

The Logical Framework Approach

A team from “Rural Development in Action” that is stationed in the remote region of Taupo just sent a report on the situation of the community...

Let's check it out!

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Report



The Small Farmers Association of the Taupo community (owners of maximum 5 hectares) suffer periodically from income scarcity, both in kind and monetary income. That situation is provoking social dissatisfaction and emigration.

The main source of income comes from the harvest selling, as they do not perform any other economic activity.

Despite this total dedication to agriculture, they do not achieve an acceptable level of income because of the high cost of production. Harvests are scarce and inflation rises the cost of the inputs.

According to a report from the Ministry of Agriculture, the low productivity of the land is due to the use of inadequate techniques and the effect of plagues.

Agricultural outputs are sold at a local level to intermediaries at prices imposed by them. This is because the farmers do not know the price in the final markets and they lack negotiation power due to the urgency of getting that income from the sales.

Buyers argue, being partly right, that low prices are due to the poor infrastructure, especially roads. These are the same intermediaries that sell the agricultural output at an excessive price.

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The Logical Framework Approach

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Planning

The planning team of "Rural Development in Action" is about to design a development intervention so that the situation and welfare of the small farmers can improve.

Facing this complex situation, characterized by the presence of such a big plurality of stakeholders, problems and challenges...How should the team address these problems so that they can improve the life of the small farmers of the Taupo community?

The Logical Framework Approach

- The Logical Framework Approach (LFA) is a methodology mainly used for designing, monitoring, and evaluating international development projects.

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Let's see how the team develop a project based on the Logical Framework Approach methodology for the Taupo community!



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Methodology

The Logical Framework Approach is one of the main tools used by organizations to design and plan projects.

It consists of a **4-step methodology**.

Phases of the Logical Framework

- 1) Analysis of Stakeholders.
- 2) Analysis of Problems.
- 3) Analysis of Objectives.
- 4) Analysis of Strategies or Alternatives.

(some people consider the Logical Framework matrix itself to be another phase of the analysis).

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We undertake projects because...

We undertake projects because there is an **unsatisfactory situation** where there are obstacles to development or the rights of individuals are threatened.

Current Situation

- ✓ We call this unsatisfactory situation **Current Situation**.
- ✓ If there is an unsatisfactory situation, we can say that there is also a **Desired Situation** which would be the result of an intervention designed to improve some or all elements of the current situation.
- ✓ Such **intervention** is a project that is implemented in the short and medium term to achieve the desired situation in the medium and long term.

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The tools

The tools to assess the **Current Situation** are

- ✓ **Analysis of stakeholders and**
- ✓ **analysis of problems.**

The tools to assess the **Wanted Situation** are

- ✓ **Analysis of objectives and**
- ✓ **Analysis of strategies or alternatives.**

With this tool we achieve
Identification of the Problem.

With this tool we achieve
the identification of the project.

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The tools

The tools to assess the **Current Situation** are

- ✓ **Analysis of stakeholders and**
- ✓ **analysis of problems.**

The tools to assess the **Wanted Situation** are

- ✓ **Analysis of objectives and**
- ✓ **Analysis of strategies or alternatives**

In the Logical Framework matrix we include

- ✓ Analysis of the four previous steps.
- ✓ Information on how to measure the impact.
- ✓ The assumptions on which the project is based.

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The Logical Framework Approach



The Logical Framework Approach is currently the most widely used system to conceptualize, design, implement, track performance, evaluate and communicate key information about the project in summary form.



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Analysis of Stakeholders

Analysis of the Problems

Analysis of the Objectives

Analysis of the Alternatives

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The Logical Framework Approach Analysis of the Stakeholders



Why is it important to perform this analysis?

This analysis is undertaken to identify and clarify which groups and organizations are directly or indirectly involved in trying to solve particular problems, in order to take into account their interests, their potential and limitations.

We are interested in clarifying and identifying:

- ✓ How different groups perceive the causes and effects of the problem.
- ✓ Which groups would support a particular strategy which is proposed to overcome a problem of development, and which would oppose it.
- ✓ The power and the resources that these groups have to support or hinder the solution of the problem through the proposed strategy.
- ✓ How to maximize support and minimize resistance when a project begins to be implemented.

Analysis Stakeholders



Analysis of the Problems



Analysis of the Objectives



Analysis of the Alternatives



The Logical Framework Matrix



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The Logical Framework Approach Analysis of the Stakeholders



We begin the analysis by creating a table with four columns and one row for each group:

GROUPS	INTERESTS	PERCEIVED PROBLEMS	RESOURCES	HOW THEY CAN BE INVOLVED

Analysis Stakeholders



Analysis of the Problems



Analysis of the Objectives



Analysis of the Alternatives



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The Logical Framework Approach Analysis of the Stakeholders

We begin the analysis by creating a table with four columns and one row for each group:

GROUPS	INTERESTS	PERCEIVED PROBLEMS	RESOURCES	HOW THEY CAN BE INVOLVED
				<i>Let's identify the stakeholders on our report about the Taupo community...</i>



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Report



The **Small Farmers Association** of the Taupo community (owners of maximum 5 hectares) suffer periodically from low income, insufficient to meet their household needs, both in kind and monetary income. That situation is provoking social dissatisfaction and emigration.

The main source of income comes from the harvest, as they do not perform any other economic activity.

Despite this absolute dedication to agriculture, they do not achieve an acceptable level of income because of the high production costs. Harvests are scarce and inflation rises the cost of the inputs.

According to a report from the **Ministry of Agriculture**, the low productivity of the land is due to the use of inadequate techniques and the effect of recurrent plagues.

Agricultural outputs are sold at a local level to intermediaries at prices imposed by them. This is because the farmers do not know the price in the final markets and they lack negotiation power due to the urgency of getting that income from the sales.

Buyers argue, being partly right, that low prices are due to the poor infrastructure, especially roads. These are the same intermediaries that sell the agricultural output at an excessive price.



Analysis Stakeholders
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The Logical Framework Approach Analysis of the Stakeholders

We begin the analysis by creating a table with four columns and one row for each group:

GROUPS	INTERESTS	PERCEIVED PROBLEMS	RESOURCES	HOW THEY CAN BE INVOLVED
Small Farmers	Income Increase.	Low quality of life and immigration.	Workforce Materials.	They will cooperate and participate.
Buyers/ Intermediaries	Keep the same level of profits. Road improvement.	Poor roads push transaction prices up.	Capital. Harvest Demand. Supply of agricultural inputs.	They will be asked to support the rise of productivity.
Ministry of Agriculture	Agricultural productivity Improvement.	Low agricultural Productivity.	Technical assistance. Financial resources.	They will be asked for technical and financial assistance.



Analysis Stakeholders

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The Logical Framework Approach Analysis of the Stakeholders

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Analysis Stakeholders

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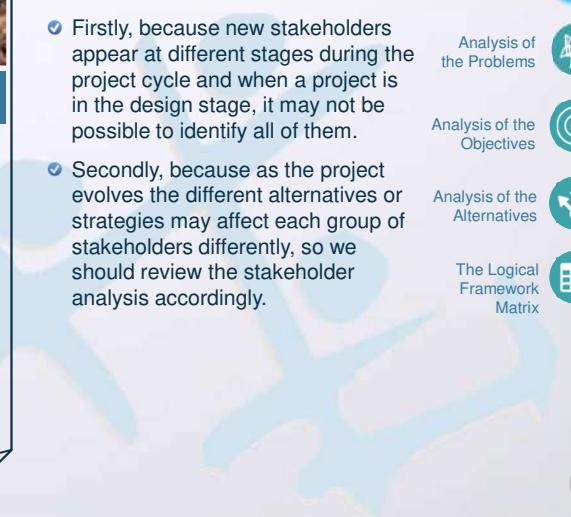


Is the Analysis of Stakeholders used only at the outset of the design?

- ✓ It is very important that this table is continuously updated during the design and implementation of the project, as the situation evolves.
- ✓ The stakeholder analysis is performed not only at the beginning of the project design but is constantly reviewed and updated.
- ✓ Is not just an input for the following step (Analysis of the Problem). The stakeholder analysis is one of the most dynamic elements of the LFA, since it is continuously changing.

Why is it constantly changing?

- ✓ Firstly, because new stakeholders appear at different stages during the project cycle and when a project is in the design stage, it may not be possible to identify all of them.
- ✓ Secondly, because as the project evolves the different alternatives or strategies may affect each group of stakeholders differently, so we should review the stakeholder analysis accordingly.



Analysis Stakeholders

Analysis of the Problems

Analysis of the Objectives

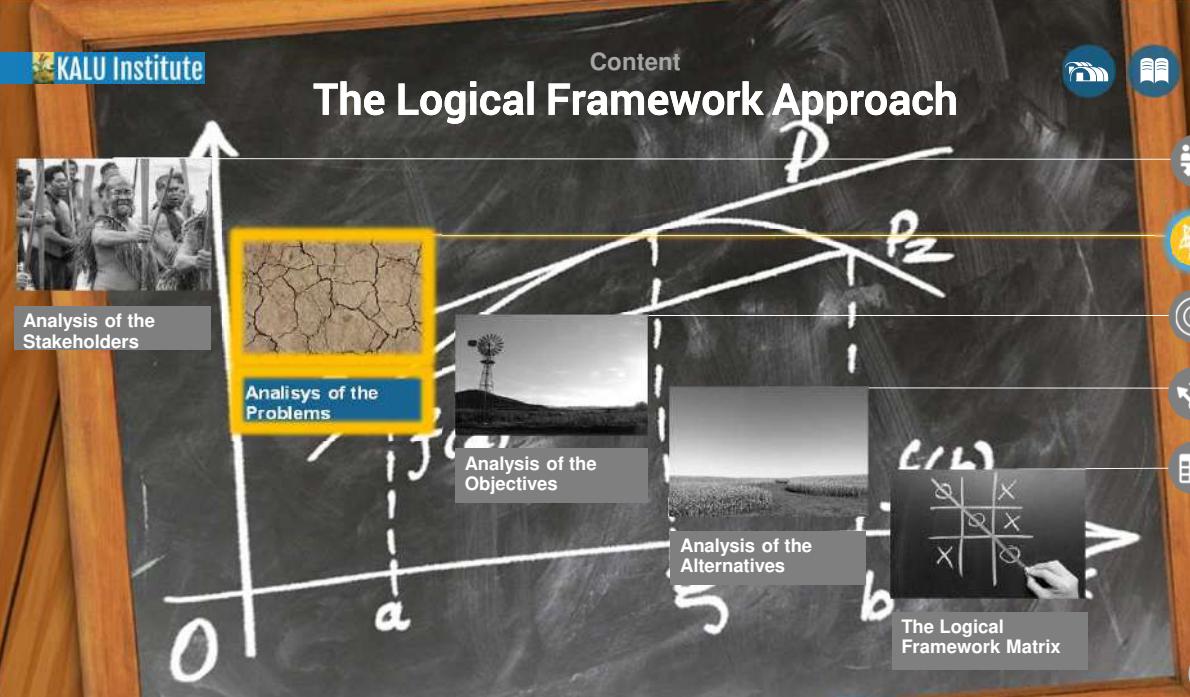
Analysis of the Alternatives

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Analysis of the Problems



Analysis of the Problems

We perform a Problem Analysis to:

- ✓ Analyze the current situation and formulate the development problem.
- ✓ Identify the related problems around the central development problem and the cause-and-effect relationships between them.
- ✓ Visualize the causal relationships in a diagram (problem tree).



