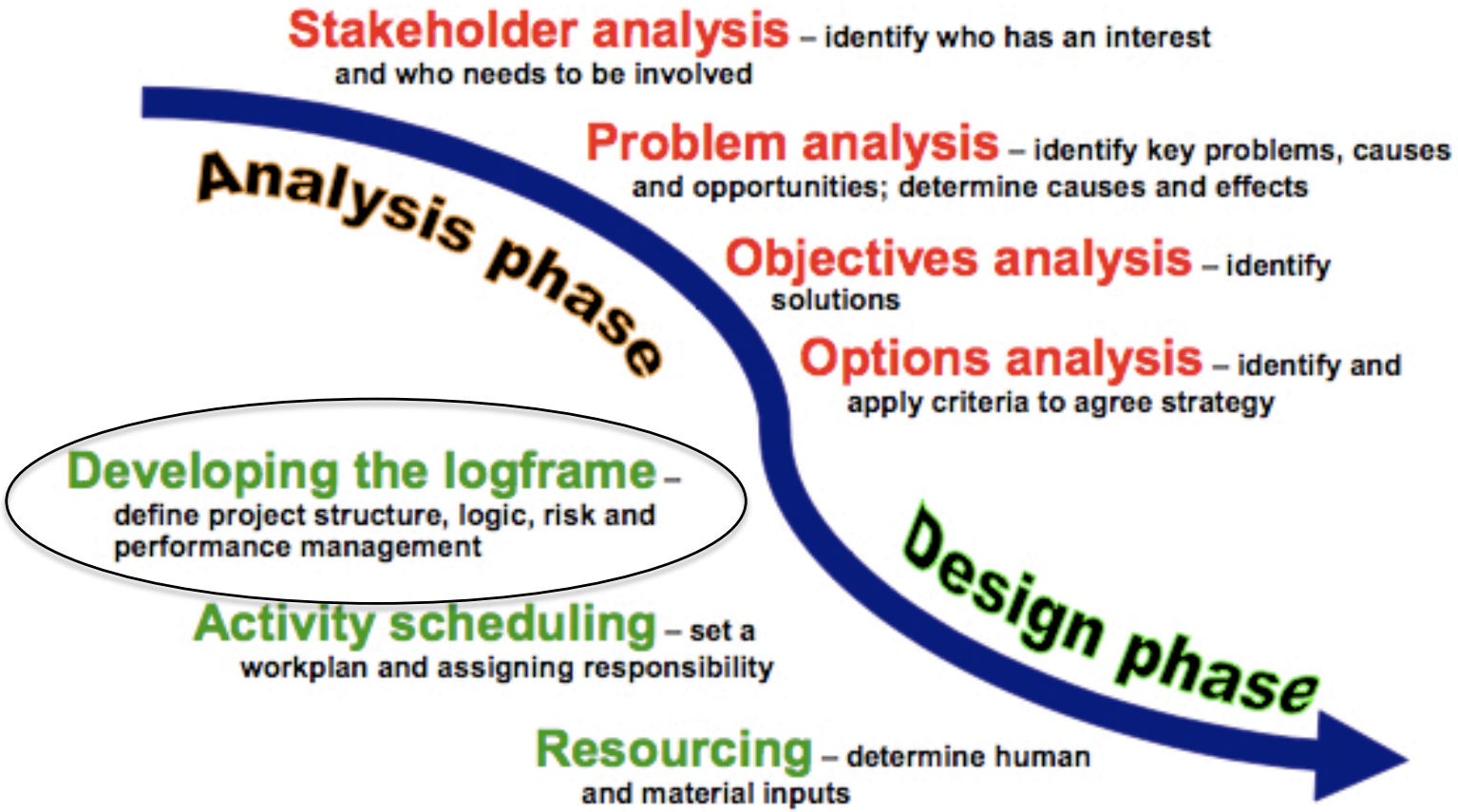
- **Project Plan & General Risk Assessment**
- Project Detailing



(eif.secretariat@wto.org).

LOGICAL FRAMEWORK APPROACH

- an instrument for objective- oriented planning of projects
- used to improve the planning (design), implementation, monitoring and evaluation of a development intervention
- Usage depends on the role of its users and their needs
- is based on the idea that the user, the project owner, assumes the main responsibility for the planning process
- Builds on participatory processes although assistance with planning may be needed and useful (esp. with community stakeholders involved)
- Guides results-based management: improve quality of project operations

The Logframe

- Key Inputs: problem, objectives & alternatives analyses
- The main output of the LFA is the logframe matrix.
- The Logical Framework Matrix (4 x 4 Matrix):
  - present information about project objectives, outputs and activities in a systematic and logical way.
  - define the project structure, tests its internal logic and formulates objectives in measurable terms, determines means and cos.

Logframes should not be…

- …Written by one person
- …Full of jargon that no one understands
- …Written just to keep the donor happy
- …Covered in dust. Tip - Keep it a living document, i.e. review and amend it regularly. It is tool primarily to help the project, not to help the donor.

Typical Logical Framework Matrix

Project Description	Indicators	Means/ Sources of verification	Assumptions
Goal (Impact)			
Purpose/ (Outcome)			
Outputs			
Activities	**Means**	**Cost**	

What needs to be fulfilled before activities can start

Pre-conditions

Typical Logical Framework Matrix

Project Description	Indicators	Source of Verification	Assumptions
Overall Objective – The project's contribution to policy or programme objectives (impact)	How the OO is to be measured including Quantity, Quality, Time?	How will the information be collected, when and by whom?	
Purpose – Direct benefits to the target group(s)	How the Purpose is to be measured including Quantity, Quality, Time	As above	If the Purpose is achieved, what assumptions must hold true to achieve the OO?
Results – Tangible products or services delivered by the project	How the results are to be measured including Quantity, Quality, Time	As above	If Results are achieved, what assumptions must hold true to achieve the Purpose?
Activities – Tasks that have to be undertaken to deliver the desired results	**Means**	**Costs**	If Activities are completed, what assumptions must hold true to deliver the results?

Pre-conditions

What needs to be fulfilled before activities can start

Guidance on Content of Logframe

Project Description	Indicators	Sources of Verification	Assumptions
Overall objective: The broad development impact to which the project contributes – at a national or sectoral level (provides the link to the policy and/or sector program context)	Measures the extent to which a contribution to the overall objective has been made. Used during evaluation. However, it is often not appropriate for the project itself to try and collect.	Sources of information and methods used to collect and report it (including who and when/how frequently).	
Purpose: The development outcome at the end of the project – more specifically the expected benefits to the target group(s)	Answer the question 'How will we know if the purpose has been achieved'? Should include appropriate details of quantity, quality and time	Sources of information and methods used to collect and report it (including who and when/how frequently).	Assumptions (factors outside project management's control) that may impact on the purpose-objective linkage

