Even so these exercises often take implementers by surprise. Some steps:

- **Clarify Scope and Timing**

Start planning typically 6-9 months before the event, especially if it is to involve independent evaluators or senior officials; their diaries are likely to be full.

- **Involve Partners and Stakeholders**

This may be straightforward. Or it may be a delicate operation. Present the exercise positively emphasising the opportunity to work together in assessing progress, to support joint learning, to account for resources used and improve overall effort. But recognise fears and discuss them openly. Seek an organisational culture where the discovery of mistakes and failures is accepted as an opportunity to improve rather than to blame and to condemn.

- **Agree the Terms of Reference**

Goods ToRs are critical. Typically these will include:

- i. **Objectives** Why the evaluation is being undertaken. A brief description of what is to be evaluated; project status; key partners and stakeholders; changes in context; previous evaluations
- ii. **Scope** The issues, areas and timeframe the evaluation will cover; some key evaluation questions
- iii. **Implementation** Composition and areas of expertise of the team; leadership and management; methodology and approach; field visits; phases and scheduling
- iv. **Products** Findings, recommendations, lessons, performance scoring; local discussion and feedback; debriefing. Report drafts and editing process; the final report – content, scope, length, language, deadlines, dissemination
- v. **Background** More detailed information about the context; reference documents etc.

- **Plan and Implement any special surveys that may be needed**

Fresh primary data may be needed. Or an analysis of documentation.

- **Plan for any special requirements**

For example, translation of key documents.

Quality Standards for Evaluation

- **Utility** - meeting the information needs of the intended users and therefore relevant and timely
- **Accuracy** - using valid, reliable and relevant information
- **Independence** - impartial, objective, and independent from the process concerned with policy-making, and the delivery and management of development assistance
- **Credibility** - depends on the skill and experience of the evaluators, and on the transparency and inclusiveness of the evaluation process (credible evaluations also require accuracy and independence)

- **Propriety** - conducted legally, ethically, and with due regard for the welfare of those involved in the evaluation, as well as those affected by its results.

Where to go for further information

World Bank Evaluation

<http://www.worldbank.org/evaluation/>

FAO

<http://www.fao.org/pbe/pbee/en/224/index.html>

http://www.fao.org/docs/eims/upload/160705/auto-evaluation_guide.pdf

Parc; the Performance Assessment Resource Centre

<http://www.parcinfo.org>

IFAD

<http://www.ifad.org/evaluation/guide/>

EU Guidelines

http://europa.eu.int/comm/europeaid/evaluation/methods/guidelines_en.pdf

OECD and DAC

http://www.oecd.org/pages/0,2966,en_35038640_35039563_1_1_1_1_1,00.html

UNDP Evaluation Office

<http://www.undp.org/eo/>

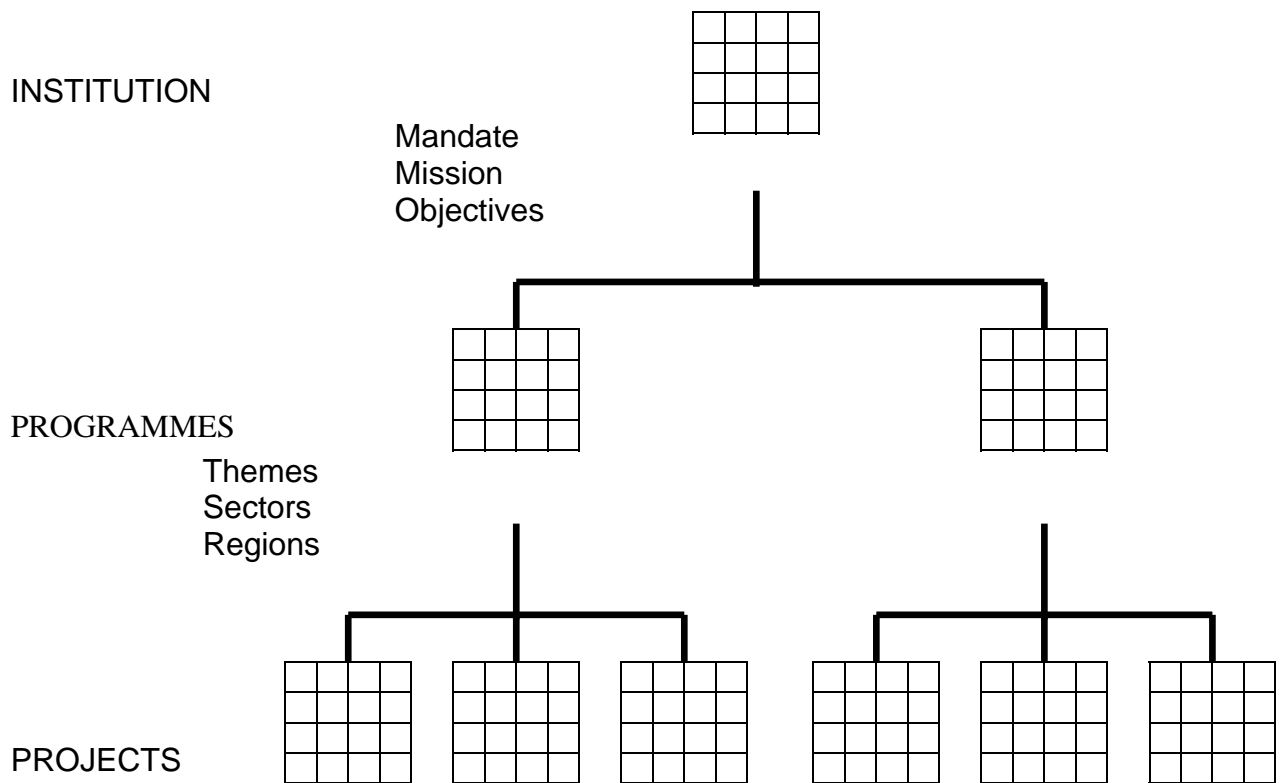
UN Evaluation Forum

<http://www.uneval.org/>

International Development Evaluation Association

<http://www.ideas-int.org/>

APPENDIX G: PORTFOLIOS OF LOGFRAMES



The logframe approach can help to communicate, organise, manage and focus a portfolio:

- To improve horizontal and vertical communication
- To standardise planning and design
- To monitor and evaluate performance at all levels
- To provide a logical focus.

For the individual involved in such an organisation, to be able to 'see the whole' can be important in motivation and ownership.