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Analysis of the Problems

The Problem Analysis is carried out in five steps:

01 Write down the development or humanitarian problem (also called central, principal or focal problem) on a card and stick it in the centre of a board. If there is no agreement on what the main problem is, it should be further discussed to reach a consensus.	02 Identify other issues or problems that are the direct cause of the central problem (which now becomes an effect of these causes) and place them below the problem.	03 Continue placing other problems in the same way , as causes of the problems previously identified. Continue until you reach the root causes.	04 Identify whether any of the problems placed in this way is an effect of a problem placed previously; if so, place it above it. Complete the effects of the central problem. Check the tree, make sure that it is valid and complete, making the necessary adjustments.	05 Draw lines with arrows pointing from each cause to its effect, and make sure that the diagram makes sense.
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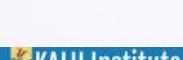
The Logical Framework Approach Analysis of the Problems



Lets now select the identified problems in our report on the small farmers of Taupo...



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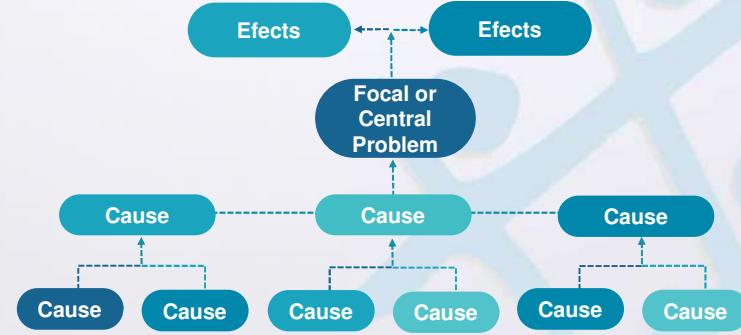
Buyers argue, being partly right, that low prices are due to the poor infrastructure, especially roads. These are the same intermediaries that sell the agricultural output at an excessive price.

The Problem Tree



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Facing this plurality of problems and challenges, the logical framework approach uses the following problem tree:



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The Problem Tree

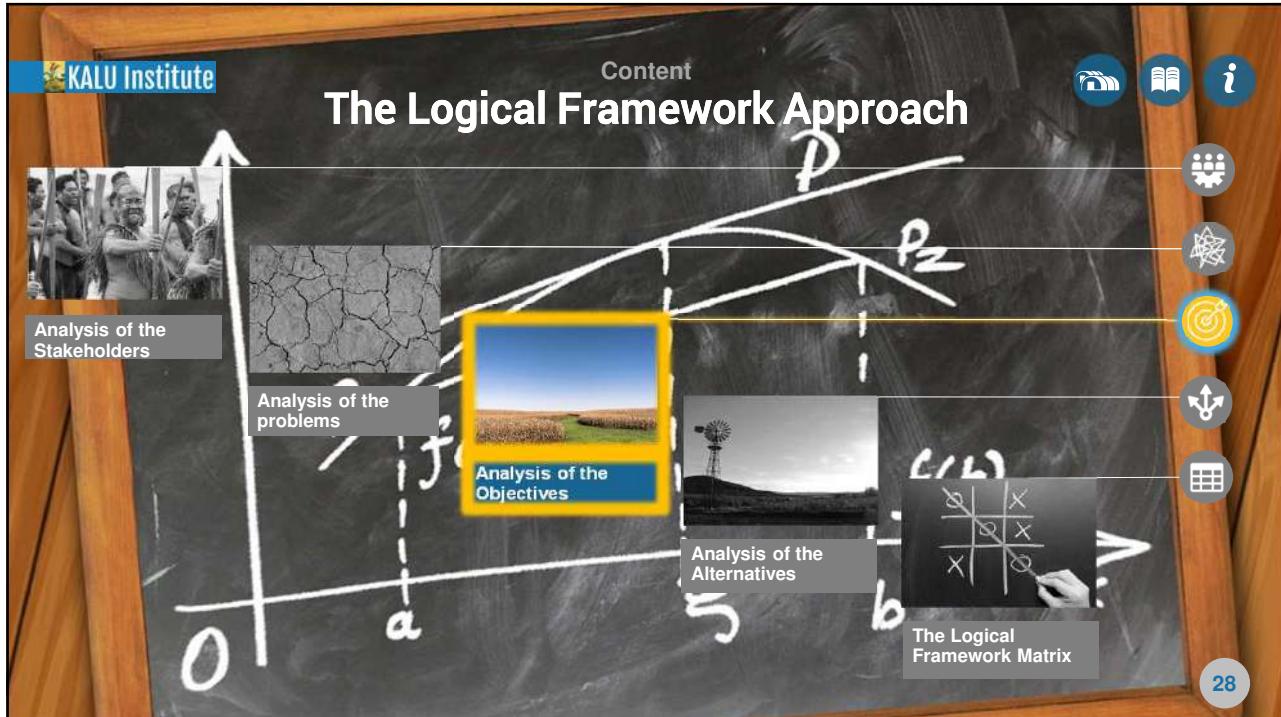
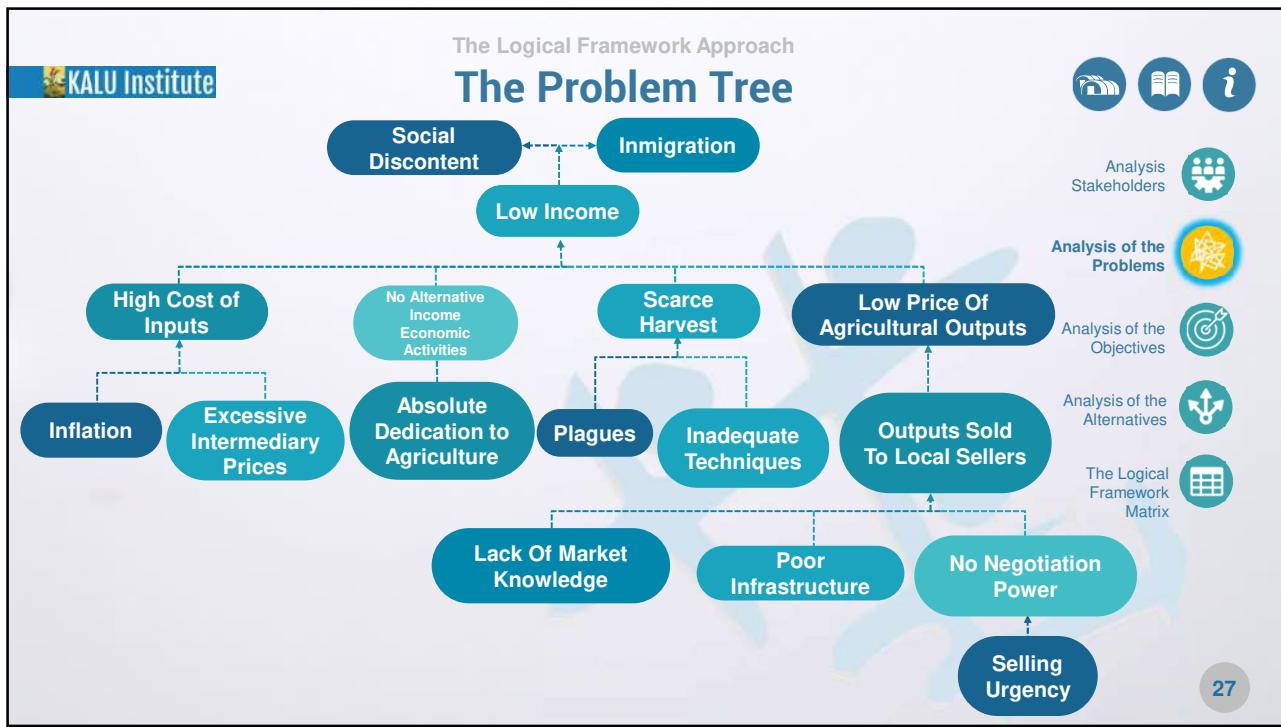


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Facing this plurality of problems and challenges, the logical framework approach uses the following problem tree:



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The Logical Framework Approach The Analysis of Objectives

The Analysis of Objectives

We use the Analysis of Objectives to:

- ✓ Describe a situation that could exist after the problems have been resolved.
- ✓ Identify the ends-and-means relationship between objectives.
- ✓ Visualize it in a diagram.

We need to "flip" the tree:

- ✓ We select the focal problem of the problem tree and turn it into an objective.
- ✓ Then we work down, transforming each cause to a means of addressing the problem of development, making each negative condition of the problem tree a positive condition, i.e. objectives that are desirable and feasible in reality.
- ✓ This done, we review all the end-and-means relationships to get the objectives tree.