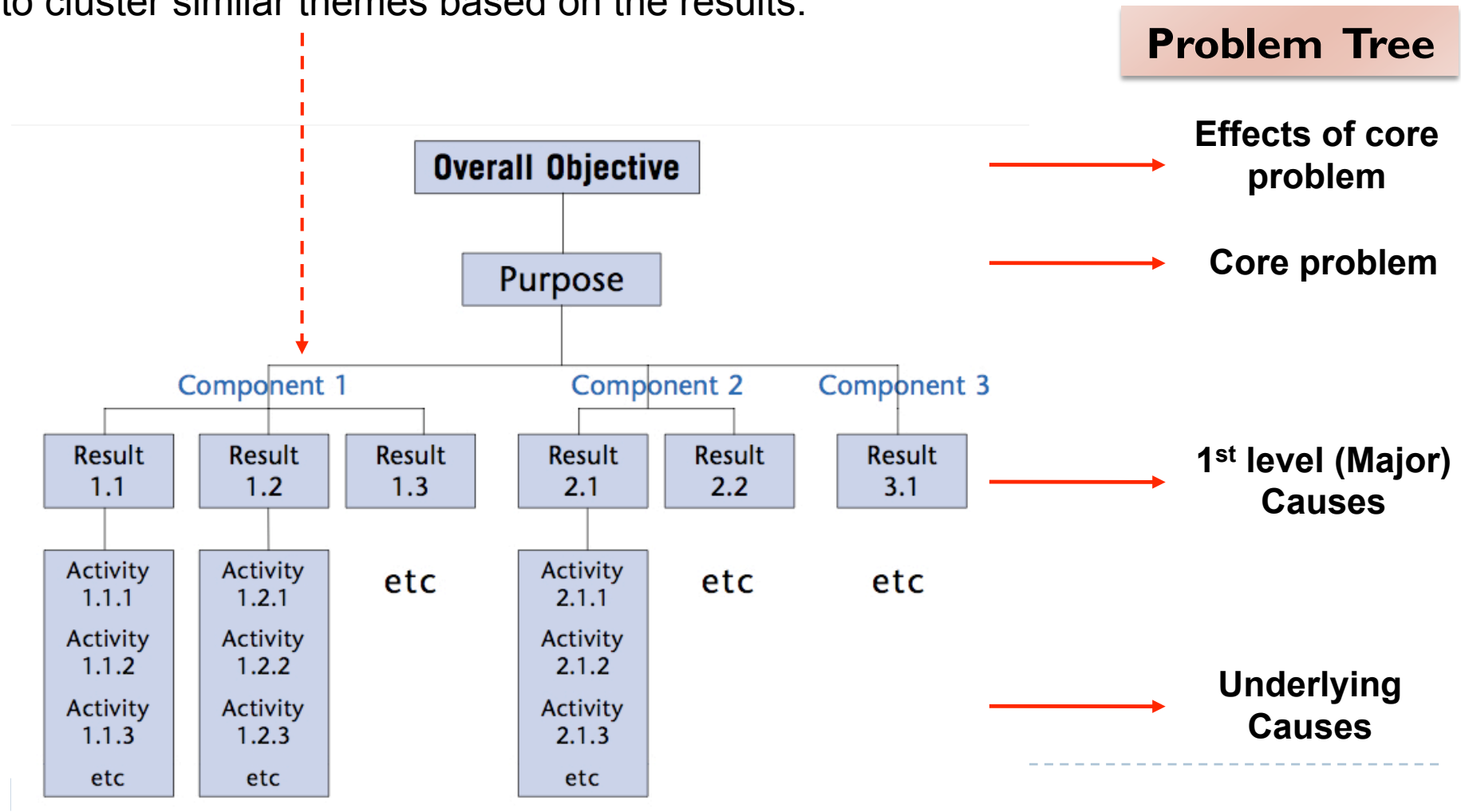
Project Description	Indicators	Sources of Verification	Assumptions
Results: The direct/ tangible results (good and services) that the project delivers, and which are largely under project management's control	Answer the question 'How will we know if the results have been delivered'? Should include appropriate details of quantity, quality and time	Sources of information and methods used to collect and report it (including who and when/how frequently)	Assumptions (factors outside project management's control) that may impact on the result-purpose linkage
Activities: The tasks (work program) to be carried out to deliver the planned results (optional inclusion in matrix); numbered according to Results	**Means** (sometimes a summary of resources/means is provided in this box)	**Cost** (sometimes a summary of costs/ budget is provided in this box)	Assumptions (factors outside project management's control) that may impact on the activity-result linkage
			Factors to be in place before activity starts (optional inclusion)

General Sequence in Logframe Analysis

Project Description	Indicators	Sources of verification	Assumptions
Overall objective 1	8	9	
Purpose 2	10	11	7
Results 3	12	13	6
Activities 4 *(optional inclusion in the matrix)*	Optional	Optional	5 *(optional inclusion in the matrix)*

Hierarchy of Objectives

Transpose the Selected Strategy to Column 1.
You may need to rearrange the diagram first
to cluster similar themes based on the results.



- **It is also useful to standardize the way in which the hierarchy of project objectives is described.**

- **A useful convention to follow in this regard is:**

(i) **for the Overall Objective to be expressed as 'To contribute to…..`;**

(ii) **the Purpose to be expressed in terms of benefits to the target group being 'Increased/improved/ etc……',**

(iii) **Results to be expressed in terms of a tangible result 'delivered/produced/conducted etc', and**

(iv) **Activities to b e expressed in the present tense starting with an active verb, such as 'Prepare, design, construct, research …..'.**

Validate the vertical logic of objectives

When the objective hierarchy is read from the bottom up, it can be expressed in terms of:

IF adequate **inputs/resources** are provided, **THEN** **activities** can be undertaken;

IF the **activities** are undertaken, **THEN** **results** can be produced;

IF **results** are produced, **THEN** the **purpose** will be achieved; and

IF the **purpose** is achieved, **THEN** this should contribute towards the overall **objective**

If reversed, we can say that:

IF we wish to contribute to the overall **objective**, **THEN** we must achieve the **purpose**

IF we wish to achieve the **purpose**, **THEN** we must deliver the specified **results**

IF we wish to deliver the **results**, **THEN** the specified **activities** must be implemented; and

IF we wish to implement the specified **activities**, **THEN** we must apply identified **inputs/resources**.

Donors have different terms for objectives

	Ultimate Impact	End Outcomes	Intermediate Outcomes	Outputs	Interventions	
Needs-based	*Higher Consequence*	*Specific Problem*	*Cause*	*Solution*	*Process*	*Inputs*
CARE terminology[1]	**Program Impact**	**Project Impact**	**Effects**	**Outputs**	**Activities**	**Inputs**
CARE logframe	Program Goal	Project Final Goal	Intermediate Objectives	Outputs	Activities	Inputs
PC/LogFrame[2]		Goal	Purpose	Outputs	Activities	
USAID Results Framework[3]	Strategic Objective	Intermediate Results		Outputs	Activities	Inputs
USAID Logframe[4]		Final Goal	Strategic Goal/ Objective	Intermediate results	Activities	202E
DANIDA + DfID[5]	Goal		Purpose	Outputs	Activities	
CIDA[6] + GTZ[7]	Overall goal		Project purpose	Results/outputs	Activities	Inputs
European Union[8]	Overall Objective	Project Purpose	Results	Activities		
FAO[9] + UNDP[10] + NORAD[11]	Development Objective		Immediate Objectives	Outputs	Activities	Inputs
UNHCR[12]	Sector Objective	Goal	Project Objective	Outputs	Activities	Input/Resources
World Bank	Long-term Objectives		Short-term Objectives	Outputs		Inputs
AusAID[13]	Scheme Goal		Major Development Objectives	Outputs	Activities	Inputs