APPENDIX H: NESTING OF LOGICAL FRAMEWORKS

HIV/AIDS in Sub-Saharan Africa

Department or Country Assistance Plan level				
Impact / Goal Poverty reduced in Sub-Saharan Africa.	Sector level e.g. Health sector in Nkononia			
Purpose Progress towards Millennium Development Goals in 16 key countries.	Impact / Goal Progress towards health MDGs in Nkononia.	Programme level e.g. sexual and reproductive health in Ekim State.		
Outputs 1. Government-led health programmes within poverty reduction strategy developed and implemented focussing on MDGs. 2. Government-led education programmes in Poverty Reduction Strategy developed and implemented focussing on MDGs. 3. Better economic and political governance. 4. Sustained improvement in climate for foreign investment, local private sector development and market access for the poor.	Purpose Government-led health programme within Poverty Reduction Strategy developed and implemented focussing on MDGs.	Impact / Goal State health programme implemented successfully contributing to sexual and reproductive health MDGs.	Project level e.g. Life Planning Education in Marivi Districts.	
	Outputs 1. National Strategic Health Policy developed and implemented. 2. A model for Family Medicine. 3. Integration of Ministry of Health with Social Security systems. 4. Research, monitoring and impact assessment systems agreed and in place. 5. Skills developed in contracting private services.	Purpose Sexual and Reproductive Health policy developed and implemented in Ekim State.		Impact / Goal Improved sexual and reproductive health status in Marivi through successful implementation of State Sexual and Reproductive Health policy.
		Outputs 1. Improved enabling and policy environment. 2. Capacity of partner institutions developed. 3. Youth-friendly services accessible to female and male adolescents. 4. Schools able to deliver Life Planning Education effectively. 5. etc		Purpose Schools effectively delivering Life Planning Education.
				Outputs 1. Partner consensus and plan for way forward. 2. Improved methods of control identified. 3. Schools with resourced Action Plans developed with community. 4. Cadre of teacher trainers in place. 5. Materials and curriculum developed. 6. Core of teachers trained in each school. 7. Etc.

Weed Research in semi-arid areas

Department level

<p>Impact / Goal Poverty reduced. Economic growth. National environmental problems mitigated.</p>	<p>Sector strategy level e.g. Research strategy</p>		
<p>Purpose Productive capacity of crop sector enhanced on economically and environmentally sustainable basis.</p>	<p>Impact / Goal Productive capacity of smallholder cropping sector enhanced on economically and environmentally sustainable basis.</p>	<p>Programme level e.g. semi-arid systems programme</p>	
<p>Outputs 1. Research outputs disseminated and implemented. 2. Policy development strategy successfully implemented. 3. Successful operations strategy in place.</p>	<p>Purpose Research outputs disseminated and implemented.</p>	<p>Impact / Goal Research outputs relating to semi-arid systems disseminated and implemented.</p>	<p>Project level e.g. Control of <i>Striga</i> weed project</p>
	<p>Outputs 1. Key researchable constraints removed. 2. Research programmes successfully operational.</p>	<p>Purpose Research programmes successfully operational.</p>	<p>Impact / Goal Research programmes relating to semi-arid systems successfully operational.</p>
		<p>Outputs 1. Impact of weeds on the crop production cycle minimised. 2. Impact of pests on production of sorghum and millet based systems minimised. 3. Impact of pests on cotton production minimised.</p>	<p>Purpose Impact of <i>Striga</i> on the crop production cycle minimised.</p>
			<p>Outputs 1. Dynamics of sorghum/<i>Striga</i> communities better understood and incorporated in crop management strategies. 2. Improved methods of control developed and promoted. 3. etc</p>

APPENDIX I: THE LOGFRAME AS A COMMUNICATION TOOL

The logical framework is an important communication tool. It can help us to explain to our project partners and other stakeholders what we are doing and why. It can help us prepare reports for sponsors and other key stakeholders. This can be achieved by taking:

A step-by-step presentation approach¹⁴

1. *Impact / Goal*: "The overall goal is to"
2. *Purpose*: "In order to contribute to this goal we in this project will....."
3. *Outputs*: "We will achieve this objective by taking direct responsibility for....."
4. *Activities*: "Let me describe our strategy in more detail. We believe that if we"
5. *Activity level Assumptions*: "and if"
6. *Output level Indicators*: "we will achieve our targets of"
7. *Purpose Indicators*: "In addition to reaching these targets, several other things must happen if we are to achieve our major objective of"
8. *Output level Assumptions*: "These other factors, outside our direct control, include"
9. *Purpose level Assumptions*: "We believe that if we can achieve our major objective, we will contribute to our overall goal. This contribution is, however, affected by factors outside of this project. These include All of these factors taken together will be sufficient to realise this goal. The strategy we propose is an important and cost effective step towards that end."
10. *Evidence*: "We propose that our performance be monitored and assessed in the following way....."

¹⁴ Adapted from the original Team Up Project Checklist

APPENDIX J: REPORTING USING THE LOGFRAME; AN EXAMPLE

The next four pages give an example of a **typical** reporting format based on the logframe; at different objective levels and at different times during the project cycle. The first two columns of each table are cut and pasted from the logframe. Development organisations have committed themselves to move towards uniform reporting procedures and formats; until that happens, formats will vary.

PROGRESS/MONITORING REPORT

COUNTRY..... PROJECT TITLE..... PERIOD COVERED.....

CODE..... DATE PREPARED..... PREPARED BY.....

PROJECT STRUCTURE	INDICATORS OF ACHIEVEMENT	PROGRESS	COMMENTS AND RECOMMENDATIONS	RATING *
ACTIVITIES (Insert activities and inputs from the logical framework).	INDICATORS (Insert indicators from the logical framework).	Provide a report against each activity and input.	Provide comments against each activity and input plus recommendations where appropriate. Comment on the extent to which the assumptions are being met.	

- *
1. Likely to be completely achieved
 2. Likely to be largely achieved
 3. Likely to be partially achieved
 4. Only likely to be achieved to a very limited extent
 5. Unlikely to be achieved
 - x Too early to judge the extent of achievement

PROGRESS/MONITORING REPORT

COUNTRY..... PROJECT TITLE..... PERIOD COVERED.....

CODE..... DATE PREPARED..... PREPARED BY.....

PROJECT STRUCTURE	INDICATORS OF ACHIEVEMENT	PROGRESS	COMMENTS AND RECOMMENDATIONS	RATING *
<p>OUTPUTS (Insert outputs from the logical framework). Insert also details of any unexpected outputs.</p>	<p>INDICATORS (Insert indicators from the logical framework).</p>	<p>Provide a report against each output indicator.</p>	<p>Provide comments against each output indicator plus recommendations where appropriate. Comment on the extent to which the assumptions are being met.</p>	

MONITORING/OUTPUT TO PURPOSE REVIEW REPORT

COUNTRY..... PROJECT TITLE..... PERIOD COVERED.....
CODE..... DATE PREPARED..... PREPARED BY.....

PROJECT STRUCTURE	INDICATORS OF ACHIEVEMENT	PROGRESS	COMMENTS AND RECOMMENDATIONS	RATING *
PURPOSE (Insert Purpose from the logical framework).	INDICATORS (Insert indicators from the logical framework).	Provide a report against each Purpose indicator.	Provide comments against each indicator plus recommendations where appropriate. Comment on the extent to which the assumptions are being met.	

PURPOSE TO IMPACT / GOAL REVIEW REPORT

COUNTRY..... PROJECT TITLE..... PERIOD COVERED.....
CODE..... DATE PREPARED..... PREPARED BY.....

PROJECT STRUCTURE	INDICATORS OF ACHIEVEMENT	PROGRESS	COMMENTS AND RECOMMENDATIONS	RATING *
Impact / GOAL (Insert impact from the logical framework).	INDICATORS (Insert indicators from the logical framework).	Provide a report against each impact indicator.	Provide comments against each indicator plus recommendations where appropriate. Comment on the extent to which the assumptions are being met.	

APPENDIX K: AN EXAMPLE OF A SIMPLE LOGFRAME

Project Title: Community Recreation Facilities for Kids - Building a Swing!