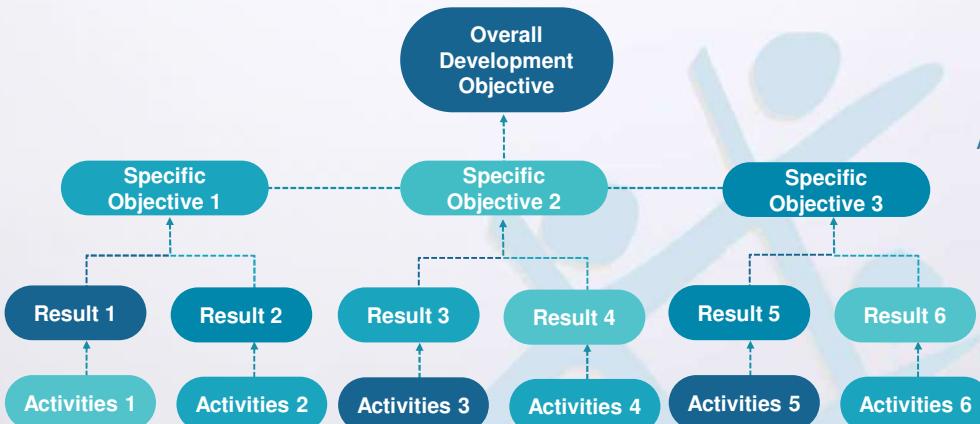


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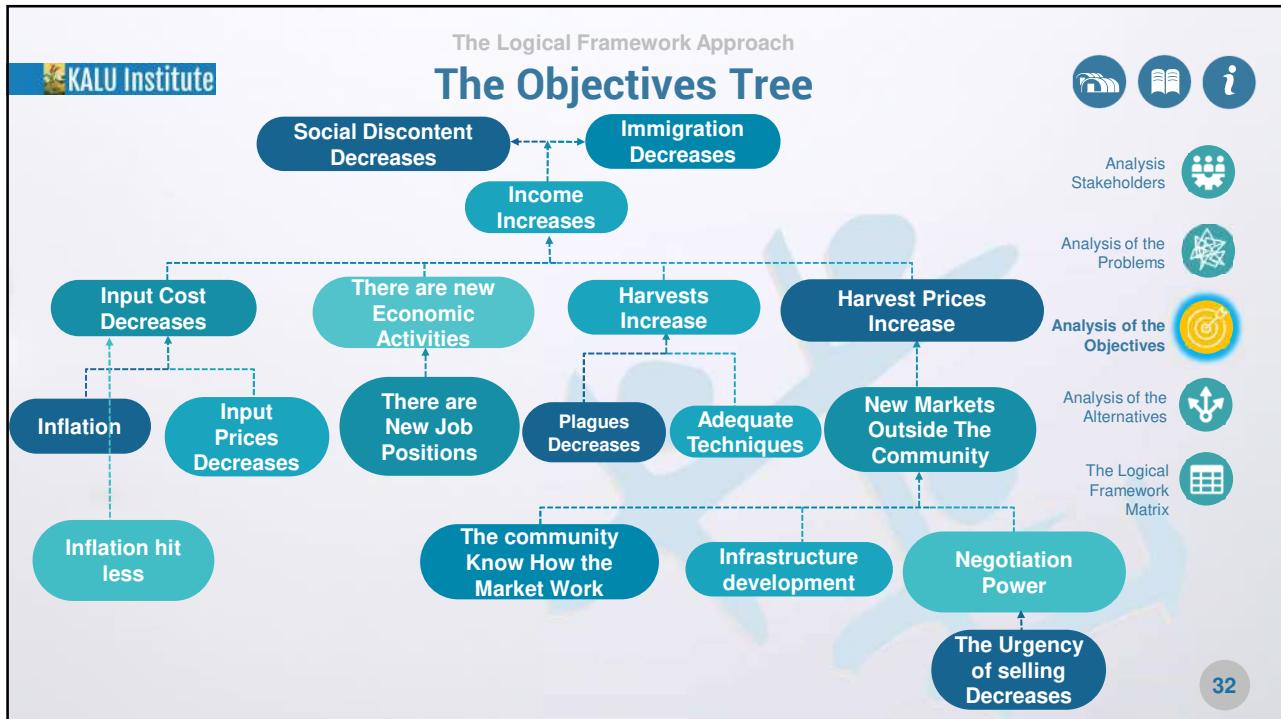


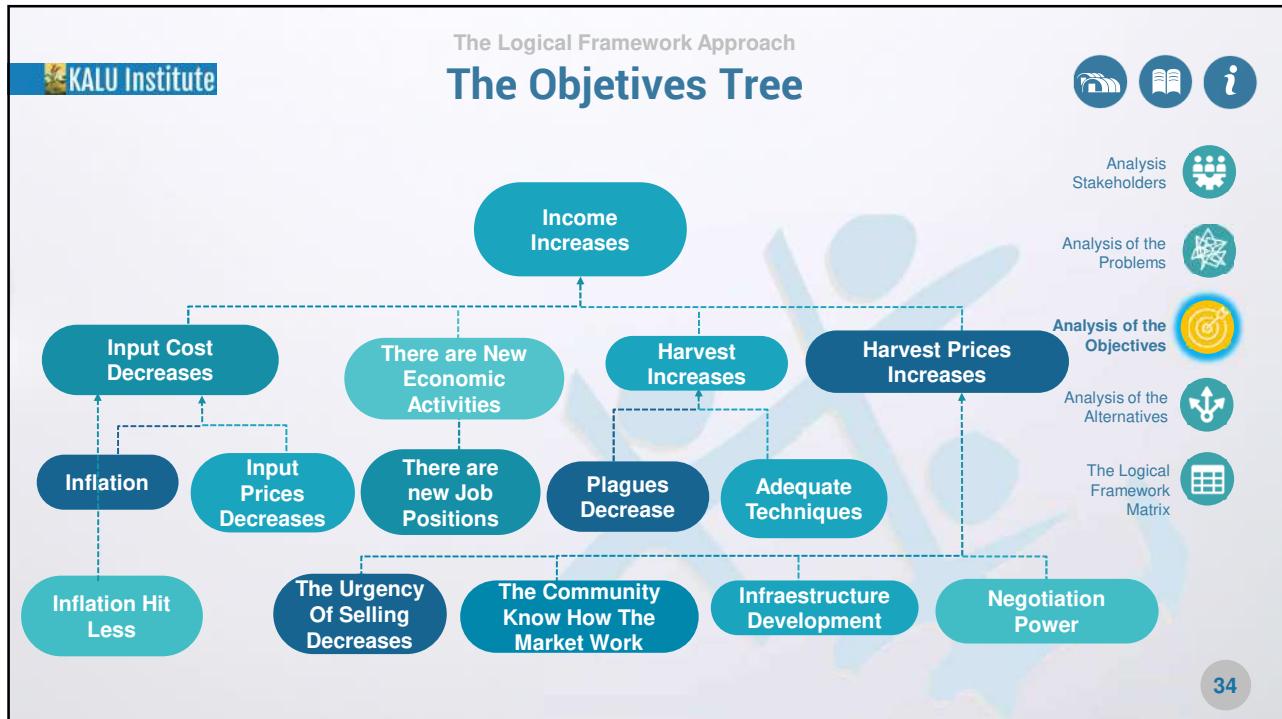
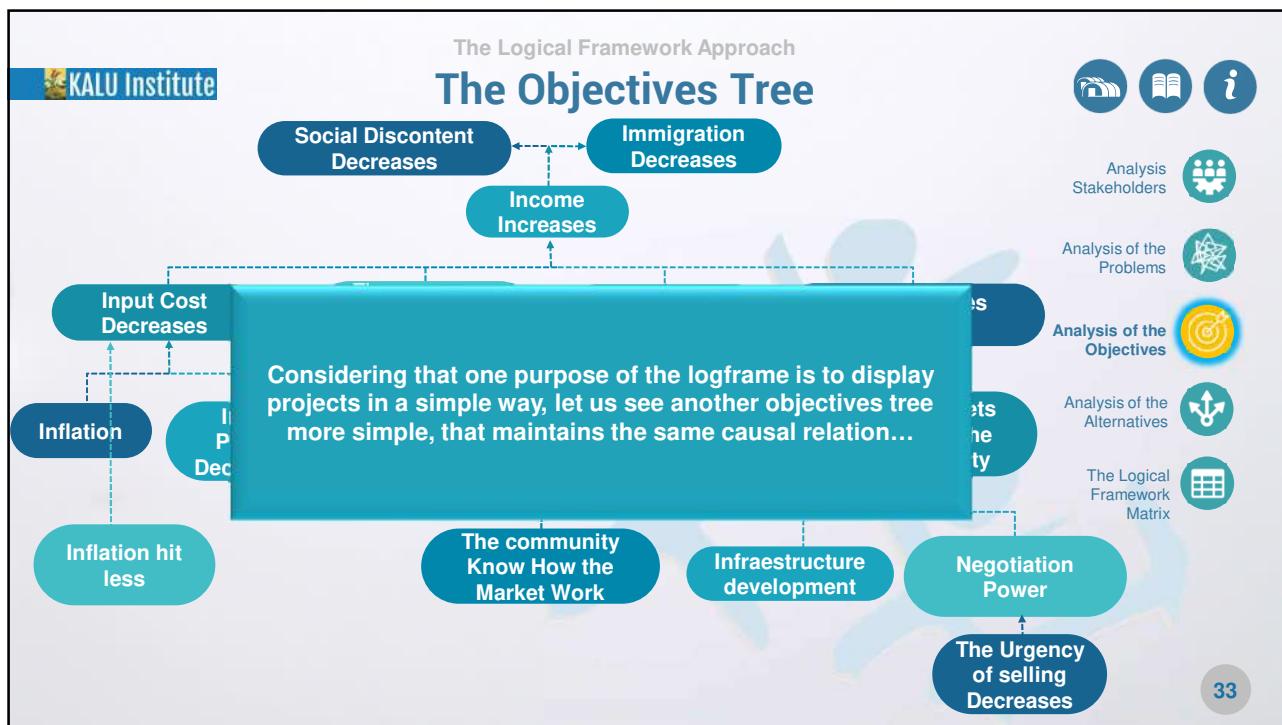
The Logical Framework Approach The Objectives Tree



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The Analysis of Alternatives

The Analysis of Alternatives seeks to identify alternative strategies from the objectives tree which, if implemented, could change the current situation to the one desired.

After identifying the different strategies, each should be assessed with analysis tools in order to select the best one.

In selecting...

In selecting strategies we normally take into account:

- ✓ The interests of the project's beneficiaries.
- ✓ The available financial resources.
- ✓ The results of economic (total costs, benefits), financial, social, institutional and environmental studies as well as social impact, sustainability, and previous experience.
- ✓ Interests and mandates of potential implementing agencies.

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Steps in analysis of alternatives



01

Identify different sets of objectives (means-and-end steps) that could be potential strategies for a project.

02

Exclude objectives that are not politically feasible, or those already being pursued by other projects of the organization or in the area.

03

Assess the alternatives with respect to available resources, political feasibility, the interests of the beneficiaries, the planned implementing agency and the sources of funding.

04

Conduct the necessary studies for the type of operation, taking into account economic, financial, social, and environmental aspects.

05

Decide what strategy or combination of strategies (alternatives) are the most appropriate for the project.