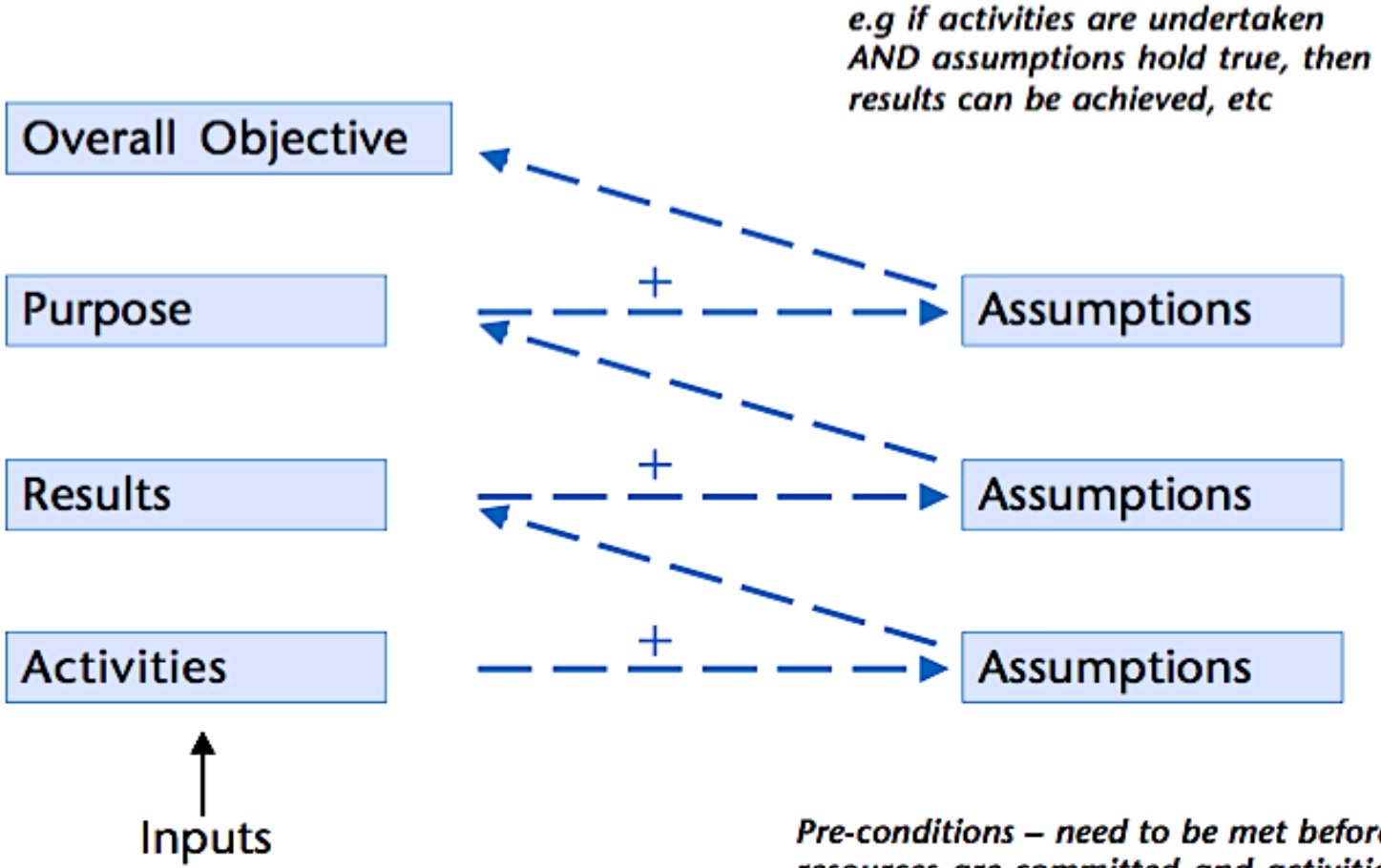
Don't over-focus on the language and the variations in the various logframe models. Just use the format which the donor/NGO requires. The important lesson is to learn to think through projects using the logic model, and not to focus on the differences in terminology too much.

Formulating Assumptions

Project Description	Indicators	Sources of verification	Assumptions
Overall objective 1	8	9	
Purpose 2	10	11	7
Results 3	12	13	6
Activities 4 *(optional inclusion in the matrix)*	Optional	Optional	5 *(optional inclusion in the matrix)*

Assumptions:

- Describe necessary external conditions to ensure that the activities will produce results. These are identified progressively throughout the analysis phase.



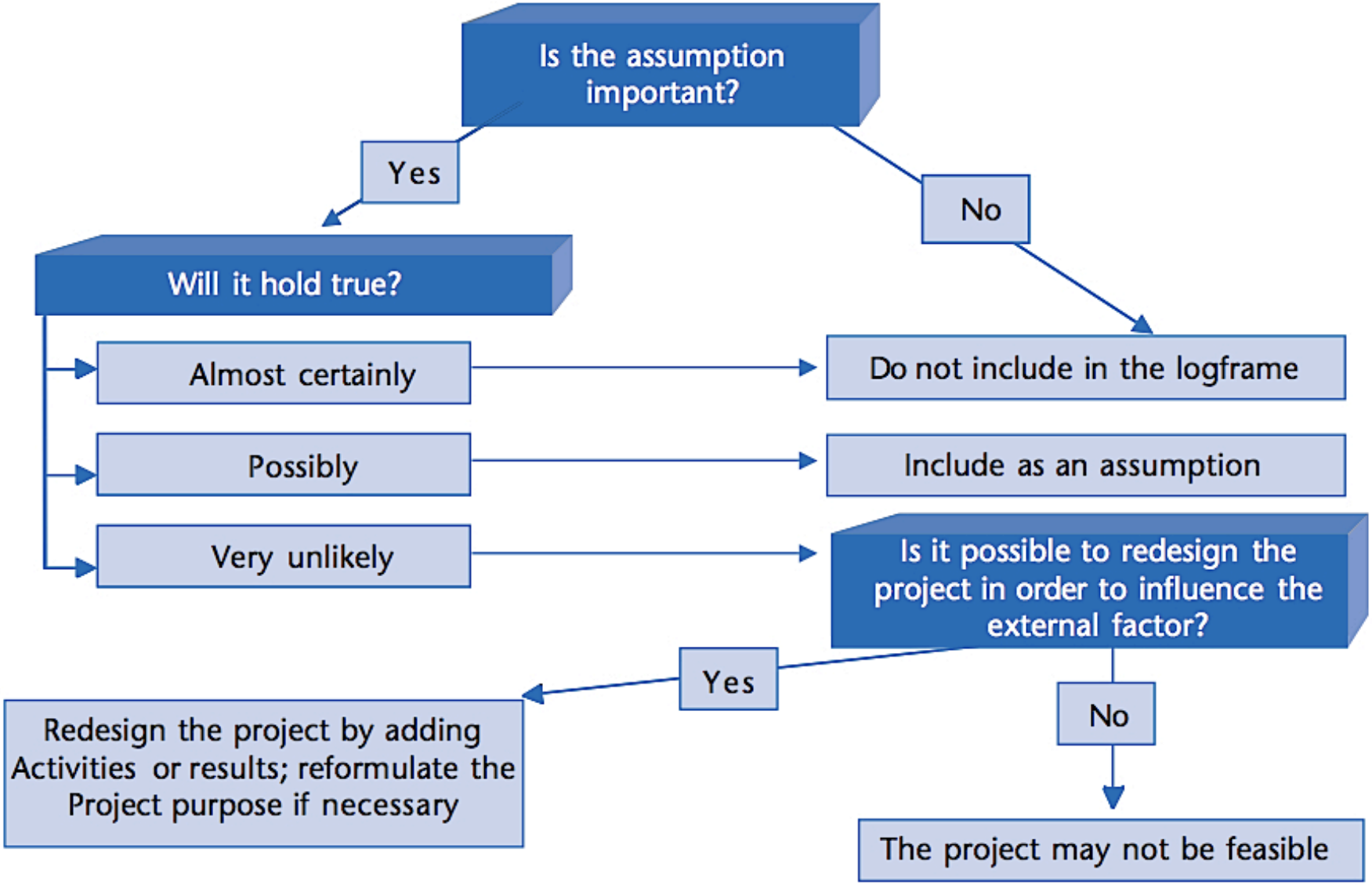
- Assumptions are risks, which can jeopardize the success of the project but are worded positively, i.e. they describe circumstances required to achieve certain objectives
- may come from synergetic activities made by other actors or other strategies eliminated during the preliminary screening
- Additional assumptions may also be identified through other stakeholders or interest groups (e.g. cost benefit, environmental impact, technical feasibility). When these are identified, further analysis like Pre-FS or FS should be conducted.