Objectives	Indicators / Targets	Data Sources	Assumptions
Impact / Goal: Integrated community with happy kids and adults	Number of stressed families decreases by 50% Other communities adopt similar ideas	Reports from village clinic and counsellors Newspaper articles	Birth rate continues
Purpose: Kids have fun, are busy and safe	60% of local young kids use the swing safely at least once a month by end of year 2. Kids' opinion on life in the village improved by end of year 2.	User survey Participatory evaluation with the kids	Safe recreation leads to happiness and community integration Facilities don't create conflict
Outputs: 1. Capacity within community to manage the building and long-term maintenance of the swing	6-monthly meetings after completion with > 5 members. Swing maintained and in use over minimum 5 year period	Minutes of meetings Maintenance and annual safety inspection records	People see the benefit of it Easy maintenance
2. A safe, well-built swing	Swing completed and in use in 12 months Minimal number of accidents Few repairs needed	Safety certificate on completion Accident records; bruises, minor cuts & hospitalisation Maintenance log	No vandalism Kids like and use it Kids don't fight
Activities: 1.1 Establish community committee and undertake lobbying required	Planning team set up by x Committee chosen by x Monthly meetings during planning & building phase with > 8 members	Minutes of meetings Attendance records	Enthusiasm and participation maintained Football club will give up a small amount of land for the swing
1.2 Set budget	Budget	Accounts	Low inflation
1.3 Raise funds	Enough money raised by x	Income/receipts	Sufficient funds raised
1.4 Set up systems for maintenance	Rota agreed amongst parents to maintain swing by x	Quarterly rota pinned on library notice board	
2.1 Consult kids	Ideas generated and incorporated in design	Plan discussed with designers	
2.2 Design it	Designed by x	Design in hand	
2.3 Get planning permission	Planning permission by x	Permit in hand	Permission given
2.4 Commission builder	Tenders issued by x Contract awarded by x	Documentation	Building firm reliable and capable
2.5 Build it	Completion by x	Documentation	
2.6 Test it	Tested by builders by x	Verbal report	
2.7 Safety inspection on completion	Inspection by x	Certificate in hand	
2.8 Carry out user survey and participatory evaluation with the kids	Survey carried out by x	Findings displayed in public library	

APPENDIX J: EXAMPLES OF LOGFRAMES

Jamaica All Age Schools Project (JAASP) Logical Framework ¹⁵

Objectives	Indicators	Verification	Assumptions
Goal Improved lifetime opportunities for poorer rural children.	Increased number of children from poor communities finding employment or accessing higher levels of education.		Growth and/or stability of the economy
Purpose Better education for children from poor, rural communities.	By the end of project: <ul style="list-style-type: none"> • At least 60% of the students are reading at or above grade 4 level • 30% increase in scores attained in core subjects at Grade 6 and 9 levels • School attendance at 90% • At least 98% of the students completing 9 years of schooling • 10% increase in pupils progressing to secondary school 	National Education Statistics Student Assessment Unit data	Government of Jamaica remains committed to poverty reduction through investment in education Jamaican economy provides employment opportunities and other initiatives. Access to upper secondary places and skills training available

¹⁵ Dearden P.N. 2000 Report on Project Cycle Management and Logframe Review Workshop Jamaica All Age School Project (JAASP) Jamaica, October 2000. Department for International Development (DFID) and University of Wolverhampton, UK.

<p>Outputs 1. Improved community /school participation.</p>	<p>80% of school boards and Parent Teacher Associations (PTAs) operating effectively by year 2</p> <p>50% reduction in school vandalism by year 3</p> <p><i>85% attendance of boys and girls by year 3</i></p> <p>Active participation of the community in supporting the curriculum and infrastructure by year 3</p> <p>One community school meeting per term</p> <p>PTAs in 48 schools conduct programmes including some of the following:</p> <ul style="list-style-type: none"> • Adult education • Nutrition and welfare • Home work clubs • Literacy support • Extra curricular activities • Schools maintenance • Skills sharing <p>School development plan includes community involvement section</p>	<p>Minutes of board meetings</p> <p>Census documents</p> <p>Inspection reports</p> <p>Logbooks and attendance records</p> <p>Community profile conducted</p> <p>Principals reports Reports from Education Officers and Regional Education Officers (REOs)</p> <p>Dialogue with school community</p> <p>Community feedback</p>	<p>Interest of community members</p> <p>Parents have resources to contribute</p> <p>Principals and staff will be receptive/committed to full community participation</p> <p>Co-operation from other agencies</p>
<p>2. Improved school management.</p>	<p>School Development Plan prepared in all project schools by year 1</p> <p>School Development Plans implemented effectively in all schools by year 2</p> <p>Comprehensive and effective School Development Plans (SDPs) developed and approved by stakeholders in all Project Schools by March 2001</p> <p>All principals trained by Ministry of Education and Culture (MOEC) in staff instructional management by year 2</p> <p>80% of Principals use improved management techniques by end of year 3</p> <p>Principals organised/conduct one</p>	<p>Plans submitted to project manager REOs records and reports</p> <p>Plans submitted to Project Managers</p> <p>Plans reviewed by Regional officers and Technical Assistants</p> <p>TEO monitoring reports</p> <p>Education officer Reports</p> <p>Senior Education Officer records</p> <p>Workshop reports</p>	<p>Training and support is sufficient to enable schools to formulate and implement plans and monitoring systems are effective</p> <p>Principals and other school personnel respond positively Principals and other school personnel do not feel threatened by change/full community involvement in school development planning.</p>

	cluster workshop per term for staff training	Participants and facilitator reports	
3. Improved quality of teaching and learning with a special emphasis on literacy and numeracy.	<p>All teachers trained in the new curricular by year 3</p> <p>Classrooms in project schools have more learner centred (interactive/activity based/participatory) by year 3</p> <p>Through support from in school cluster based resource persons, teachers demonstrate increased confidence.</p> <p>All teachers demonstrating observable mastery of the methodologies demonstrated by the Revised Primary Curriculum</p> <p>All teachers using interactive teaching with a focus on literacy by year 2. All Grade 1 teachers trained to ensure smooth transition from Basic Schools year 3.</p> <p>Teachers employ appropriate strategies to meet the needs of children with exceptionalities by year 2.</p> <p>Teachers trained and demonstrating ability to identify students with exceptionalities by project mid-term</p> <p>At least 30% increase in attainment levels in Grade 1 readiness, Grade 3 Diagnostic, Grade 4 literacy, Grade 6 and Grade 9 Junior High exams by year 3 of project.</p>	<p>Programme documentation</p> <p>Course registers and records</p> <p>Baseline and monitoring reports</p> <p>Education officer reports</p> <p>Student perception</p> <p>Panel reports</p> <p>Stakeholder perceptions</p> <p>Perceptions of Education officers, Principals and Teachers</p> <p>Workshop reports and evaluations</p> <p>Self evaluations</p> <p>Assessment records</p>	<p>Availability, capacity and willingness of teachers to participate in training.</p> <p>Teachers will implement new strategies.</p> <p>Central and regional monitoring and support systems are in place.</p> <p>Adequate and suitable infrastructure and public services in place to support learning</p> <p>Parental support Appropriate methodologies/ curriculum to needs/level of learners.</p> <p>Attendance level sufficient to take advantage of improved teaching and learning environment.</p> <p>Students with exceptionalities are recognised and addressed.</p> <p>Students have sufficient nutritional levels to accommodate learning.</p>
4. Regional and national systems strengthened to provide training and support for improved teaching and learning.	<p>Systematic Regional Education Officers plans for INSET provision to remote schools effectively implemented by year2</p> <p>Effective learning support in schools by year2</p>	<p>Education Office Reports</p> <p>Staff development plans in School Development Plans</p>	<p>Availability of officers for ongoing training.</p> <p>Resource centres appropriately equipped and utilised.</p> <p>In house personnel have</p>