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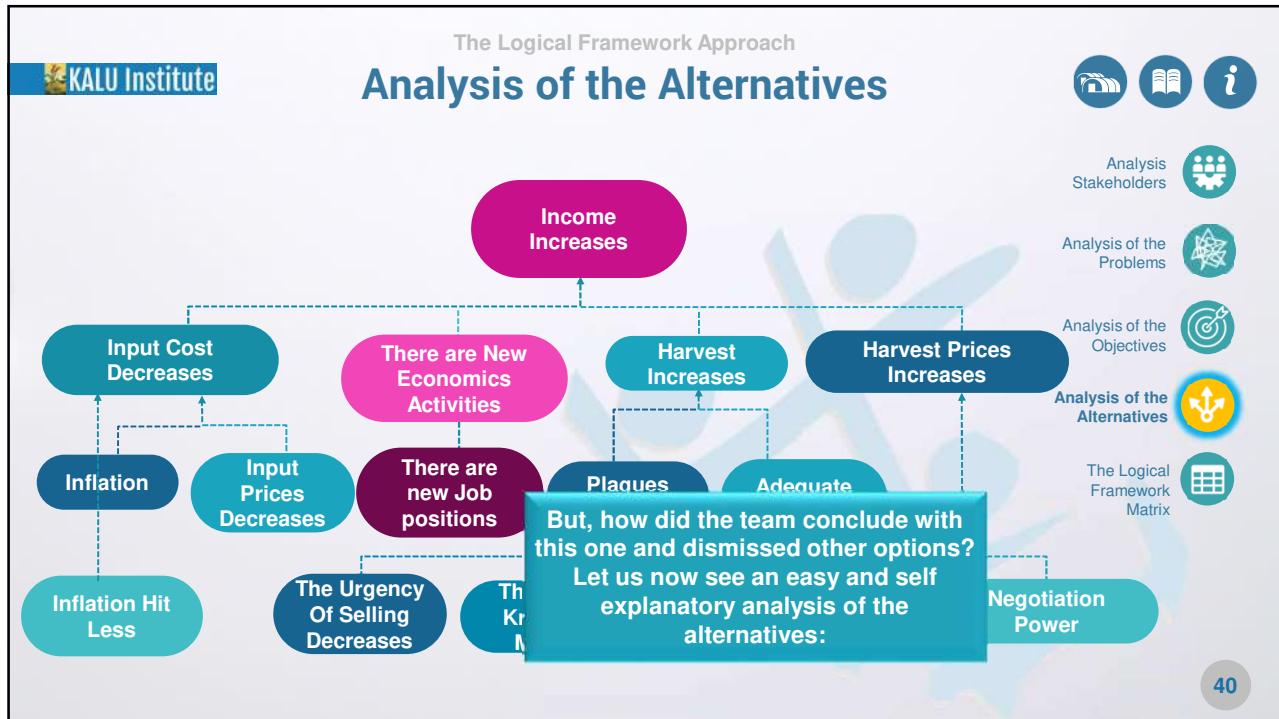
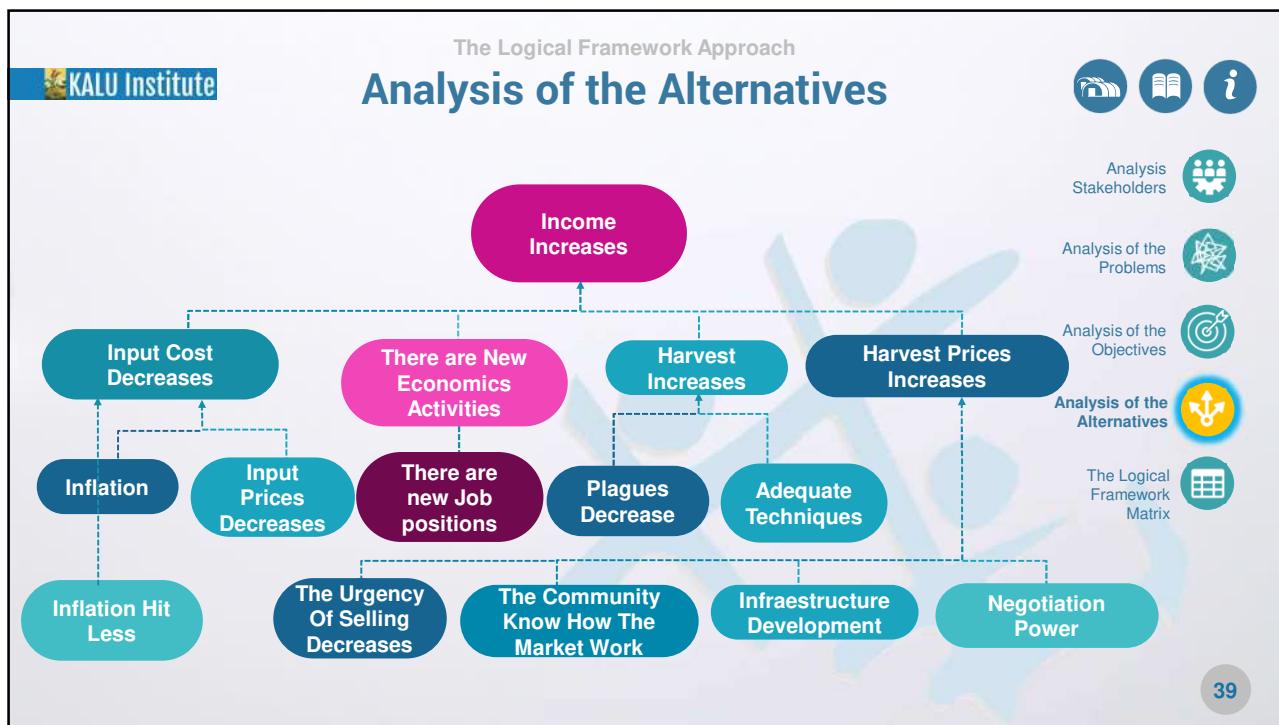
Steps in analysis of alternatives



The developing team of "Rural Development in Action", making use of the objectives tree, has decided to seek the specific objective of creating new economic activities within the community.



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Analysis of the Alternatives

	COST	IMPACT	TIME	FINAL SCORE
Input Cost Decrease				3
New Economic Activities and Therefore New Sources Incomes				5
Harvest Productivity Improvement	The Ministry of Agriculture is already managing a project for the increase of productivity			
Harvest Products Price Increase	The team did not identify how to reduce the effects of inflation, making this option undoable.			

= 2 = 1 = 0

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	DESCRIPTIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	SOURCES OF VERIFICATION	HYPOTHESIS/ASSUMPTION
Overall Objective				
Specific Objective				
Results				
Activities		INPUTS	COSTS	

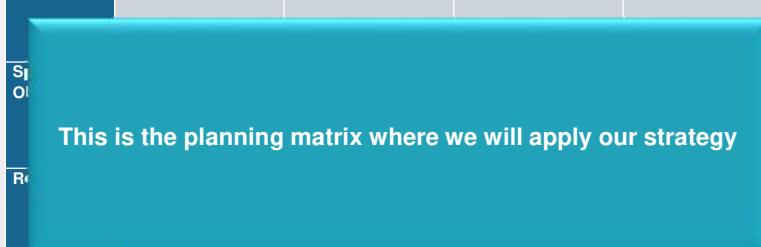
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	DESCRIPTIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	SOURCES OF VERIFICATION	HYPOTHESIS/ASSUMPTION
Overall Objective				
Specific Objective				
Results				
Activities		INPUTS	COSTS	

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Is a Tool for...

The **Logic Framework** is a tool for the...:

- ✓ Conception
- ✓ Design
- ✓ implementation
- ✓ Performance tracking and
- ✓ Assessment

... of a project

Should be reviewed, modified and improved throughout entire design and implementation processes.

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Is a Tool for...

Let us see the different components of the first column of the matrix:

- ✓ the general objective,
- ✓ the specific objective,
- ✓ the results
- ✓ and the activities

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Overall Objective

The Overall Objective:

- ✓ Also referred to as General Objective or Goal
- ✓ The Overall Objective expresses the **total solution** to the identified problem

Typically, a project will not achieve this goal but it will achieve part of it, and the project can still be considered successful

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Specific Objective

Specific Objective, also called the Purpose:

- ✓ Is the direct effect expected of the intervention.
- ✓ Is the change that the project will promote.
- ✓ Is an effect of our achievements and can be measured.

Success or Failing Project

- ✓ A successful project achieves 100% of its Specific Objectives.
- ✓ Failing in this objective, having succeeded in previous ones, can be attributed to poor design or non-occurrence of the external assumptions.

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Results

The results:

- ✓ Also called Outputs, Products or Components
- ✓ Are the specific results of the project tasks, studies, services, training, etc, that the implementer should generate with the assigned budget.

Success or Failing Project

- Each one is necessary to achieve the specific objective, and it is reasonable to assume that if all the outputs are produced as planned the specific objective will be achieved.
- Failure at this stage will usually be attributable to the project management.

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Activities

- ✓ Are the only level of project intervention.
- ✓ Are what project implementers (technicians, project officers, contractors, community members) must undertake to produce each of the results.
- ✓ It is necessary to produce a detailed list of activities, as this will be the basis for the development of the operational plan or implementing schedule.
- ✓ Each activity required for a component is put in chronological order and the time and resources required to perform it are estimated. In the Logical Framework Matrix implementation is directly related to the design.

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If the hypotheses hold true

Normally, if the assumptions or hypotheses hold true...

- ✓ Spending the budget but not to carry out activities is a sign of ...
- ✓ If the activities are undertaken and the results are not achieved, it is because of ...
- ✓ If the results are achieved and not the specific objective, it is because of...
- ✓ If the specific objective is achieved and not the overall objective, it is because of...



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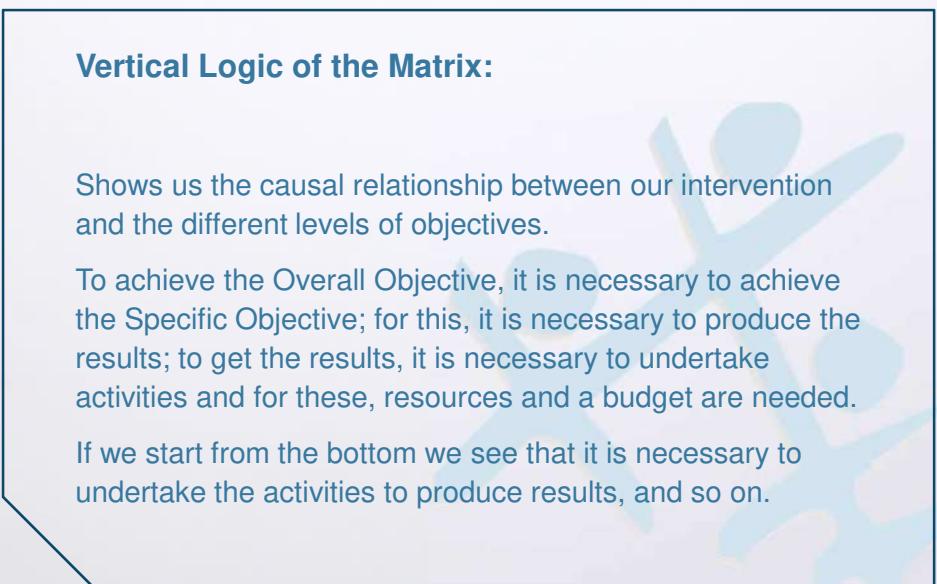
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Vertical Logic of the Matrix:

Shows us the causal relationship between our intervention and the different levels of objectives.

To achieve the Overall Objective, it is necessary to achieve the Specific Objective; for this, it is necessary to produce the results; to get the results, it is necessary to undertake activities and for these, resources and a budget are needed.

If we start from the bottom we see that it is necessary to undertake the activities to produce results, and so on.



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The Logical Framework Approach Vertical logic of the matrix

	DESCRIPTIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	SOURCES OF VERIFICATION	HYPOTHESIS/ASSUMPTION
Overall Objective				
Specific Objective				
Results				
Activities		Inputs	Costs	



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Horizontal Logic of the Matrix:

It shows that it is not sufficient to carry out the intervention to achieve the objectives; we need some external assumptions to prove correct to pass onto each stage of the causal relationship.