Rule of thumb:

Assumptions:

- Should be relevant and probable
- If an assumption is not important or almost certain: Do not include
- If an assumption is unlikely to occur: Killer assumption – abandon project
- Do not define assumptions that are endogenous to the project and the scheduled activities
- Include only the **important assumptions**…

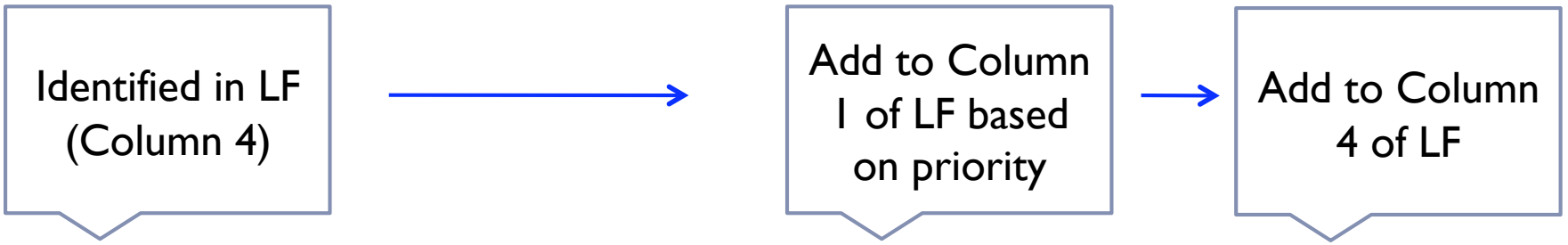
Assessment of Assumptions



Additional points for risk analysis

- Identify risks
- Determine probability and importance
- Rank the risks (L,M,H)
- Propose mitigating measures
- Identify residual risks (assumptions per mitigation measure)
- Add mitigation measures in the list of activities in the LF and assumptions (residual risks) in column 4 of LF

Sample Risk Management Matrix



Risk	Im	Pr	RL	Mitigation	Assumption (Residual Risk)
High jacking of aircraft	H	M	2.5	Airport security screening of all passengers	With effective screening protocol in place, hijacking will be avoided

Im = Importance: H=3, M=2, L=1
Pr = Probability: H=3, M=2, L=1
RL = risk level: single value for risk based on Im and Pr such as average score

Formulating Indicators and Identifying Sources of Verification

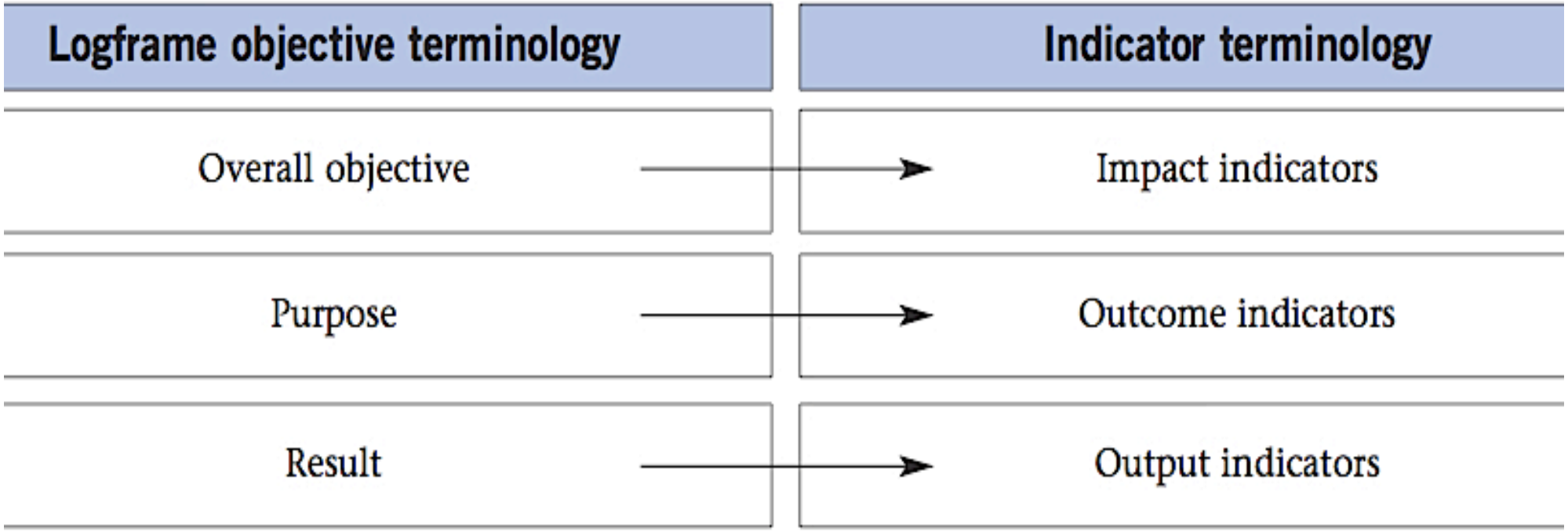
Project Description	Indicators	Sources of verification	Assumptions
Overall objective 1	8	9	
Purpose 2	10	11	7
Results 3	12	13	6
Activities 4 *(optional inclusion in the matrix)*	Optional	Optional	5 *(optional inclusion in the matrix)*

Indicators (Objectively Verifiable Indicators or OVI)

- describe the project's objectives in operationally measurable terms (quantity, quality, time – or QQT)
- means information collected should be the same if collected by different people (i.e. it is not open to the subjective opinion/bias of one person).
- helps form the basis of the project's monitoring and evaluation system
- Answer : "How would we know whether or not what has been planned is actually happening or happened? How do we verify success?"

- one-to-one correspondence: should be independent of each other, each one relating to only one objective in the Intervention Logic (i.e. to the Overall Objective, Project Purpose or to one Result). For example, indicators at the level of a Result should not be a summary of what has been stated at the Activity level, but should describe the measurable consequence of activity implementation
- measurable in a consistent way, at an acceptable cost & where possible, should be disaggregated & location-specific (implies knowledge of & access to baseline data)
- Analyzed horizontally with the sources of verification

Linkage between LF and Indicator Terminology



Basic distinctions:

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; means by which change will be measured

A Target is a specific level of performance that an intervention is projected to accomplish in a given time period; definite ends to be achieved

Milestones are points in the lifetime of a project by which certain progress should have been made, formative targets through the progression of the project