	<p>Effective Guidance and counselling in every project school by year2</p> <p>50% of teachers of Grades 7-9 trained in ROSE curriculum and methodology by year 3</p> <p>Systematically organised school-based staff development in all schools by year 2</p> <p>In-service training strategy at Regional and National levels in place by end of year 1. Implemented in pilot schools in year 2</p> <p>Officers able to effectively facilitate teacher development by project mid-term</p> <p>Appropriate material and equipment in use in resource centres by Year 2</p> <p>Regional Development Plan indicating planned activities (e.g. in-service training, staff development, data collection and management) for the respective regions.</p>	<p>Course register</p> <p>Education Officer Monitoring Reports</p> <p>Course registers</p> <p>Programme documentation</p> <p>National data</p> <p>TEO reports</p> <p>Reports from EOs, teachers and principals</p> <p>Internal assessment and G3 diagnostic test</p> <p>Workshop reports and evaluation sheets</p> <p>Handover documents and regional Office inventories</p>	<p>technical skills to operate multi media equipment.</p> <p>Availability and willingness of persons to be involved in special needs training.</p> <p>Sufficient Ministry of Education and Culture capacity to provide and train at least one Guidance counsellor in each cluster.</p>
5. Appropriate levels of teaching and learning resources provided to meet curriculum needs.	<p>Books and equipment being used effectively by Y2</p> <p>Teaching resources in school before start of school year</p> <p>Individual access to text books and other resources</p> <p>Learning resources from local materials developed and utilised</p>	<p>Observation reports by TEOs</p> <p>Log book record</p> <p>Reports from parents</p> <p>TEO reports</p>	<p>Efficient procurement and delivery system.</p> <p>Learning and teaching resources used effectively</p> <p>Appropriate material is available and accessible</p>
6. Minor rehabilitation works identified and carried out (through school development planning process).	<p>Work identified costed and approved by March year 1</p> <p>Work satisfactorily completed by mid year 2</p>	<p>Building reports</p> <p>School Development plan</p> <p>Estimate of expenditure</p> <p>Building official</p>	<p>Work carried out is on time and adequately supervised to maintain quality.</p> <p>Work plan will be within the financial budget</p> <p>Positive political support</p>

		<p>approval</p> <p>Building Officers inspection report</p> <p>TEOs reports</p> <p>Community feedback</p>	
<p>7. Increased capacity for lessons learnt to be transferred and sustained.</p>	<p>10% of non-project schools utilising the best practices at End of Project</p> <p>Action research in all regions following project guidelines</p> <p>Participation by all stakeholders in mid-term review</p>	<p>Baseline data and research results</p> <p>Monitoring reports</p> <p>Panel reports/ classroom observation</p> <p>Documentation from action research projects</p> <p>Review reports</p>	<p>A culture of learning will develop.</p> <p>Documentation will take place.</p> <p>Findings will be disseminated to all stakeholders.</p>

Lesotho Public Financial Management - Logical Framework ¹⁶

Programme title: Public Sector Improvement and Reform Programme (PSIRP)
Public Financial Management (PFM) Component

Objectives	Indicators	Verification	Assumptions
<p>GOAL: Public finances effectively managed and targeted towards improved development.</p>	<p>Achievement of: Poverty Reduction Strategy targets</p>		
<p>PURPOSE: Strong PFM systems and processes started to be implemented, led by clear, long-term Government of Lesotho (GoL) priorities</p>	<p>1. Cabinet leads strong PFM oversight by:</p> <ul style="list-style-type: none"> • New Finance Act • Commitment to an integrated capital & recurrent budget. • Commitment to macro- & medium term planning. <p>2. PAC discharges oversight function as evidenced by:</p> <ul style="list-style-type: none"> • Hearings held on schedule with Accounting Officers challenged • Reports on the PAC with clear recommendations on measures to be taken 		<p>1. Political will to target budgetary resources released by improved PFM to meet objectives of the GoL Poverty Reduction Strategy (PRS).</p> <p>2. PRS and macro- and medium term plans set out clear targets and strategies for poverty reduction, in line with National Vision 2020.</p> <p>3. The parallel and complementary reforms arising from PSIRP are achieved</p>

¹⁶ Dearden, P. N.(2005) Government of Lesotho Public Sector Improvement and Reform Programme, Public Financial Management (PFM) Component, Logical Framework and Project Cycle Management Training, Inception Workshop 27 June – 1 July 2005, Department For International Development South Africa (DFIDSA).

<p>Output 1: Integrated planning and budgeting processes implemented.</p>	<ol style="list-style-type: none"> 1. Comprehensive MTEF documents: <ul style="list-style-type: none"> ▪ 3 line ministry MTEF budget documents by April 2006, ▪ 10 ministry MTEF budget documents by April 2007, ▪ 20 ministry MTEF budget documents by April 2008 2. Sensitisation and training programmes increase by end of 2005. 	<p>MTEF Documents</p> <p>Training reports</p>	<p>EU CBEP project focus is able to support proposed budgetary reforms. Sufficient GoL commitment to an integrated approach to planning and budgeting. Outstanding completion of Planning / Finance merger does not disrupt the integration of planning and budgeting processes.</p>
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<p>Output 2: Modern integrated accounting, revenue and expenditure management systems introduced.</p>	<ol style="list-style-type: none"> 1. New IFMIS & HRMS, and supporting ICT framework, procured and implemented in 8 pilot sites by April 2007 2. IFMIS implemented in all ministries by May 2008. 3. New Treasury structure established and operational in MoFDP, MAUs and Sub-Accountancies from April 2007. 4. Internal Audit ministry-based Audit Units Teams established in MoFDP and 5 ministries by March 2007. 5. 9 Internal Audit Committees operating in MoFDP and 8 pilot ministries by March 2007. 6. Report on Professional development options by March 2006 7. Training on IFMIS commences July 	<p>Government Gazette</p> <p>Approved structures by MPs</p> <p>Minutes</p> <p>Existence of established positions</p> <p>Training Report</p> <p>Finance Act</p> <p>Options Report</p>	<p>Backlog of 1996-97 to 2000-01 Public Accounts is addressed early in the Programme. EU is able to finance IFMIS / ICT / HRMS EU procurement regulations can accommodate implementation schedule. IFMIS implementation schedule is realistic with regard to budget cycle dates. MoFDP able to recruit additional staff required Existing Treasury / MAU / Sub-Accountancy staff are not resistant to change. Sufficient funding available to support whole Programme. Long-term professional development programmes in Lesotho can be supported.</p>
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	<p>2006.</p> <p>8. New Finance Act submitted to Attorney General by October 2007.</p>		
<p>Output 3: Strengthened macroeconomic analysis and forecasting linked to fiscal policy, budget performance and monitoring.</p>	<ol style="list-style-type: none"> 1. Macroeconomic model developed and approved by Hon. Minister by August 2007. 2. Medium term forecasts produced by July 2007. 3. Fiscal policy reports progressively from 2007/8-budget year. 	<p>Signed endorsement letter</p> <p>Medium Term Report</p> <p>Fiscal Policy Report</p>	<p>Reporting and reliability improvements under IFMIS/accounting reforms able to support fiscal performance reporting requirements.</p> <p>Ministry MIS capable of providing financial and physical progress information.</p>
<p>Output 4: Effective Cabinet participation in the budget.</p>	<ol style="list-style-type: none"> 1. Cabinet receives Budget Framework Papers from September 2005. 2. Draft MTEF submitted to Cabinet annually from February 2006. 3. Financial and output performance reports submitted to Cabinet quarterly from July 2007. 	<p>Cabinet memorandum</p> <p>Cabinet memorandum</p>	<p>Sufficient Cabinet support for MTEF approach.</p> <p>Reporting and reliability improvements under IFMIS/accounting reforms able to support fiscal performance reporting requirements.</p>
<p>Output 5: Role of independent oversight strengthened.</p>	<ol style="list-style-type: none"> 1. PAC Reports by June every year from 2007. 2. New Audit Act prepared and submitted to Attorney General by December 2005. 3. Strategic plan of Audit Office in place by December 2005. 4. Action plans and measures taken to address the backlog in Public Accounts by July 	<p>PAC Reports</p> <p>Audit Act</p> <p>Signed copy of covering letter to Attorney General</p> <p>Copy of approved Strategic Plan</p> <p>Audit Manuals</p> <p>Training registers</p> <p>Training registers</p> <p>Training and Development</p>	<p>PAC members are supportive of change. GoL can provide adequate accommodation and support resources. Sufficient Cabinet and Parliament support for PAC reforms.</p> <p>Backlog in Public Accounts can be addressed.</p> <p>New Audit Act is passed before the end of the project.</p> <p>Support from Auditor General's Office for</p>