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Horizontal logic of the matrix

	DESCRIPTIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	SOURCES OF VERIFICATION	HYPOTHESIS/ASSUMPTION
Overall Objective	A horizontal double-headed arrow connects the Descriptive Summary and Hypothesis/Assumption columns.			
Specific Objective	A horizontal double-headed arrow connects the Descriptive Summary and Hypothesis/Assumption columns.			
Results	A horizontal double-headed arrow connects the Descriptive Summary and Hypothesis/Assumption columns.			
Activities	Inputs → Costs A horizontal double-headed arrow connects the Descriptive Summary and Hypothesis/Assumption columns.			

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Horizontal logic of the matrix

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Horizontal logic of the matrix

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Overall Objective	A horizontal double-headed arrow connects the Descriptive Summary and Hypothesis/Assumption columns.			
Sp Obj				
Re				
Ac				

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Horizontal logic of the matrix

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Lets now apply this to our small farmers case...

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Horizontal logic of the matrix

	DESCRIPTIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	SOURCES OF VERIFICATION	HYPOTHESIS/ASSUMPTION
Overall Objective	Income Increase.			Soil fertility stays the same. The state does not legislate against farmers and the ownership of their land. The armed conflict does not enter the area.
Specific Objective	There are alternative sources income.			The new economic activities are not less productive than agriculture.
Results	Artesany. Industry, Agrogood Industry and Tourism are Forested.			The New Products find its place in the market. Existing industries do not boycott the new one. Tourism traders include the area in their plans.
Activities	Commercialization Study. Products recommendation and commercialization channels. Cost-benefit study. Production demand studies.	Inputs Costs		

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Horizontal logic of the matrix

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Overall Objective	Income Increase.			Soil fertility stays the same. The state does not legislate against farmers and the ownership of their land. The armed conflict does not enter the area.
Specific Objective	The income increase is not less than the initial one.			The new economic activities are not less productive than agriculture.
Results	Artesany. Industry, Agrogood Industry and Tourism are Forested.			The New Products find its place in the market. Existing industries do not boycott the new one. Tourism traders include the area in their plans.
Activities	Commercialization Study. Products recommendation and commercialization channels. Cost-benefit study. Production demand studies.			

There you go, this is our planning matrix, lets now see how it is possible to formulate the logical framework in many different ways.

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Formulate in the logical framework

There is no single way to construct a Logical Framework:

Some people want the result to be shown as a direct result of the activities, without including assumptions or hypotheses at this level.

Others argue that they should be included.

In the case of the overall objective, some say that there should be no hypothesis at this level, as the ultimate objective has been achieved.

Others argue that the hypothesis should refer to what must happen for the benefit of the project to be maintained in the long term.

Some differentiate between "outputs" and "outcomes" at the results-level, the former being the direct consequence of the implementation of activities and the latter being the actual achievement of the specified result.

These differences usually involve redesigning a project depending on the funding body to which it is to be submitted, but they do not mean there are profound methodological differences as in all cases the logical framework approach facilitates the understanding of causal relationships in complex problems and provides a detailed, realistic, measurable solution which is consistent with the assessment.



Analysis Stakeholders

Analysis of the Problems

Analysis of the Objectives

Analysis of the Alternatives

The Logical Framework Matrix

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Indicators

Indicators

Indicators

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Indicators

Indicators

Indicators

Let's us remember the report on the community of the small farmers of Taupo....



Report



The Small Farmers Association of the Taupo community (owners of maximum 5 hectares) suffer periodically from low income, insufficient to meet their households' needs both in kind and monetary income. That situation is provoking social dissatisfaction and emigration.

The main source of income comes from the harvest selling, as they do not perform any other economic activity.

Despite this total dedication to agriculture, they do not achieve an acceptable level of income because of the high cost of production. Harvests are scarce and inflation rises the cost of the inputs.

According to a report from the Ministry of Agriculture, the low productivity of the land is due to the use of inadequate techniques and the effect of recurrent plagues.

Agricultural outputs are sold at a local level to intermediaries at prices imposed by them. This is because the farmers do not know the price in the final markets and they lack negotiation power due to the urgency of getting that income from the sales.

Buyers argue, being partly right, that low prices are due to the poor infrastructure, especially roads. These are the same intermediaries who sell the agricultural output at an excessive price.

3



Indicators

Indicators



We have already seen the planning matrix,
but...

How can we verify that the objectives of the
project are being achieved?





Indicators
LFA

5

	DESCRIPTIVE SUMARY	OBJETIVELY VERIFIABLE INDICATORS	SOURCES OF VERIFICATION	HYPOTHESIS
Overall Objective	Income Increase			
Specific Objective	There are alternative sources income			
Results	Artesany, Industry, Agroindustry and Tourism are fostered			
Activities	Commercialization Study, Products recommendation and commercialization channels. Cost-benefit study. Production demand studies.	Inputs	Costs	



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Content

Indicators

Objectively Verifiable Indicators

Sources of Verification

Checking an Indicator

7

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Indicators

Objectively Verifiable Indicators

The indicators...

- "Measure" how far and to what degree, the various levels of the project have been completed: results, specific objective and overall objective.
- Indicators are not assigned at the activity level. The expenditure itself is the proof that the activity has been carried out.

Objectively Verifiable Indicators

Objectively Verifiable Indicators are the quantitative or qualitative specification used to measure an objective or result.

They must be accepted by the project stakeholders as appropriate and provide the basis for the project monitoring system.

Objectively Verifiable Indicators

Sources of Verification

Checking an Indicator

8

Indicators

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Objectively Verifiable Indicators



A good indicator should be:

A good indicator should be SMART:

- ✓ Specific: to ensure that it measures what it is supposed to measure.
- ✓ Measurable.
- ✓ Available at acceptable cost.
- ✓ Relevant to the stated objective.
- ✓ Time-bound.



Objectively Verifiable Indicators

Sources of Verification

Checking an Indicator

9

Indicators

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Objectively Verifiable Indicators



Problem Analysis is done in 5 steps



Objectively Verifiable Indicators

Sources of Verification

Checking an Indicator

10

Indicators

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Objectively Verifiable Indicators



What is important

We should keep in mind that the indicators reflect the achievement of the objectives, so that at any time they can be changed towards this end. The objectives are what is important; the indicators are just references to measure them.

Therefore, we should focus our work on achieving the objectives, not just the indicators.

The indicators should be the minimum necessary to demonstrate the achievement of the outcome or objective.

They should be objectively verifiable

- ✓ The measurement should be able to be checked.
- ✓ They should facilitate comparison before and after the project.
- ✓ They should enable everyone evaluating the project to reach the same conclusions.

They should be independent

- ✓ They should reflect the achievement of an objective, not the means used to achieve it.

Objectively Verifiable Indicators

Sources of Verification

Checking an Indicator

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Indicators

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Objectively Verifiable Indicators



The baseline

The baseline is the first measurement of all the indicators planned in the design of a project. It allows to know the value of the indicators at the beginning of the planned actions.

It establishes the 'starting point' of the project or intervention.

Objectively Verifiable Indicators

Sources of Verification

Checking an Indicator

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Content

Indicators

Objectively Verifiable Indicators

Sources of Verification

Checking an Indicator

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Icons: document, book, info, checklist, thumbs up, magnifying glass.

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Indicators

Sources of Verification

Sources of Verification

Objectively Verifiable Indicators

Sources of Verification

Checking an Indicator

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Icons: document, book, info, checklist, thumbs up, magnifying glass.

Sources of Verification

- ✓ The means, or sources, of verification allows the evaluator or project implementer to check the information on the value on the indicator.
- ✓ They provide the evolution of each indicator during the execution of the project.
- ✓ Therefore, those who design the project need to identify the sources of information or provide for the information to be obtained.

Indicators

Sources of Verification

Sources of Verification

The sources of verification should be determined in parallel with the indicators.
They should specify:

- ✓ How the information should be presented.
- ✓ Who should supply the information.
- ✓ The frequency with which the information should be supplied.
- ✓ They may be generated by the project, as a monitoring activity, or external to the project.

External verification sources

- ✓ They should be public and preferably official.
- ✓ They must be assessed in terms of accessibility, reliability and relevance and cost of processing.

Objectively Verifiable Indicators

Sources of Verification

Checking an Indicator

Indicators

Sources of Verification generated by the project

- ✓ If so, budgets should include the means needed to obtain them.
- ✓ They must be protected from any bias by the project management.
- ✓ Obtaining base-line data must be guaranteed.

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Indicators

Objectively Verifiable Indicators

Sources of Verification

Checking an Indicator

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Indicators

Checking an Indicator



Once we have constructed...

Once we have constructed and formulated our indicator, we can verify its appropriateness by checking that it meets the [following criteria](#).

The indicator is:

- ✓ Specific in terms of quantity, quality, time, location and target group.
- ✓ Available from an external verifiable source or from information generated by the project.
- ✓ Obtainable at a reasonable cost.
- ✓ Obtainable using a reliable and current means of verification.
- ✓ The collection, preparation and storage of information is a planned monitoring activity and the required resources are guaranteed in the project.

Objectively Verifiable Indicators

Sources of Verification

Checking an Indicator

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Indicators

Checking an Indicator



Monitoring

The correct implementation of a monitoring system through good indicators and sources of verification brings legitimacy to the project and provides information for an evaluation which, in turn, gives feedback on the intervention.

Objectively Verifiable Indicators

Sources of Verification

Checking an Indicator

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Indicators

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Let's check now the different verification sources and indicators for our project...



Indicators

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L.F.A

	DESCRIPTIVE SUMMARY	O.V.I	SOURCES OF VERIFICATION	
Overall Objective	Income Increase	20% increase of income for the small farmers.	Survey on income of the stakeholders.	
Specific Objective	There are alternative sources income	25% if the working population dedicate to the new activities.	Census before and after the Project.	
Results	Artesany, Industry, Agroindustry and Tourism are fostered.	Artisans multiply their incomes x3 50% of the harvest is produced within the town. 500 tourists visit the region per years.	Survey to artisans and raw materials providers. Comparison of invoices between intermediaries. Bus tickets and sold gasolina (statistics)	
Activities	Commercialization Study. Products recommendation and commercialization channels. Cost-benefit study. Production demand studies.	Inputs 6 month full time job contract for an advisor. Independent study from a consultant. Travel agency study. 5 Workshops.	Costs 12.000.000 2.000.000 5.000.000 25.000.000	20

Indicators

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Checking an Indicator

But its improper use or abuse may bureaucratize the project and compromise the results.

Objectively Verifiable Indicators

Sources of Verification

Checking an Indicator

Indicators

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Checking an Indicator

Utility Limits

We will conclude with three tips to **keep monitoring activities** within their limits of usefulness.

Three tips

1. In no case must the second and third column of the Logical Framework take precedence over the first: The contents of the Logical Framework should support the first column, which is the intervention, not vice versa.
2. The interpretation of the results should not give priority to the donor or implementing organization over the project beneficiaries.
3. Do not forget that the monitoring system should have an appropriate budget and should not interfere with the activities.