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

Example

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

Means or Sources of Verification

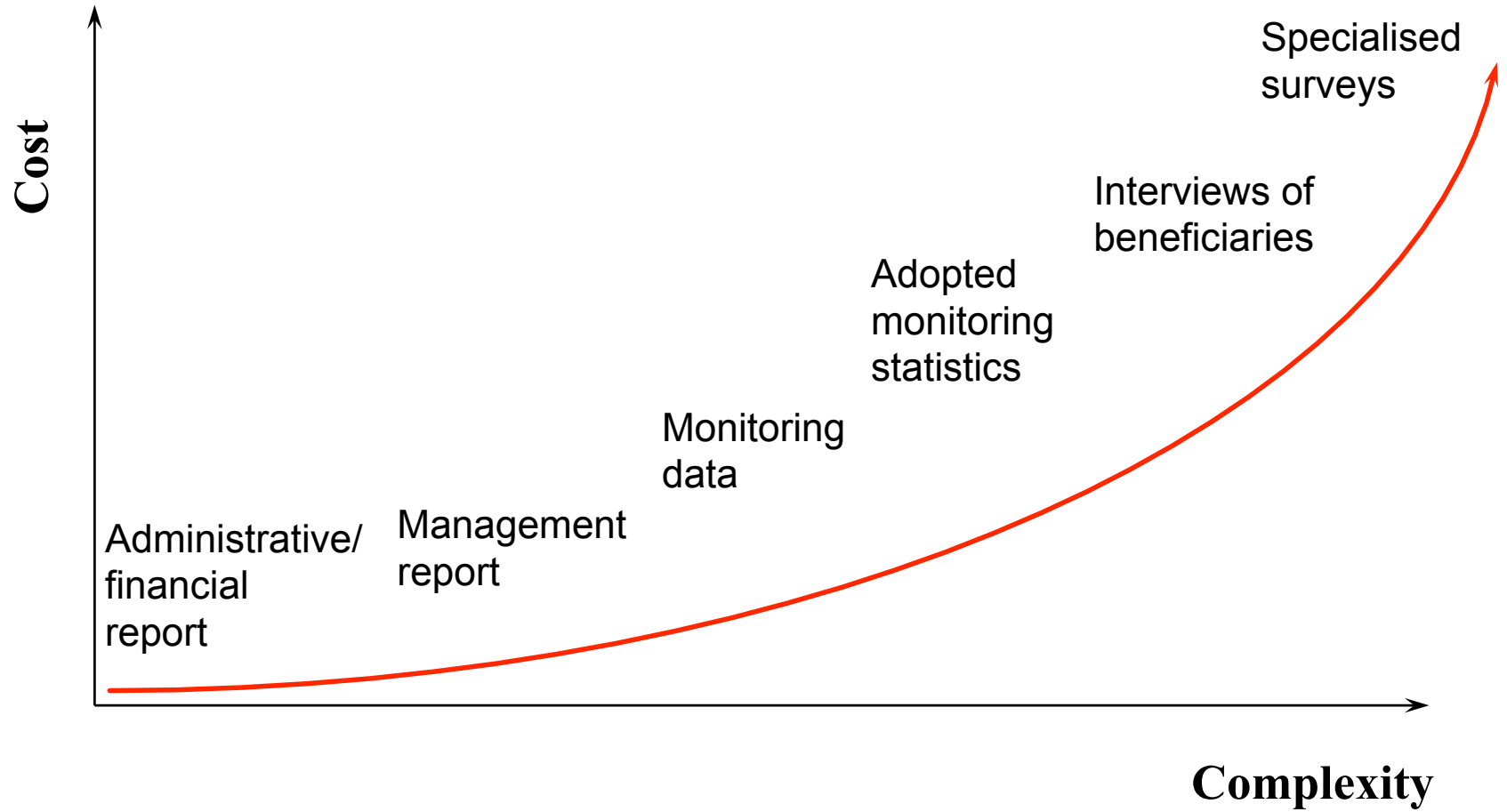
- Tools or means to obtain the information to substantiate the indicators (proof of indicator data)
- Preferably simple and affordable, and build on existing databases or sources
- Address:
  - **How** data will be collected or the sources of information

    Ex. Documented sources like project reports, official statistics, studies, survey results, etc.
  - **Who** will collect the data

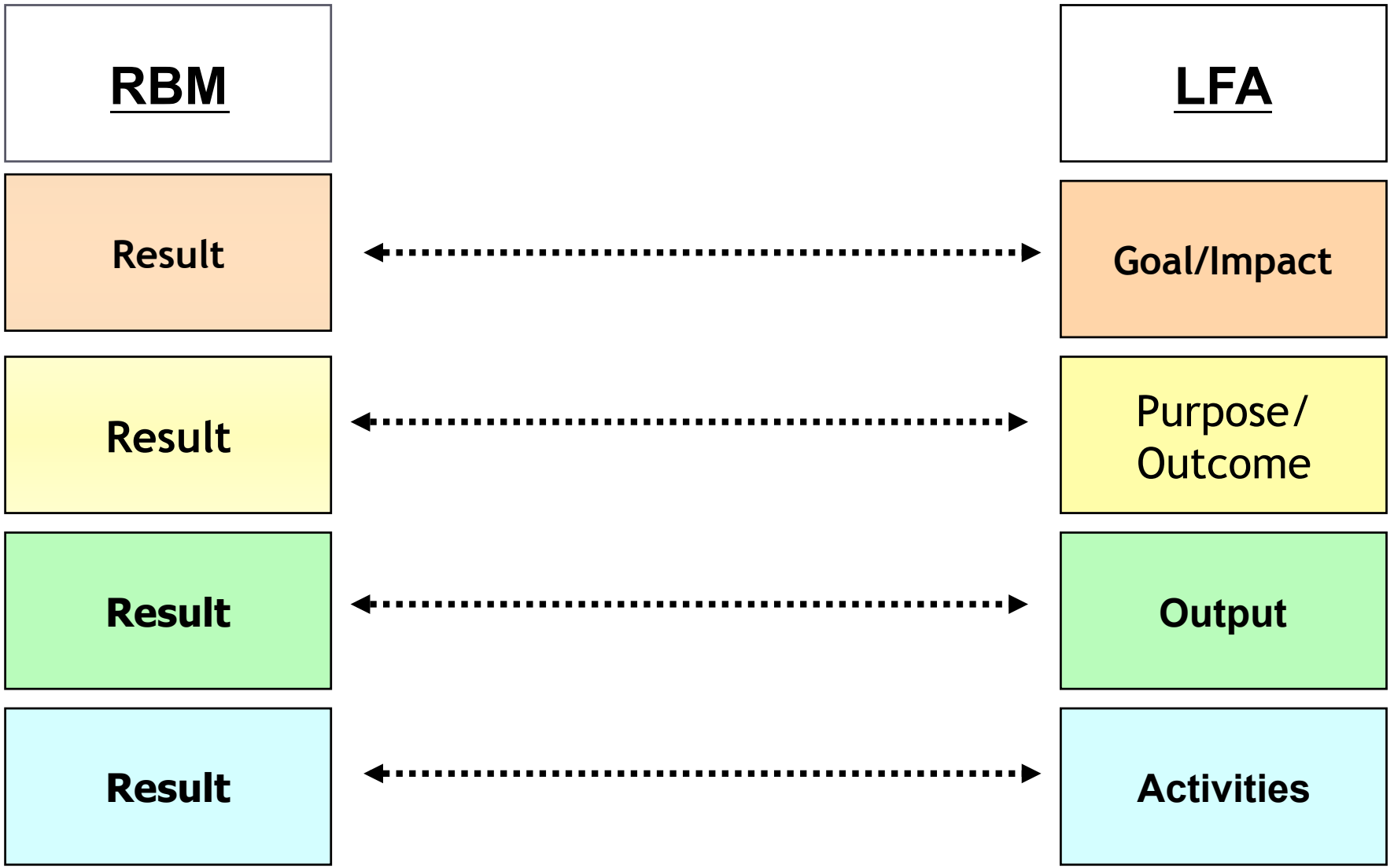
    Ex. Contracted survey or M&E team, project management team, field workers, etc.
  - **How frequent** or regularly should these be collected

    Ex. Monthly, semi-annual, annual, etc.

Selection of sources of verification



Project Monitoring & Evaluation using LFA



Monitoring and Evaluation

- Based on the logical framework
- Strengthens accountability and transparency
- Provides information for effective management
  - determine what works well and what requires improvement
- Builds knowledge
- Continuous process of collecting, processing and assessing information about the:
  - Project implementation, progress, impacts and effects & project environment

Monitoring

- aims to provide early indications of progress or lack thereof in the achievement of results
- Assumes the validity of the existing plan
- Takes place at project level
- Is the responsibility of the project management
- Is based on the indicators defined in the logical framework