	<p>2006.</p> <ol style="list-style-type: none"> 5. Performance Audit Manual prepared and staff trained by July 2006. 6. Financial Audit Manual prepared and staff trained by July 2007. 7. Professional audit training and development programmes developed and agreed by July 2006. 8. Options developed to establish professional public sector auditing training in Lesotho by May 2008. 	<p>Programmes</p> <p>Option paper</p>	<p>reform programme is adequate.</p> <p>Sufficient qualified staff available.</p>
<p>Output 6: Procurement systems modernised.</p>	<ol style="list-style-type: none"> 1. Standard procurement documentation and revised procurement thresholds in place by December 2005. 2. Professional training and development programme developed and training commenced from January 2006. 3. New legislative provisions for government procurement drafted by July 2007 4. New GoL Procurement System operational from May 2008. 5. Long-term professional procurement training capability in Lesotho established by May 2008. 	<p>Procurement documents</p> <p>Training Reports</p> <p>Draft legislation</p> <p>Government Gazette</p>	<p>Support from ministries for new Procurement System.</p> <p>Sufficient numbers of GoL procurement staff and availability of new staff support the new system.</p> <p>Sufficient interest in procurement training.</p> <p>Sufficient internal audit capacity to ensure effective system operation.</p> <p>Creation of PRB not supported by GoL.</p> <p>Funding not available to provide long-term availability of professional procurement training.</p>

Illegal Logging: Tackling the underlying Governance, Policy and Market Failures Programme – Logical Framework ¹⁷

Objectives	Indicators	Verification	Assumptions
SUPERGOAL			
Realise the potential of forests to reduce poverty			
GOAL			
Policies, processes and institutions that promote sustainable and equitable use of forests in the interests of the poor.	Improved governance of national and international institutions (rules, procedures, norms).	Records of wider representation and accountability mechanisms.	Forests are important in the livelihoods of poor people
	More responsible markets	Adoption of industry codes of conduct. Greater demand for legal products.	
PURPOSE			
Facilitate reforms by national and international institutions to address the governance, policy and market failures that cause and sustain illegal logging and associated trade.	1. Policy that is informed by objective evidence.	1. National policy statements	An equitable trading system requires governments and the trade in major consuming countries to take actions to against illegally logged timber.
	2. National, regional and international policy processes that learn from each other.	2. Proceedings of policy processes.	
	3. More markets that discriminate against illegally harvested products.	3. Changes to procurement policies.	
OUTPUTS			
1 Improved understanding of causes, scale and solutions to illegal logging and associated trade.	1.1 Estimates of the nature, scale and impacts of illegal logging in selected countries documented.	1.1 Monitoring reports, trade statistics.	Improved understanding facilitates policy and institutional reforms.
	1.2 Key drivers of illegal logging – poor governance, weak enforcement and market factors – analysed.	1.2 Studies on corruption, weak enforcement, market pressures	Need to simplify defining legality risks compromising pro-poor legislative reform.
	1.3 Impacts of illegal logging and enforcement actions on poor analysed.	1.3 Country-specific research studies	

¹⁷ Dearden, P.N. Mahony, D. and Jordan, G. ,2006, Illegal Logging – Tackling the Underlying Governance, Policy and Market Failures Programme. Output to Purpose Review (OPR), January 2006, Department for International Development. (DFID) London.

	1.4 Policy reform and countermeasures taken in producer and consumer countries and at the international level result from improved understanding gained.	1.4 Legislative/policy reform and actions in producer and consumer countries and in international trade.	
2. Effective communication and advocacy that maintains political will and the momentum for change and widens the base of support for action.	2.1 Continuing UK ministerial level engagement.	2.1 Ministerial participation in and speeches to relevant fora, meetings. Answers to PQs.	
	2.2 Effective communications within DFID maintains awareness and utilises links with other programmes	2.2 Intranet up to date. Regional and country offices informed. Inter-divisional exchange of information.	
	2.3 Relevant news items and other external communications are tracked and appropriate responses made	2.3 Press releases and responses	
	2.4 Industry groups and companies adopt purchase policies that seek to eliminate trade in illegal timber.	2.4 Actions by trade associations and individual companies	
	2.5 Effective communications with stakeholders and wider public maintained ensures wide understanding of issues and actions being taken to address issues.	2.5 Media reports, consultations, NGO newsletters, website	
3. Coherent UK, EU and G8 policy and regulatory framework.	3.1 Consistent policy statements and actions within Whitehall.	3.1 Minutes of inter-departmental meetings, joint policy papers, ministerial statements, answers to PQs	DEFRA granted resources to implement CPET

	3.2 EU FLEGT Action Plan adopted, regulation passed and successful negotiations with Partner Countries.	3.2 Enactment of regulation; FPAs signed.	Sectoral and member states' concerns are overcome. Potential Partner Countries willing to sign FPAs. UK Customs granted resources to enforce EU regulation.
	3.3 Collaborative or supportive actions taken by Japan.	3.3 Programme documents, policy statements, measures taken.	Japanese concerns about competitiveness understood and addressed.
	3.4 Collaborative or supportive actions taken by the US.	3.4 Programme documents, policy statements, measures taken	US concerns about reciprocity are overcome and do not delay progress on intergovernmental measures
	3.5 Collaborative or supportive actions taken by China.	3.5 Programme documents, policy statements, measures taken	China becomes receptive to market signals and diplomacy.
4. Development of tools and systems to tackle illegal logging and associated trade.	4.1 Technical monitoring, auditing and chain of custody solutions further developed, evaluated and where appropriate utilised	4.1 Technical reports	
	1.2 Appropriate independent monitoring programmes adopted and, where appropriate, supported.	4.2 Reports.	
	1.3 Tools and systems contribute to strengthened interagency co-operation at national, regional and international levels	4.3 Donor and other programmes.	Key producer country's willingness to adopt efficient systems achieved
5. Regional policy processes that lay the foundations for delivering reforms.	5.1 Effective participation of civil society and the private sector, as well as governments, in FLEG and similar initiatives.	5.1 Proceedings of policy processes and views of participants.	