Objectively Verifiable Indicators

Sources of Verification

Checking an Indicator

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External Factors



Assumptions

Let's us remember the
report on the community of
the small farmers of
Taupo....





External Factors

Report



The Small Farmers Association of the Taupo community (owners of maximum 5 hectares) suffer periodically from low income, insufficient to meet their households' needs both in kind and monetary income. That situation is provoking social dissatisfaction and emigration.

The main source of income comes from the harvest selling, as they do not perform any other economic activity.

Despite this total dedication to agriculture, they do not achieve an acceptable level of income because of the high cost of production. Harvests are scarce and inflation rises the cost of the inputs.

According to a report from the Ministry of Agriculture, the low productivity of the land is due to the use of inadequate techniques and the effect of plagues.

Agricultural outputs are sold at a local level to intermediaries at prices imposed by them. This is because the farmers do not know the price in the final markets and they lack negotiation power due to the urgency of getting that income from the sales.

Buyers argue, being partly right, that low prices are due to the poor infrastructure, especially roads. These are the same intermediaries who sell the agricultural output at an excessive price.

3



External Factors

Framework Matrix



	DESCRIPTIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	SOURCES OF VERIFICATION	HYPOTHESIS/ASSUMPTION
Overall Objective	Income Increase.			Soil fertility stays the same. The state does not legislate against farmers and the ownership of their land. The armed conflict does not enter the area.
Specific Objective	There are alternative sources income.			The new economic activities are not less productive than agriculture.
Results	Artesany, Industry, Agroindustry and Tourism are fostered.			The New Products find its place in the market. Existing industries do not boycott the new one. Tourism traders include the area in their plans.
Activities	Commercialization Study. Products recommendation and commercialization channels. Cost-benefit study. Production demand studies.	Inputs	Costs	

4

External Factors

Framework Matrix

	DESCRIPTIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	SOURCES OF VERIFICATION	HYPOTHESIS/ASSUMPTION
Overall Objective	Income Increase.			Soil fertility stays the same. The state does not legislate against farmers and the ownership of their land. The armed conflict does not enter the area.
Specific Objective	There will be more income.	This is our logical framework, but, what if an armed conflict was declared in the area? Everything would be disrupted and a lot of the assumptions would not be fulfilled.		
Results	Artesian wells. Agriculture. Foster the local economy.	The burst of a potential armed conflict would be considered as an external factor from a logical framework perspective, let see what it is about...		
Activities	Community organization. Products recommendation and commercialization channels. Cost-benefit study. Production demand studies.			not less in the market. at the new one. in their plans.

5

Content

External Factors





Definition



Characteristics



Checking

6

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Content

External Factors

Definition

Characteristics

Checking

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Icons: microphone, book, info, speech bubble, checklist, thumbs up.

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External Factors

Definition

What are the "External Factors"?

The External Factors are situations, events or decisions that are necessary for the success of the project, but beyond its control.

Definition

Characteristics

Checking

8

Icons: speech bubble, checklist, thumbs up.



External Factors

Definition



External Factors

- ✓ A project is dependent on a multiplicity of factors. Some of these factors are critical for the success of the project.
- ✓ When these situations are outside the control of the project we call them: Assumptions, External Factors or Hypotheses.



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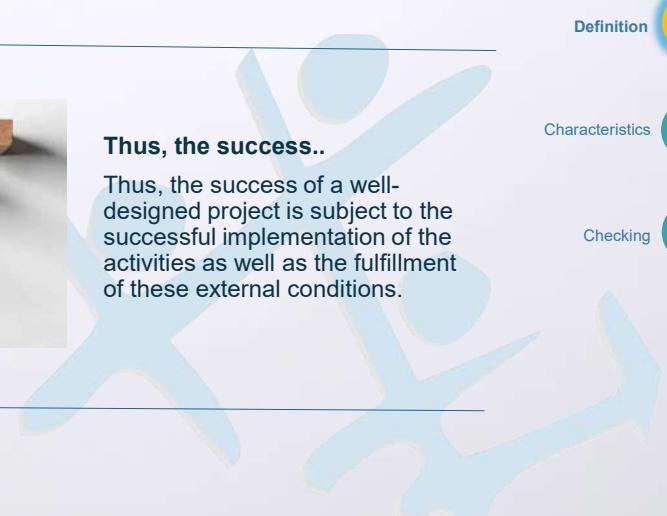
External Factors

Definition



Thus, the success..

Thus, the success of a well-designed project is subject to the successful implementation of the activities as well as the fulfillment of these external conditions.



10

 External Factors

Definition







Risks

The risk is expressed conventionally as an event or situation that must occur, to be able to continue with the next level in the hierarchy of objectives.

Risks can be financial, social, political, environmental, institutional, climatic...



11

 Content

External Factors







Definition



Characteristics



Checking





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External Factors

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Characteristics

The assumptions ...

Must be identified as early as possible

Determine the risks and the probability of success

Define the limits of responsibility for the project's success

May require a redesign or cancellation of a project if jeopardized by serious risks

Should be defined as specifically and verifiably as possible (which is often very difficult)

Definition

Characteristics

Checking

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External Factors

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Characteristics

Assumptions

An assumption is defined by the fact that it is outside the control of the project. Thus, the political or institutional context will not be alien to a project that includes advocacy activities, therefore, for a project like this, it will not be a hypothesis.

Some hypotheses appear in the problem tree as situations that can not be reversed by project activities.

Definition

Characteristics

Checking

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 External Factors

Characteristics

 Definition

 Characteristics

 Checking

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Assumptions

The decision of accepting a hypothesis or rejecting a project will depend on the nature of the intervention in terms of the level of risk that an organization is prepared to take, so:

- ✓ A low cost project with significant results could accept a higher level of risk.
- ✓ Scientific research can also work with high risk levels.
- ✓ Construction projects, for example, or public service activities can only work on very low risk levels.

 Content

External Factors

 Definition

 Characteristics

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External Factors

Checking



Checking the formulation of an assumption

- ✓ An assumption should be expressed as a desirable situation.
- ✓ It should be positioned at the correct level in the logical framework.
- ✓ No irrelevant factors should be included.
- ✓ Conditions which verge on certainties should not be included.
- ✓ An assumption should be defined in a precise and verifiable way.
- ✓ Conditions which are vital to the project's success but at the same time are considered improbable should lead to the cancellation or redesign of a project. They are called **killer assumptions**.

Definition

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External Factors

Checking



Is the assumption important?

YES

Will it hold true?

Almost certainly

Possibly

Very unlikely

NO

Do not include in the logframe

Include as an assumption

It is possible to redesign the project in
order to influence the external factor?

YES

Redesigning the project by adding Activities
or results; reformulate the Project
purpose if necessary

NO

The project may not be feasible

Definition

Characteristics

Checking

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External Factors

Checking



Often the external factors column in the logical framework matrix is poorly explained and situations that are almost certain are erroneously included.

This is because we do not put as much effort into assessing the external factors as we do for the intervention strategy.

The lack of attention to the identification of external factors prevents that alternative intervention strategies which would allow the activity to be continued in difficult or unforeseen circumstances are not explored.



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External Factors

Checking



The construction of the hypotheses must be accompanied by a strategy for managing adverse situations so that these can be overcome when they occur. It should also be understood by the project implementers, managers, funders and the beneficiary community, that not everything can be foreseen, and that things don't always go according to plan, and that everyone involved needs to contribute to finding appropriate solutions.



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External Factors
Checking

So our matrix on small farmers would be as follows ...

Definition

Characteristics

Checking

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Planning Matrix

	DESCRIPTIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	SOURCES OF VERIFICATION	HYPOTHESIS/ASSUMPTION
Overall Objective	Income Increase.			Soil fertility stays the same. The state does not legislate against farmers and the ownership of their land. The armed conflict does not enter the area.
Specific Objective	There are alternative sources income.			The new economic activities are not less productive than agriculture.
Results	Artesany, Industry, Agroindustry and Tourism are fostered.			The New Products find its place in the market. Existing industries do not boycott the new one. Tourism traders include the area in their plans.
Activities	Commercialization Study. Products recommendation and commercialization channels. Cost-benefit study. Production demand studies.	Inputs	Costs	

Definition

Characteristics

Checking

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Results-Based Management & Theory of Change

Introduction

RBM and ToC

While the Logical Framework Approach is still the best tool to design, follow-up and evaluate projects that seek immediate results and impact (emergency, humanitarian aid projects), other management tools are more appropriate for programmes that look for longer term results and the important changes in the lives of people and communities:
The Results-Based Management (RBM) and the Theory of Change (ToC)

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Content

Results-Based Management & Theory of Change

Results-Based Management

RBM Principles

RBM Key Success

Theory of Change

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Content

Results-Based Management & Theory of Change

Results-Based Management

RBM Principles

RBM Key Success

Theory of Change

4



Results-based management is...



According to UNICEF

"A management approach tool by which all actors, contributing directly or indirectly to achieving a set of results, ensure that their processes, products and services contribute to the achievement of desired results (outputs, outcomes and higher levels goals or impact)".



According to CIDA

"A means of improving the efficiency and accountability of management by involving key stakeholders in defining expected results, assessing risks, monitoring progress towards achieving these results, incorporating lessons learned into management decisions and performance reporting".



According to UNDP

"A management strategy or method applied by an organization to ensure that its procedures, products and services that contribute to the achievement of clearly defined results".



5



Results-based management



RBM

RBM provides a coherent framework for planning and strategic management by enhancing learning and accountability.

It is also a broad management strategy aimed at bringing about significant changes in the way organizations operate, with an emphasis on improving performance and achieving results.

This involves defining realistic results, monitoring progress towards the achievement of those results, integrating lessons learned into management decisions and communicating regularly about performance.