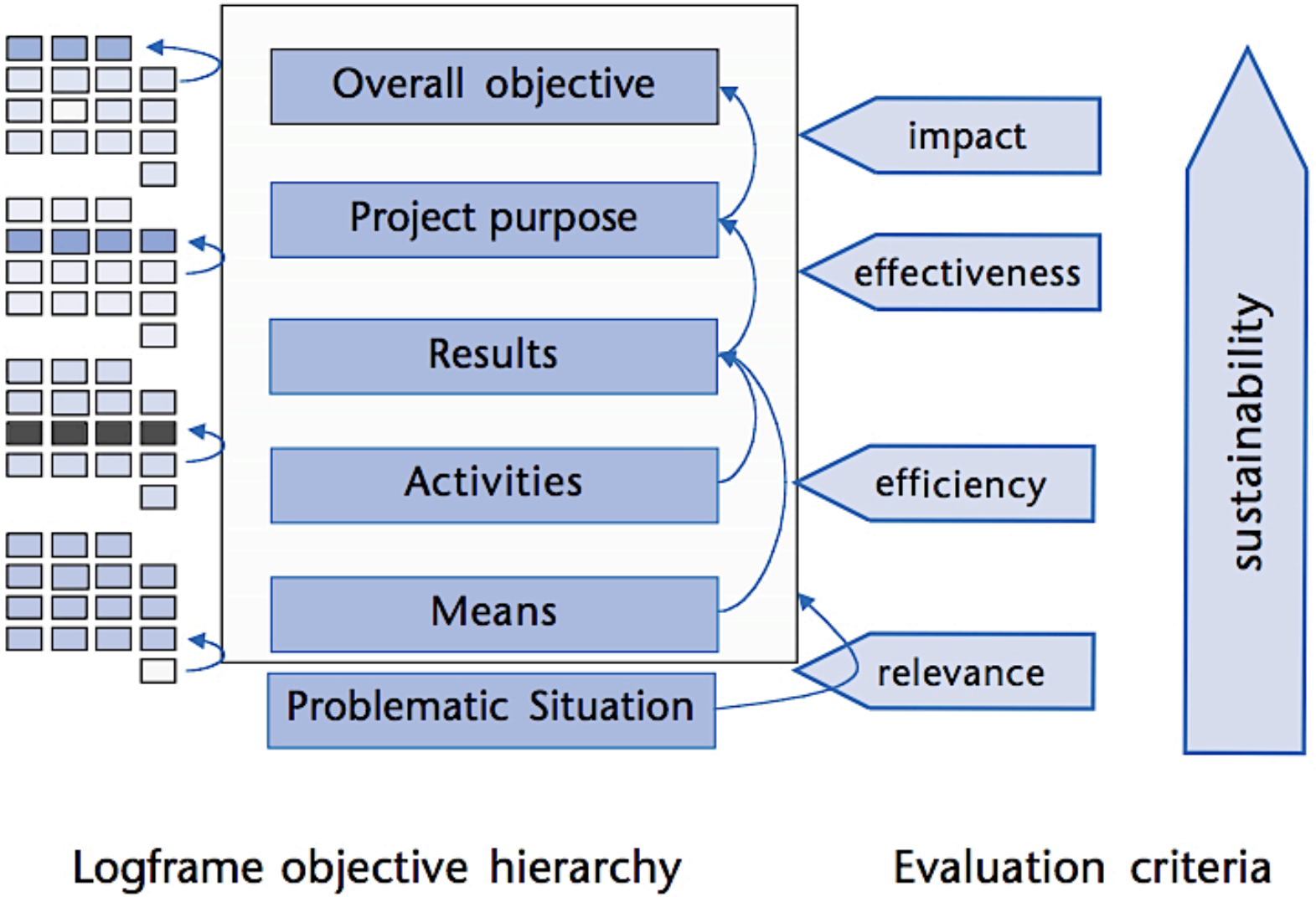
Monitoring Responsibility

- Project Management
  - Activities
  - Output indicators
  - Early outcome indicators
- Project Target Group
  - Outcome indicators
  - Impact indicators

Evaluation

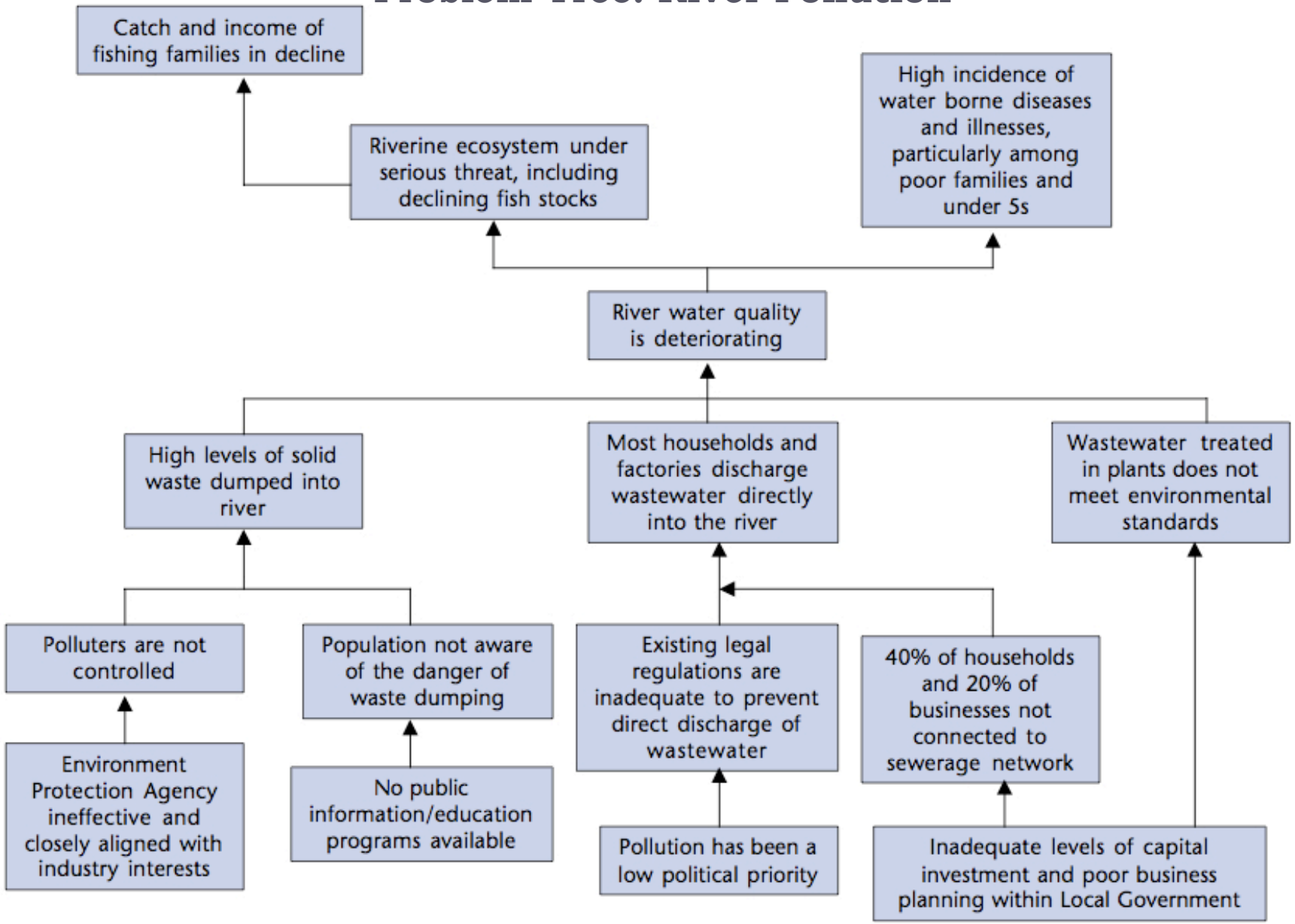
- Time-bound exercise to assess the relevance, performance and success of on-going or completed projects
- Questions the validity of existing planning
- Is related to the impact of a project
- Opens the mind for strategic adjustments