	5.2 Constraints to poor people's legal access to and management of forest resources are on the agenda at regional processes.	5.2 Proceeding of FLEG and other regional processes	
	5.3 East Asia FLEG process gains and maintains momentum.	5.3 Proceedings of FLEG Task Force meetings and Working Group actions	Regional partners motivated to take process forward
	5.4 Malaysia and Singapore take actions within or independently of FLEG	5.4 Countries' policy statements and participation in bilateral or multilateral actions	
	5.5 AFLEG process post-ministerial actions initiated and momentum maintained.	5.5 Proceedings of national multi-stakeholder discussions.	Broad scope of AFLEG declaration does not divert attention from illegal logging issues
	5.6 Latin American and North Eurasian FLEG processes launched and lead donors supported.	5.6 Press reports and NGO newsletters.	International promoters have capacity to initiate additional processes
	5.7 Evidence of active links and learning between regions.	5.7 Cross participation in meetings.	Sufficient progress is made to provide useful lessons
ACTIVITIES			
<p>1.1 Review of reports, co-operation in original research where appropriate</p> <p>1.2 Review of reports, co-operation in original research where appropriate</p> <p>1.3 Review of reports, co-operation in original research where appropriate</p> <p>1.4 Targeted support to enforcement action and governance reform.</p>			
<p>2.1 Preparation of briefing materials. Regular meetings with ministers. Involvement of ministers in suitable events</p> <p>2.2 Maintain internal web site. Participation where possible in cross-linked programmes.</p> <p>2.3 Tracking of information of media reports and related activities. Follow-actions.</p> <p>2.4 Secondment to TTF. Support to industry action where appropriate.</p> <p>2.5 Maintain web site and stakeholder consultations. Information to civil society on specific issues.</p>			

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| <p>3.1 Servicing Inter-departmental Whitehall Group, the Inter-Departmental Working Group, the Timber Buyers' Group and the UK Forest Partnership.</p> <p>3.2 Participating in and supporting actions aimed at implementing the EU FLEGT programme.</p> <p>3.3 Regular communications with Japan to share lessons on promoting coherent domestic and international policies on procurement, trade policy, illegal logging and governance reforms.. Continued attendance at AFP. Co-operation on activities in Indonesia.</p> <p>3.4 Regular communications with involved US officials, through G8 and other fora. Support to US on Latin America and N. Eurasia FLEG where appropriate.</p> <p>3.5 Identify and follow through opportunities to engage with China</p> |
| <p>4.1 Support to development and evaluation of monitoring, auditing and tracking systems, including support to EU FLEGT partnerships.</p> <p>4.2 Support to operation of monitoring, auditing and tracking systems, where appropriate.</p> <p>4.3 Support to use of tools and systems that support inter-agency co-operation, both regionally and internationally.</p> |
| <p>5.1 Support to civil society involvement in promoting actions under regional FLEGs</p> <p>5.2 Reports on poor people's access and management opportunities prepared for FLEG and other regional fora.</p> <p>5.3 Continued selective support to and participation in East Asia FLEG</p> <p>5.4 Dialogue and other actions to encourage Malaysia and Singapore to participate in tackling illegal timber trade.</p> <p>5.5 Continued selective support to and participation in AFLEG</p> <p>5.6 Participate where can offer useful support in Latin America and N. Eurasia FLEG.</p> <p>5.7 Support visits of participants from FLEG processes to observe and offer insights to other FLEGs.</p> |

Livelihoods and Forestry Programme - Nepal

Project Name: Livelihoods and Forestry Programme

Country: Nepal Total Cost: £18.67 million

Narrative Summary	Objectively Verifiable Indicators	Means/Sources of Verification	Assumptions
<p>GOAL</p> <p>Reduced vulnerability and improved livelihoods for poor and excluded rural people.</p>	<ol style="list-style-type: none"> 1. Diversified livelihood choices. 2. Ability of rural communities to recover from environmental and social shocks enhanced. 3. Reduced rural poverty. 4. Increased GDP from the forestry sector. 5. Average assets value of rural poor & excluded (P&E) households increased. 6. Increased access of P&E to government productive services e.g., agriculture, livestock, forest, irrigation, finance and marketing. 	<ul style="list-style-type: none"> • Baseline studies in PY 1 and 2 (Eastern and Western areas). District profiles in PY3/4 in the Terai and Mid Western area). • Follow up preliminary impact assessment in PY 5 in Eastern and Western areas and full evaluation in PY10 in the eastern, western, Terai and the mid western areas. • Independent study reports. 	
<p>PURPOSE</p> <p>Assets of rural communities enhanced through more equitable, efficient and sustainable use of forest/ natural resources</p>	<p>By EoP:</p> <ol style="list-style-type: none"> 1. % of forest users groups¹⁸ which independently implement (i) active forest¹⁹ management and (ii) socio-economic development plans increase from 6% (2003) to 60% in hills, from 31% (2004) to 50% in mid west and from 35% (2004) to 50% in Terai. 2. % of poor and excluded FUG members who claim their rights to natural resources in an organised way increases from 31% (2006) to 60%²⁰. 3. At least 40% of the economically poor user group member households report increased income because of their membership of user groups. 4. At least 30% P&E user group 	<ol style="list-style-type: none"> 1 FUG assessment report, Output to Purpose Review (OPR)/ Annual Review report, Independent study reports. 2 FUG/ LFP progress reports, FUG assessment report, OPR/ Annual Review report, impact reports. 3 Impact monitoring report, OPR/ Annual Review report. 4 Impact monitoring 	<p>There will be acceptable risk and environment, particularly in Terai for having physical access to the forest and VDCs/districts</p> <p>The rate of conflict affected migration in and out of LFP areas remains stable at the current (2007) rate</p> <p>Expected reforms in the forestry sector are inclusive-sensitive and informed by field realities and experience.</p>

¹⁸ Includes CFUGs, PLMGs, Soil groups, Leasehold groups, CFMG, etc.