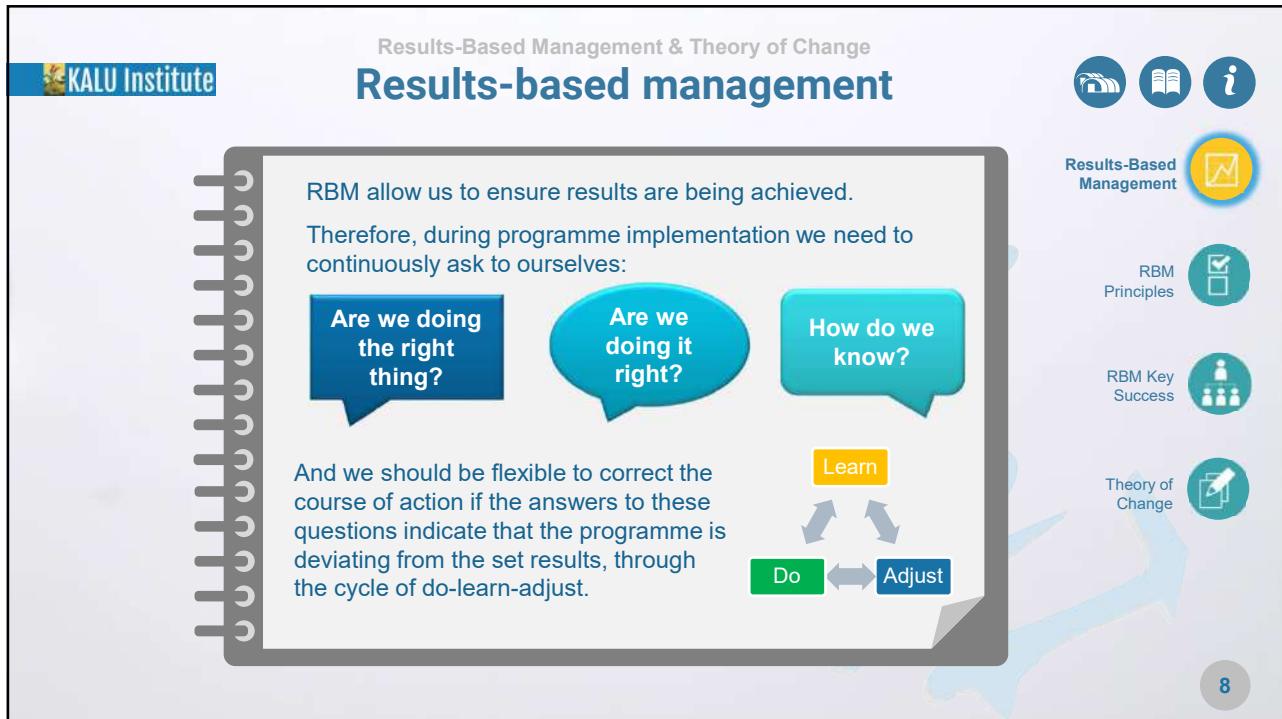
It also involves applying RBM in all programmes of the organization to stay focused on the achievement of results.

On short...

- "RBM means managing and implementing aid by focusing on desired results and using available data to improve decision-making".



6



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Results-Based Management & Theory of Change Results-based management

The diagram shows a cyclical process with three main stages: **Learn** (yellow box at the top), **Do** (green box in the middle left), and **Adjust** (blue box in the middle right). Arrows indicate a clockwise flow from Learn to Do, from Do to Adjust, and from Adjust back to Learn. The background features a faint blue silhouette of a person running.

Do, learn, adjust.

Feedback loops allow us to continuously adjust our actions, so we can build on what is working and correct what is not.

We start with a planned action, learn from it and then use what has been learned to adjust the action.

Adapted from UNICEF

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Results-Based Management & Theory of Change
Results-based management

Results-Based Management

RBM Principles

RBM Key Success

Theory of Change

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Results-Based Management & Theory of Change Results-based management

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Characteristics of RBM

1. Definition of expected results based on sound assessments.
2. Participation of stakeholders in the design of projects / programmes adapted to the needs of beneficiary groups.
3. Monitoring of results according to appropriate indicators.
4. Risk identification and management.
5. Incorporate to the decision-making process the lessons learned from experiences in the implementation of projects / programmes.
6. Preparation of reports on the results and resources deployed.

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Results-based management

Results-Based Management

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Results-Based Management

RBM Principles

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Results-Based Management & Theory of Change

Results-based management

Principles of RBM

Principles of RBM:

1. Focus on results at all stages.
2. Align planning, monitoring and evaluation with results.
3. Ensure the simplicity of measurement methods and reports.
4. Manage for, and not, by results.
5. Use feedback for learning and decision making.
6. Accountability.

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Results-Based Management & Theory of Change

Results-based management



Principles of RBM

Principles of RBM:

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Focus on results at all stages

- ✓ Dialogue and consultation with all interested parties from the beginning.
- ✓ Ownership and accountability of the planning and results management process.
- ✓ Implementation of risk assessment and management strategies.
- ✓ Ensure that all stakeholders are aware of the risks that may affect the results.



Results-Based Management

RBM Principles

RBM Key Success

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Principles of RBM

Principles of RBM:

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Align planning, monitoring and evaluation with results

- ✓ The strategies and their implementation follow directly from the expected results.
- ✓ The monitoring & evaluation indicators and strategies are logically linked to the desired effects and impacts.
- ✓ Systematic use of the same indicators throughout the execution of programs / projects to provide evidence of the performance and achieved results.



Results-Based Management

RBM Principles

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Results-Based Management & Theory of Change

Results-based management



Principles of RBM

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Ensure the simplicity of measurement methods and reports.

- ✓ The measurement and the information on the results are as accurate as possible.
- ✓ The results are measured using the indicators defined at the beginning.
- ✓ Use of risk and performance indicators to track key changes that could affect results.
- ✓ Commitment to reduce costs and avoid duplication among stakeholders (concerted definition of indicators).



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Principles of RBM

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- 4. Manage for, and not, by results.**
5. Use feedback for learning and decision making.
6. Accountability.

Manage for, and not, by results.

- ✓ The expected results are clearly defined from the start.
- ✓ Managers have the capacity, flexibility and authority to organize resources to achieve results.
- ✓ Involves a joint analysis (managers and stakeholders) to see if key targets are not reached and how to take corrective measures.



Results-Based Management

RBM Principles

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Results-Based Management & Theory of Change

Results-based management



Principles of RBM

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6. Accountability.

Use feedback for learning and decision making.

- ✓ The feedback generated by the monitoring & evaluation systems is accessible to all direct stakeholders.
- ✓ Feedback (positive or negative) is used for decision making.
- ✓ Performance evaluation and reporting takes into account contextual factors and risks.
- ✓ Managers see performance reviews as learning opportunities.



Results-Based Management

RBM Principles

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Principles of RBM

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- 6. Accountability.**

Accountability.

- ✓ The best way to increase stakeholder accountability is to jointly define and validate decision-making, as well as to clearly define each other's responsibilities.
- ✓ In this way, participation is a key element of accountability during the implementation of a project.



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Results-Based Management & Theory of Change

Results-based management

Key success factors for RBM

Key success factors for RBM:

1. Leadership.
2. Culture change for results.
3. Strategic partnership.
4. Staff incentive systems.
5. Reliable national systems: Planning-budgeting system.

Results-Based Management

RBM Principles

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Results-Based Management & Theory of Change

Results-based management



Activities \Rightarrow Results

Key success factors for RBM

Key success factors for RBM:

- 1. Leadership.**
2. Culture change for results.
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Leadership

- ✓ The success of RBM is conditioned to the degree of ownership and commitment of decision makers with a clear sense of expectations for results.
- ✓ The role of management is to establish a clear and understandable vision of the results and clear communication to the staff.
- ✓ They should provide active support and visible participation in all phases of the implementation of management for results.



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Results-Based Management & Theory of Change

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Activities \Rightarrow Results

Key success factors for RBM

Key success factors for RBM:

1. Leadership.
- 2. Culture change for results.**
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Culture change for results

- ✓ Management and staff must be held accountable for the appropriate level of achievement of results.
- ✓ Promote stakeholder participation starting by a good understanding of stakeholder perspectives and needs:
 - ✓ Facilitate access to information.
 - ✓ Stakeholders must realize that their opinions matter and that they can influence activities.
 - ✓ Take stakeholder feedback into account in management decision-making.



Results-Based Management

RBM Principles

RBM Key Success

Theory of Change

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Results-Based Management & Theory of Change Results-based management



Key success factors for RBM

Key success factors for RBM:

1. Leadership.
2. Culture change for results.
- 3. Strategic partnership.**
4. Staff incentive systems.
5. Reliable national systems: Planning-budgeting system.

Strategic partnership

- ✓ Rationalization of processes and procedures.
- ✓ Harmonization of partner activities.
- ✓ Alignment of the collective efforts of partners towards the development of joint objectives.



Results-Based Management

RBM Principles

RBM Key Success

Theory of Change

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Results-Based Management & Theory of Change Results-based management



Key success factors for RBM

Key success factors for RBM:

1. Leadership.
2. Culture change for results.
3. Strategic partnership.
- 4. Staff incentive systems.**
5. Reliable national systems: Planning-budgeting system.

Staff incentive systems

- ✓ Delegation of authority to responsible staff.
- ✓ Change of the incentive system to favour activity and processes rather than achievements and results.
- ✓ Focus on staff training and development.



Results-Based Management

RBM Principles

RBM Key Success

Theory of Change

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Results-based management



Key success factors for RBM

Key success factors for RBM:

1. Leadership.
2. Culture change for results.
3. Strategic partnership.
4. Staff incentive systems.
- 5. Reliable national systems: Planning-budgeting system.**

Reliable national systems: Planning-budgeting system

- ✓ Clarity of strategic orientations and institutional frameworks.
- ✓ Budget allocations reflect strategic priorities.
- ✓ Expenses consistent with the approved budget.
- ✓ Harmonized tools / data: availability of harmonized strategic information for programmatic-oriented decision making.



Results-Based Management

RBM Principles

RBM Key Success

Theory of Change

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Results-based management



The Results Chain

In RBM, results and actions needed to achieve them are linked together into what is commonly referred to as a Results Chain.

Results Chains describe a programme over time, from planning through results.



Results-Based Management

RBM Principles

RBM Key Success

Theory of Change

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Results-based management



The Theory of Change

The underlying logic of a Results Change is described by the **Theory of Change (ToC)** that tries to determine why and how the achievement of one level of results contributes to the next level of results. It also specifies the risks and assumptions that could hinder or facilitate the intended changes.

ToC is a tool better adapted for Strategic Planning while the traditional LF Approach is rather to be used for Operational Planning.



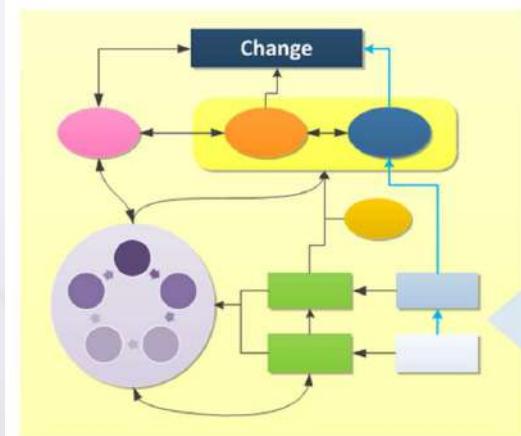
- Results-Based Management
- RBM Principles
- RBM Key Success
- Theory of Change

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Results-based management

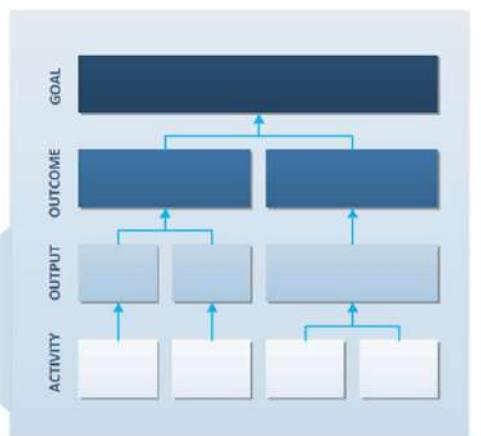


Theory of Change



Shows the big picture with all possible pathways
Messy and complex.