Evaluation Quality Criteria

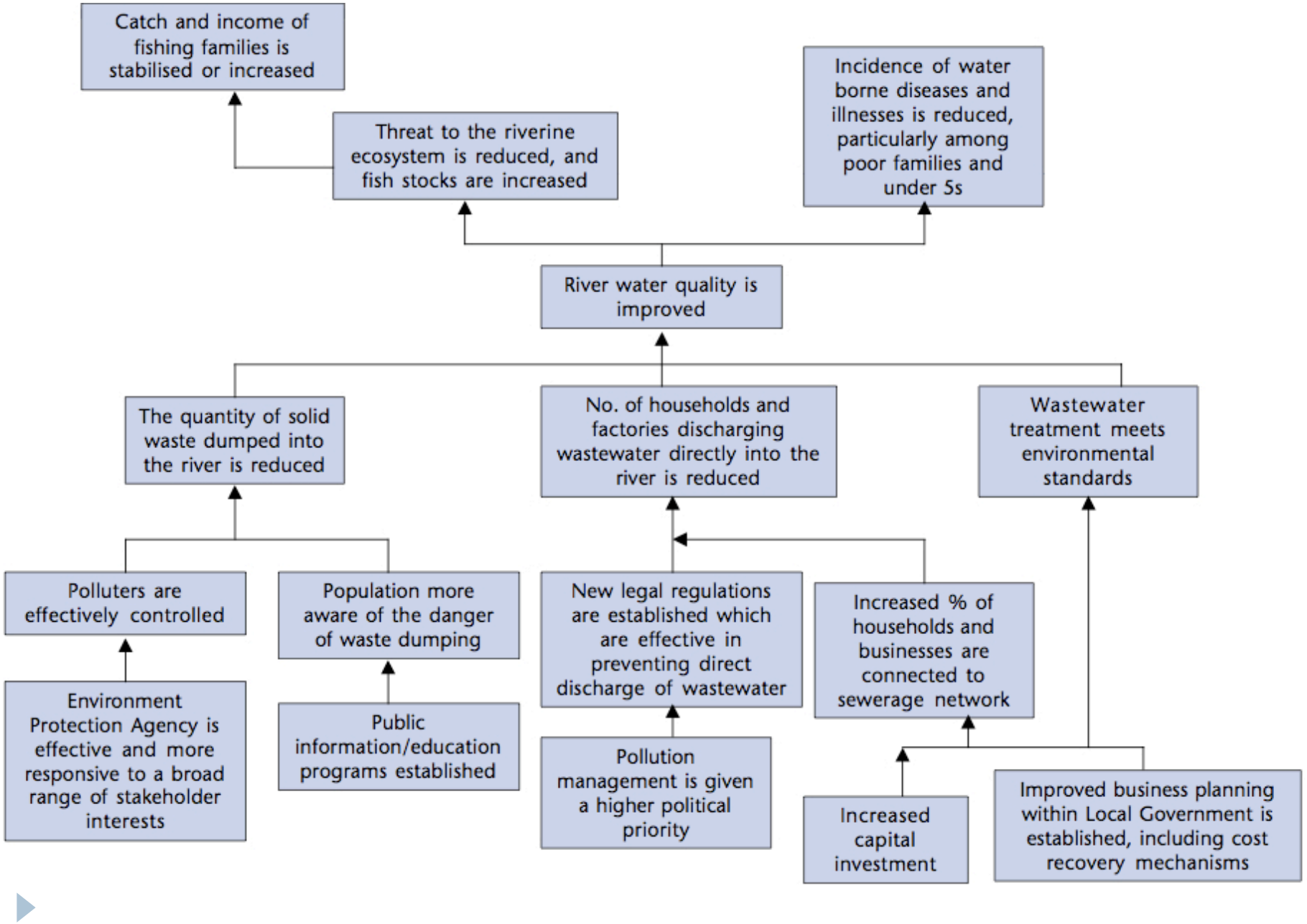


EXAMPLE OF LOGFRAME ANALYSIS

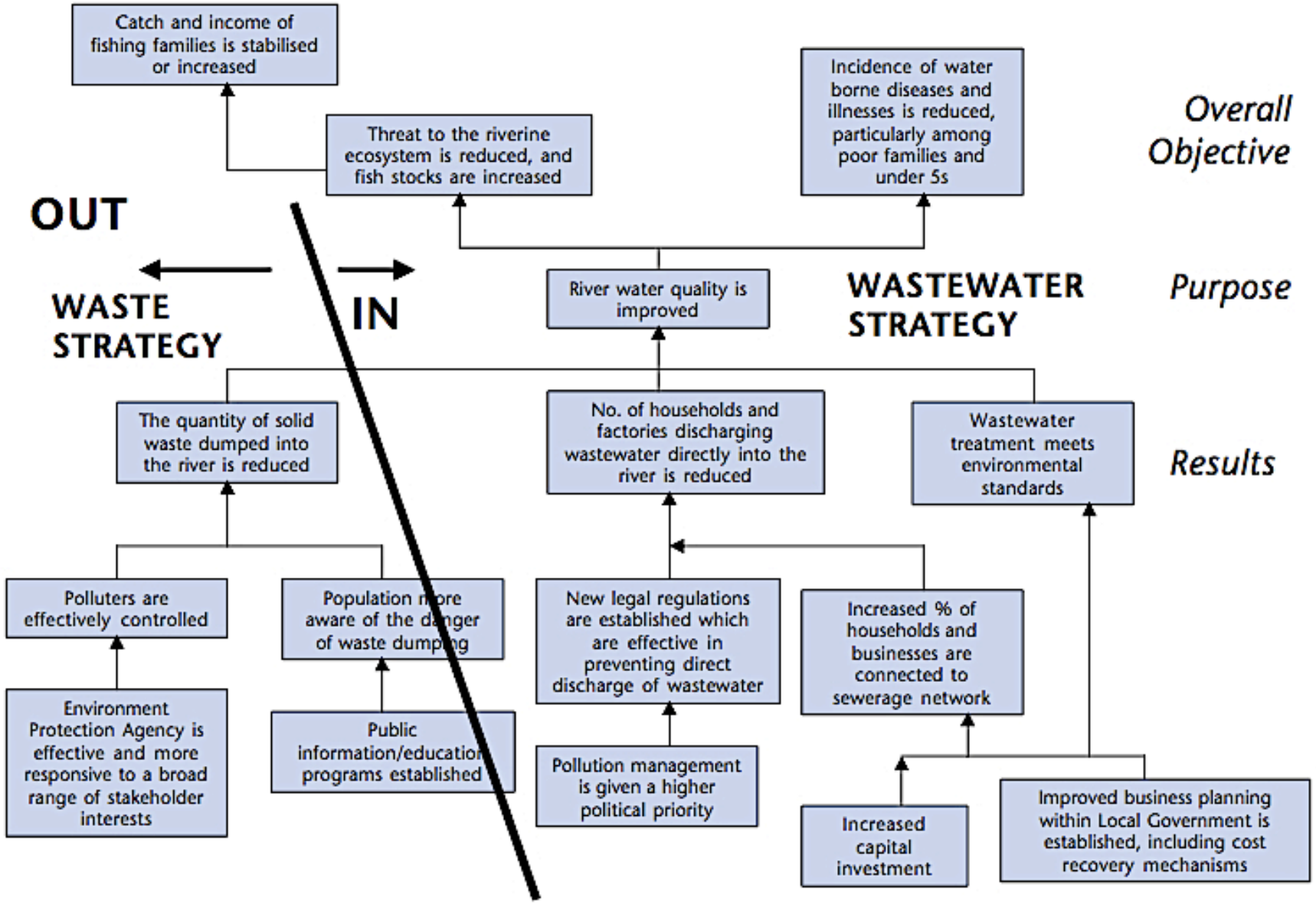
Problem Tree: River Pollution



Objective Tree: River Pollution



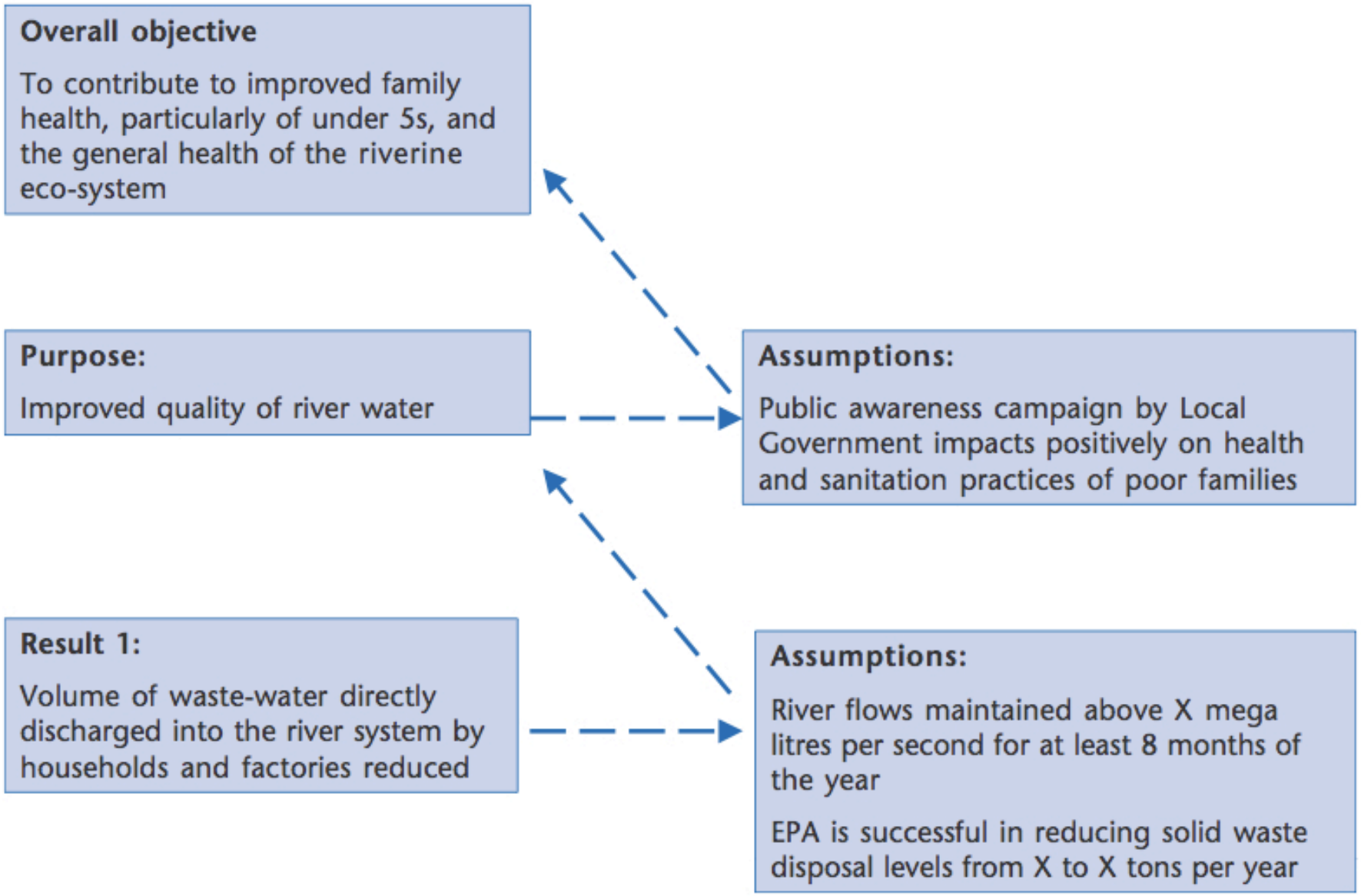
Strategy Selection



Logframe: Hierarchy of Objectives

Overall objective	To contribute to improved family health, particularly of under 5s, and the general health of the riverine eco-system
Purpose	1. Improved river water quality
Results	1.1 Reduced volume of waste-water directly discharged into the river system by households and factories 1.2 Waste-water treatment standards established and effectively enforced
Activities *(may not be included in the matrix itself, but rather presented in an activity schedule format)*	1.1.1 Conduct baseline survey of households and businesses 1.1.2 Complete engineering specifications for expanded sewerage network 1.1.3 Prepare tender documents, tender and select contractor 1.1.4 Identify appropriate incentives for factories to use clean technologies 1.1.5 Prepare and deliver public information and awareness program 1.1.6 etc

Logframe: Assumptions



Logframe: Indicators and Sources of Verification

Project description	Indicator	Source of Verification
Purpose Improved quality of river water	**The Indicator:** Concentration of heavy metal compounds (Pb, Cd, Hg) and untreated sewerage **The Quantity:** Is reduced by 25% compared to levels in 2003 **The Quality:** And meets established national health/pollution control standards **The Time:** By end of 2006	Weekly water quality surveys, jointly conducted by the Environmental Protection Agency and the River Authority, and reported monthly to the Local Government Minister for Environment (Chair of Project Steering Committee).

Completed Logframe

Overall objective To contribute to improved family health, particularly the under 5s, and to improve the general health of the riverine eco-system	- Incidence of water borne diseases, skin infections and blood disorders caused by heavy metals, reduced by 50% by 2008, specifically among low-income families living along the river	- Municipal hospital and clinic records, including maternal and child health records collected by mobile MCH teams. Results summarized in an Annual State of the Environment report by the EPA.	
Purpose Improved quality of river water	- Concentration of heavy metal compounds (Pb, Cd, Hg) and untreated sewerage; reduced by 25% (compared to levels in 2003) and meets established national health/pollution control standards by end of 2007	- Weekly water quality surveys, jointly conducted by the Environmental Protection Agency and the River Authority, and reported monthly to the Local Government Minister for Environment (Chair of Project Steering Committee)	- The pubic awareness campaign conducted by the Local Government impacts positively on families sanitation and hygiene practices - Fishing cooperatives are effective in limiting their members exploitation of fish 'nursery' areas