¹⁹ Active forest management means planning based on potentiality of the forest and resources and its implementation (maximizing the potentialities)

²⁰ % of P&E organized in the groups will be recorded as the achievement against the indicator

Narrative Summary	Objectively Verifiable Indicators	Means/Sources of Verification	Assumptions
	<p>members report greater access to livelihoods choices (e.g., education, health, credit, livestock and emergency support.)</p> <p>5. User satisfaction score achieved by forestry sector service providers on their technical²¹ support increases from (i) 66% to 75% for DFO, (ii) 18% to 40% for DSCO and, (iii) to 80% for F/UGs and their networks, Local Resource Persons, and Animation Programme Manager/ partner NGOs.</p> <p>6. The average fund mobilized (leverage) by the FUGs is at least equal to the total amount of funds invested by LFP²².</p> <p>7. % of (i) ethnic group²³ members of FUG/Cs who participate in meetings increases from 31% (2003) to 60% in hills, 64% (2005) to 75% in mid west and 18% (2005) to 40% in Terai, (ii) women from 33% (2003) to 60% in hills, 54% (2005) to 70% in mid west and 49% (2005) to 60% in Terai and (iii) poor to 50% in all areas.</p> <p>8. % of FUGs spending at least 35% of their fund to P&E provisions increase from 6% (2004) to 40% in hills, 18% to 40% in mid west and 10% to 25% in Terai²⁴.</p>	<p>report, OPR/ Annual review report, FUG annual reports.</p> <p>5 FUG Assessment report and Impact monitoring reports, assets tracking/ well being record, Output to Purpose Review (OPR) report.</p> <p>6 FUG reports, DFO reports, and District Progress reports.</p> <p>7 Baseline report, FUG records, OPR/ Annual review report, FUG assessment reports.</p> <p>8 Baseline reports, FUG assessment reports, OPR/ Annual review reports.</p>	<p>DFID remains engaged in Nepal, providing predictable development support through appropriate aid development instruments.</p>

OUTPUT 01	BY EOP ²⁶		
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²¹ Technical support includes advisory services required to FUGs such as technical, social, institutional and coordination related services

²² The leveraged amount will be calculated on annual expenditure and it is not about the cumulative total for programme period

²³ Disadvantaged janajati and caste group people and religious minorities will be considered while analysing information against this indicator.

²⁴ The baseline values indicate the percentage of FUGs which spent 20% or above resources in pro-poor provisions

<p>Forest managers²⁵ enabled to responsively manage and utilize forest resources to sustainably maximize the multiple benefits</p>	<ol style="list-style-type: none"> 1. % of potential community forest estate under a defined management system increases from 27% (2003) to 50% in hills, 30% (2005) to 50% in mid west and from 5% (2005) to 25% in Terai. 2. Out of the total potential public and institutional land in the Terai, 10% will be under a defined management system with regeneration of forest. 3. % of FUG members who report improvement in (i) availability of forest products increases from 82% (2003) to 90% in Hills, 47% (2005) to 60% in Terai and 78% (2005) to 85% in Mid-west and (ii) wildlife/water condition from 75% (2003) to 85% in hills, 63% to 75% (2005) in mid west and 26% (2005) to 35% in Terai. 4. % of FUGs involved in NTFP management increases from 9% (2003) in hills, 31% (2005) in mid west and 26% (2005) in Terai to 50% in all LFP areas. 5. Number of FUG-based forest enterprises increased from 12 (2003) in hills, 52 (2005) in mid west and 59 (2005) in Terai by at least five times 6. In all LFP districts, Operation Plans (OP) are amended on time (no OP back-log) with technically improved²⁷ OPs and constitutions 	<ol style="list-style-type: none"> 1. District Progress reports, District level data from DFO, MFSC, GIS maps. 2. District progress reports, Annual review. 3. Baseline study reports, Impact monitoring reports, FUG assessment reports, District Progress reports. 4. FUG Assessment, Impact monitoring LFP progress reports. 5. FUG database, Case studies, records from DFO/LFP/ NGO and independent study reports, FUG assessment reports. 6. FUG assessment, copy of OPs, FUG monitoring report, Progress reports. 	<p>The present policies that allow access to forest resources by community continues</p> <p>Appropriate means for registering public and institutional land to communities is determined.</p> <p>The forest sector policy will be favourable to promote forest based enterprises and markets</p>
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²⁶ EOP/EOC= End of Programme or End of Component

²⁵ The word “forest managers” denotes forest group members of any forest regimes, and all forest management-related service providers

²⁷ Technically improved OPs will have supervised inventory and management prescriptions.

<p>OUTPUT 02</p> <p>Poor and excluded groups enabled to participate in and benefit from the forestry sector</p>	<p>BY EOP</p> <ol style="list-style-type: none"> 1. All the new and amended operational plans (OPs) and constitutions have at least three P&E equitable provisions, one each for participation, forest and other resource distribution). 2. % of the total FUGs who implement at least three P&E equitable provisions increases from 1.25% (2003) in hills, 3.5% (2004) in mid west, 3.8% (2004) in Terai to 20% (one each related to participation, forest and other resource allocation). 3. At least 50% of economically poor FUG members access income-generating opportunities. 4. At least (i) 50% women, (ii) 15% <i>Dalits</i> (both male and female), (iii) 30% disadvantaged ethnic group (both male and female) and (iv) 15% poor represented in executive committees of FUGs 5. At least (i) 33% women and (ii) 33% <i>Dalits</i> or disadvantaged ethnic group (both male and female) represent in key decision making positions of FUG executive committees. 6. At least 60% of poor and excluded households access benefits generated from forestry groups and their resources (e.g., paid employment, educational benefits, quick impact and community development, credit facility, skill development training, land allocation, emergency fund etc.) 	<ol style="list-style-type: none"> 1. FUG Assessment reports, FUG constitution review report, independent study reports. 2. FUG assessment reports, FUG documents review and independent studies. 3. FUG progress reports, District Progress reports, FUG Assessment reports. 4. FUG assessment reports. 5. FUG Assessment reports, District Progress reports, Reports from LFP partner institutions, independent study reports. 6. District Progress reports, FUG assessment reports, DFO progress reports, FUG progress reports, independent study reports. 	<p>There will be continued respect and support to working inclusively in the new political context.</p> <p>LFP partners will have favourable policy and operating environment to implement their activities</p> <p>MFSC will approve and implement Gender and Social Inclusion (GSI) strategy</p>
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<p>OUTPUT 03</p> <p>Capacity within and coordination amongst institutions strengthened for forestry sector development and enhanced livelihoods.</p>	<p>By EOP</p> <ol style="list-style-type: none"> 1. All LFP districts have multi stakeholder fora with a secretariat functioning as the principle district level forest sector planning, coordination and monitoring mechanism. 2. In LFP districts, village level multi-stakeholders forum engaged in forestry sector activities (i.e. network)) established in at least 50% VDCs of hills and mid west, and 25% VDCs in Terai. 3. All multi-stakeholder fora include gender and social inclusion aspects in their decisions, plans and monitoring. 4. % of (i) woman staff in LFP and its partner institutions increases from 21% (2006) to 33%; and (ii) staff from excluded groups (both women and men from Dalits and disadvantaged ethnic groups) from 37% (2006) to 45%. 5. All District Forest Offices and key partners will target their interventions in proportion to the base population²⁸ of different social groups (women, Dalits and disadvantaged groups) in LFP districts. 6. Up to 15 MSc and 30 BSc scholarships provided to MFSC staff 	<ol style="list-style-type: none"> 1. LFP/ DFO/ Network Progress reports, 2. LFP/ DFO/ Network Progress reports, 3. Training reports, progress reports. 4. Review report, Progress report and Gender audit reports. 5. Copies of DFO and partners plans, Gender audit reports. 6. LFP financial records, nominations by MFSC, annual and progress reports. 	<p>MFSC and MLD will have consensus on decentralisation strategies and federal state structure.</p> <p>Politically accepted governance mechanism will be in place at districts and national level</p> <p>DFCC, VFCC and forest user group networks will work positively with user groups and stakeholders</p>
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²⁸ Base population will be defined by the information available from Central Bureau of Statistics (CBS/GoN) and the figures are taken as context data for proportionate services and representations