Result 1 Volume of waste-water directly discharged into the river system by households and factories reduced	- 70% of waste water produced by factories and 80% of waste water produced by households is treated in plants by 2006	- Annual sample survey of households and factories conducted by Municipalities between 2003 and 2006	- River flows maintained above X mega litres per second for at least 8 months of the year - Upstream water quality remains stable
Result 2 Waste-water treatment standards established and effectively enforced	- Waste water from 4 existing treatment plants meets EPA quality standards (heavy metals and sewerage content) by 2005	- EPA audits (using revised standards and improved audit methods), conducted quarterly and reported to Project Steering Committee	- EPA is successful in reducing solid waste disposal levels by factories from X to X tons per year

Example of Risk Management Matrix

LF ref.	Risks	Potential adverse impact	Risk level (H/M/L)	Risk management strategy	Responsibility
1	The Program Stream Coordination Unit (PSCU) and ASEAN Secretariat (ASEC) staff do not establish an effective working relationship	Delays in processing proposals through the committee endorsement system	M	Annual Managing Contractor/PSCU staff performance assessment by co-chairs of Joint Selection & Review Panel (JSRP) and appropriate remedial action taken by all parties	Delegation, ASEC and Contractor
1	Promotional activities do not generate an adequate number of quality proposals that meet selection criteria.	Under-commitment of funding and/or selection of relatively poor quality proposals for implementation	L	Widespread and intensive promotional activities using a variety of media and dissemination channels	Contractor
1	Regionality requirements are difficult to meet	Under-commitment of funding, or approval of proposals that could be better handled through bilateral programs	M	Activities only require one European and one ASEAN *implementing* partner, but will be open to participation by all member countries	JSRP at appraisal
1	There are not enough 'new' ideas, rather 'old' re-hashed proposals	Expected benefits of the RPS are not fully realised. Good new ideas may be left out of the RPS portfolio	M	Application guidelines and JSRP appraisal checklist emphasise preference for 'new' innovative ideas	JSRP
1.1	Contractor staff for the PSCU are not acceptable to ASEC	Delays in commencing implementation of the RPS	M	EC sends copies of short-listed bidders proposals to ASEC and invites ASEC to sit on selection panel	EC
1.1	Roles of PSCU and European based staff of the contractor are not clearly defined	Duplication of functions and confusion	M	Clear functional roles established during the preparatory stage, building on draft TOR presented in this design document	AMC
1.2	EC and ASEC do not appoint appropriately qualified/skilled members to the JSRP	Inadequate appraisal of proposals and selection of 'weak' activities for implementation	L	EC and ASEC must commit adequate time/resources to the JSRP process. Stringent appointment process.	EC and ASEC