<p>OUTPUT 04</p> <p>Innovative, inclusive and conflict sensitive approaches shared to inform forest sector planning and policies</p>	<p>By EOP</p> <ol style="list-style-type: none"> 1. At least one new (innovative) initiative (i.e., in forest management/ NTFP/ Agro-forestry/ public land, safe and effective development/ pro-poor and excluded growth, scholarship package, alternative energy, High Altitude Forest Management, forest certification etc.) tested per year 2. LFP strategy on Communication developed and implemented, sharing with Programme Management Committee (PMC/MFSC) members, LFP partners (e.g. DFOs and forestry sector networks), DFID and wider audience. 3. At least one effective practice paper/ strategy/ approach developed, implemented and shared (e.g. on climate change, peace building, SFM, second generation issues in forestry and importance of disaggregated monitoring information) per year. 	<ol style="list-style-type: none"> 1. Progress reports, documents of innovative practices Annual review and independent reviews. 2. Copy of publication, progress reports, annual review report, meeting minutes, response from people receiving publications and communications, website feedback. 3. Copies of strategy, Progress reports, Annual Review report, sharing reports, meeting minutes. 	<p>There will be continued favourable political and policy environment that supports developing and testing of innovative ideas.</p>
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<p>OUTPUT 05</p> <p>National Level forest sector capacity and response to field reality strengthened</p>	<ol style="list-style-type: none"> 1. At least one MFSC field responsive policy/ strategy/guideline developed/ revised per year. 2. At least one research/ study paper to inform forestry sector improvements produced every year. <p>By EOP</p> <ol style="list-style-type: none"> 3. P&E F/UG representatives participate in all policy formulation, contributing to develop field responsive and P&E sensitive policies and guidelines. 4. A prototype for gender and social inclusion sensitive monitoring system of MFSC in place. 5. Groundwork for forestry sector reform started in-line with the changed context. 	<ol style="list-style-type: none"> 1. Copies of policy/ strategy/ guidelines Progress reports, Annual review, workshop/ meeting reports. 2. Copies of the research publication. 3. Copies of policy/ strategy/ guideline. 4. MFSC set of monitoring questionnaire and checklist, FUG database, Annual review, Progress reports. 5. Copy of forestry sector reform papers and plans 	<p>All partners committed to adopt and implement GoN Policies, Guidelines and Strategies.</p> <p>MFSC continues consultative policy formulation process</p>
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Livelihood Forestry Programme - Key activities by Outputs

1. Output 01

- 1.1. Group Formation (CFUG, PLMG, PFUG, CFMUG...)
- 1.2. Constitutions/ OP preparation/ amendments/ Forest management plan preparation
- 1.3. Forest nursery establishment and forest/ NTFP species seedlings production activities
- 1.4. Soil and water conservation activities e.g., trail improvement, water resources protection, on farm conservation, irrigation canals, landslide protection...
- 1.5. Government controlled/ community managed forest related activities e.g., plan preparation, silviculture operation, fire line mgmt, fuel wood depo, thinning and pruning etc.
- 1.6. Demo plot support (establishment and management)
- 1.7. Forest / NTFP species plantation and post plantation activities
- 1.8. Forest protection support/ Forest management support
- 1.9. DFO/ Forest managers training, exposure visit, awareness campaigns
- 1.10. Forest/ watershed/ soil conservation/ public land/ Agro-forestry/ NTFP/ Alternative energy management training/ workshop for the users
- 1.11. Forest user groups planning and review workshops
- 1.12. PPSI/ GPSE sensitisation training/ exposure to forest managers and monitoring system development
- 1.13. Pond management within forest areas
- 1.14. Forest/ agro/ livestock based enterprises development and management activities
- 1.15. Forest product marketing support
- 1.16. Awards (Best FUGs, Quiz, etc.)
- 1.17. DFO/ DSCO support for resource centre management, field equipment etc.
- 1.18. Conflict resolution meeting, training, workshop etc.
- 1.19. Research related to scientific forest management
- 1.20. B.Sc./ M.Sc. scholarship support
- 1.21. Climate change/ Global warming related activities (e.g., sample inventory preparation)

2. Output 2

- 2.1. P&E identification activities (e.g., well-being ranking)
- 2.2. Income generating activities (forest based and non-forest based) and revolving fund provisions
- 2.3. Support in P&E sensitive policy formulation and FUG planning
- 2.4. Animation/ Social Mobilisation activities
- 2.5. Education support for P&E children
- 2.6. Emergency fund/ humanitarian support
- 2.7. Small health and sanitation activities targeting to P&E
- 2.8. Land allocation (CF and Public Land)
- 2.9. P&E exposure visit
- 2.10. P&E skills enhancement, capacity building training/ workshop and scholarship support
- 2.11. Issue based sub group formation and related support
- 2.12. Tole level processes and groups strengthening
- 2.13. Small infrastructure support (irrigation, drinking water etc. focusing to P&E)
- 2.14. Research related to P&E issues
- 2.15. NRM classes targeted to women and P&E
- 2.16. P&E specific support under Local Initiative Fund (LIF)

3. Output 03

- 3.1. Network formation and strengthening
- 3.2. VFCC/ DFCC strengthening support
- 3.3. Awareness raising on climate change, global warming and Kyoto protocol
- 3.4. Orientation on peace sensitive development
- 3.5. Different level forest coordination meetings

- 3.6. DFO/ DSCO Office support for resource centre, equipment, stationery etc.
 - 3.7. Institutional development training and workshops for service providers
 - 3.8. Celebration of environment day etc.
 - 3.9. Inter group conflict resolution (e.g., Boundary)
 - 3.10. Institutional strengthening support to networks, user groups etc. (organisational analysis, training, workshops and materials)
 - 3.11. Review and planning workshops with stakeholders and networks
 - 3.12. Collaborative activities
 - 3.13. Monitoring and Evaluation activities (FUG monitoring and categorisation, field visits, impact monitoring, progress monitoring etc. and related training/ workshop)
- 4. Output 04**
- 4.1. Strategy development
 - 4.2. Publication of best practices
 - 4.3. Thematic workshops/ interactions
 - 4.4. Piloting/ testing of different approaches and initiatives
 - 4.5. Central level support to networks and federations (civil society groups)
 - 4.6. Policy work through participation in different task forces
 - 4.7. Capacity building/ training on planning and monitoring
 - 4.8. Publication/ dissemination of LFP effective practices
 - 4.9. Implementation of communication action plan
- 5. Output 05**
- 5.1. Central level support to MFSC on policy/ strategies/ system and guidelines development/ strengthening (e.g. PLMG policy, CF guidelines...)
 - 5.2. Joint action with civil society networks
 - 5.3. Contribution to develop and implement Gender and Social Inclusion Strategy
 - 5.4. Contribution for forestry sector review, study on forest sector contribution on GDP
 - 5.5. P&E support in participating policy debate
 - 5.6. Policy review (audit)
 - 5.7. Contribution in research/ studies by MFSC and its subsidiaries
 - 5.8. M&E system strengthening support / Database management support
 - 5.9. Communication and extension activities