Logical Framework



Shows just the pathway that your program deals with
Neat and tidy.

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Theory of Change



Strategic planning

Strategic VS Operational

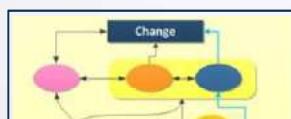
Operational planning

Strategic planning is the process of deciding where an organization wants to get to and why, then choosing from the different courses of action available to ensure the best chance of getting there. It helps an organization to define a clear way forward in response to emerging opportunities and challenges, while maintaining coherence and long-term sustainability. It guides the overall direction of an organization by defining its vision and mission and the goals or strategic objectives necessary to achieve them. The strategic objectives should be linked to prioritized sectors of intervention based on the capacities of the organization and partners and should include a time-frame and outline evaluation mechanisms. Strategic planning also includes choosing and designing a framework which sets out the best courses of action to achieve the stated objectives.

Operational planning is the process of determining how the objectives spelt out in the strategic plan will be achieved "on the ground". This is done by working through a series of activity-results steps, identifying or refining more detailed objectives at each level, linked to the objectives in the strategic plan. These objectives can then be grouped and organized into "plans", "programmes" and "projects". Operational planning usually covers the short term (roughly, between several months and three years).

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Theory of Change



Theory of Change

The **relation** between strategic and operational planning is a cyclical process: The experience from operational planning is used to inform strategic planning; and strategic planning then informs the general direction of operational planning. Operational plans are often made up of several "programmes", which are in turn made up of several "projects". Projects and programmes consist of several activities, which are the smallest elements for which we plan.

- Some organizations, especially in the development field or in programs that look for long-term goals, use the TOC as complementary or even alternative to the LF.
- TOC thinking is viewed as encouraging a broader view for change beyond the immediate programme that encompasses the realities of the context – social, political, technical and environmental.
- TOC thinking is not straight-forward as the simplicity of the traditional activities-results-goal chain, but arguably allows more elements from the real world to be explored and included in the analysis of a change process. This is why working in political impact for change at social and political level (advocacy) is becoming increasingly important for humanitarian organizations.
- The TOC seeks rather long-term results and therefore cannot be approached as a purely technical methodology like the LF. It works more in the "big picture", so that assumptions, risks, and external factors are much more important in the analysis than in the LF approach.

Results-Based Management



RBM Principles



RBM Key Success



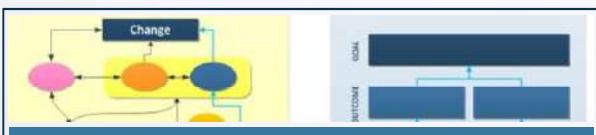
Theory of Change



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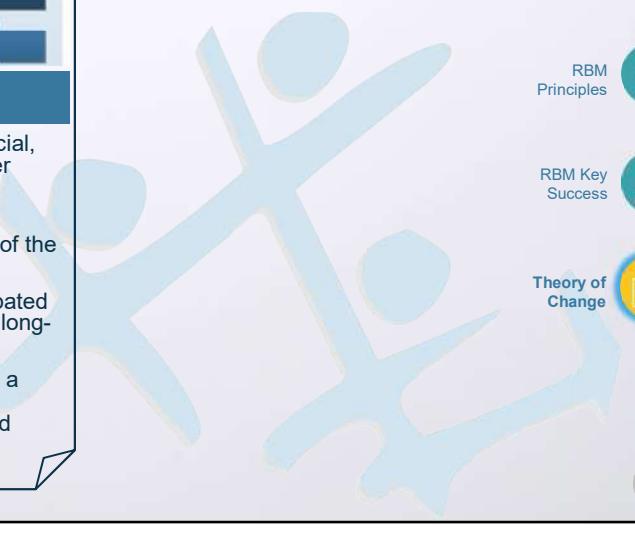
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Results-Based Management & Theory of Change Theory of Change



Key concepts and theories of TOC

- ✓ Beyond project objectives the TOC includes social, political and environmental conditions, and other actors able to influence change.
- ✓ Supports long-term change for all people that ultimate benefit beyond the direct beneficiaries of the program.
- ✓ Identifies the sequence of change that is anticipated in order to create the conditions for the desired long-term outcome.
- ✓ Analyzes how these changes might happen, as a check on whether the activities and outputs are appropriate for influencing change in the desired direction in the given context.

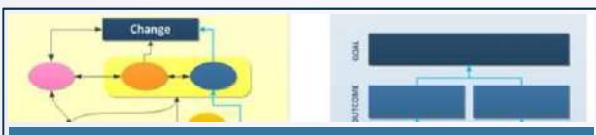


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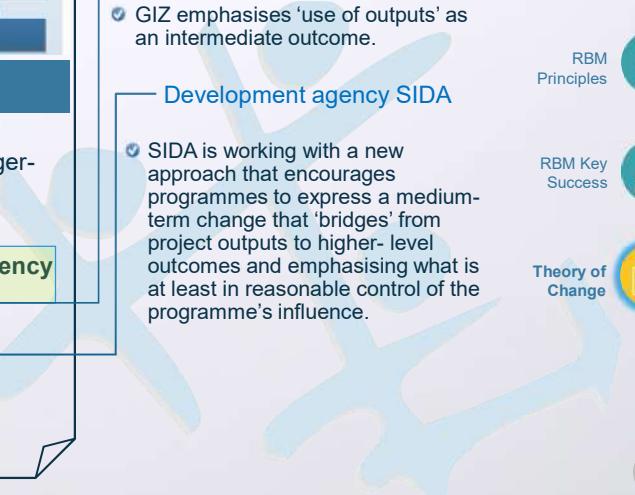


Theory of Change

Some donor agencies are adapting their logical framework planning approaches looking for longer-term impact in their funded projects.

For example:

- ✓ **The German development cooperation agency GIZ.**
- ✓ **Swedish development agency SIDA.**



- Cooperation agency GIZ**
- GIZ emphasises 'use of outputs' as an intermediate outcome.
- Development agency SIDA**
- SIDA is working with a new approach that encourages programmes to express a medium-term change that 'bridges' from project outputs to higher-level outcomes and emphasising what is at least in reasonable control of the programme's influence.

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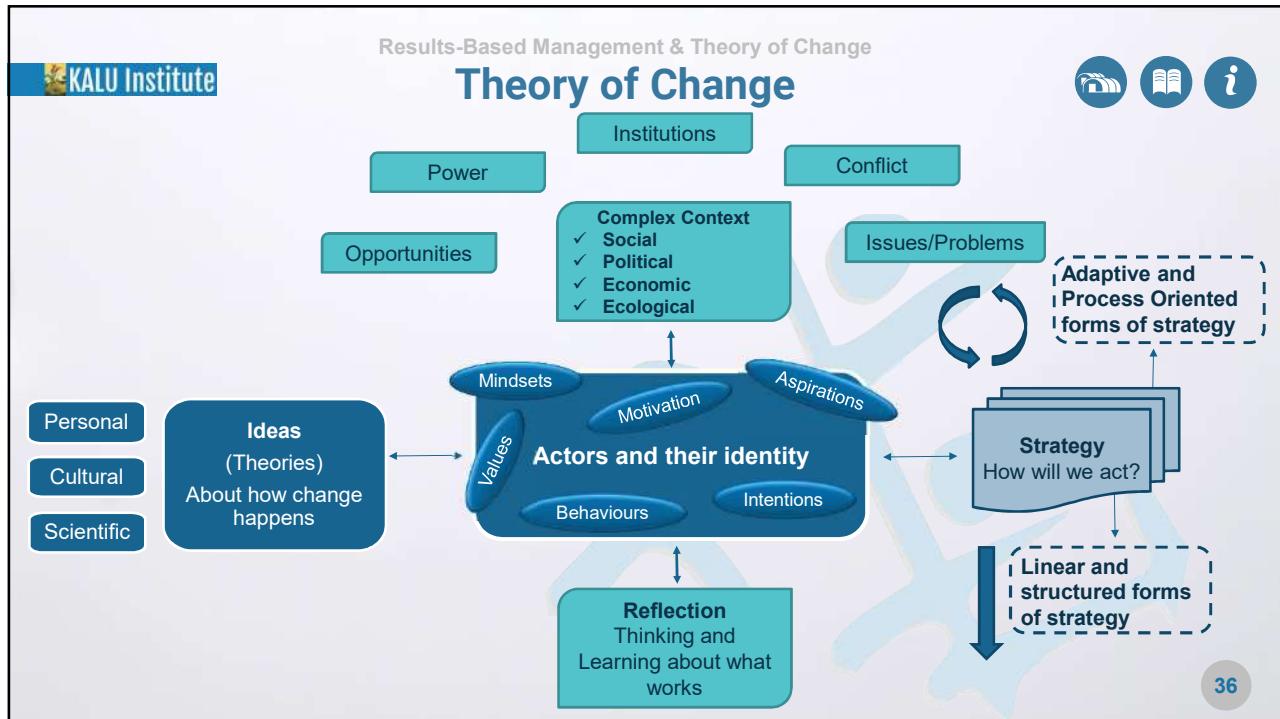
Results-Based Management & Theory of Change

Theory of Change



"The theory of change explains how you see the world, and how change happens and how you are going to intervene based on that understanding. The log-frame then becomes a management and measurement tool for making resource decisions. It is good for defining success but not for defining reality".

Julian Barr, ITAD

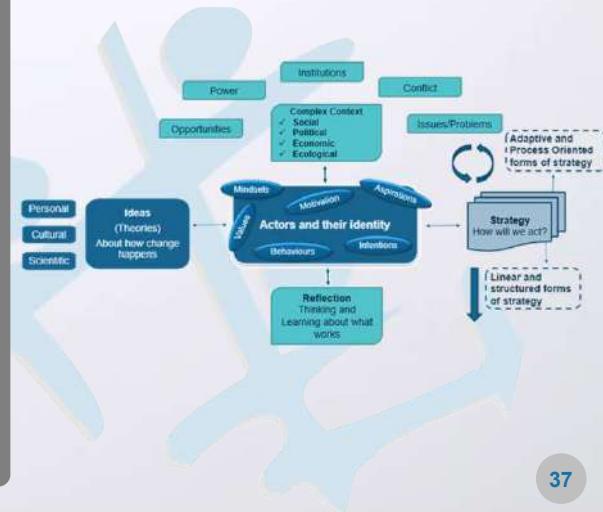


Theory of Change



To get beyond superficial theories of change, theory of change thinking cannot be approached as purely a technical methodology. It involves activating people's deeply-held beliefs and worldviews, personal as well as organizational motivations for improving the world through their work.

One method is to view the ToC as involving **five dimensions of change**.



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Theory of Change



Results-Based Management



RBM Principles



RBM Key Success



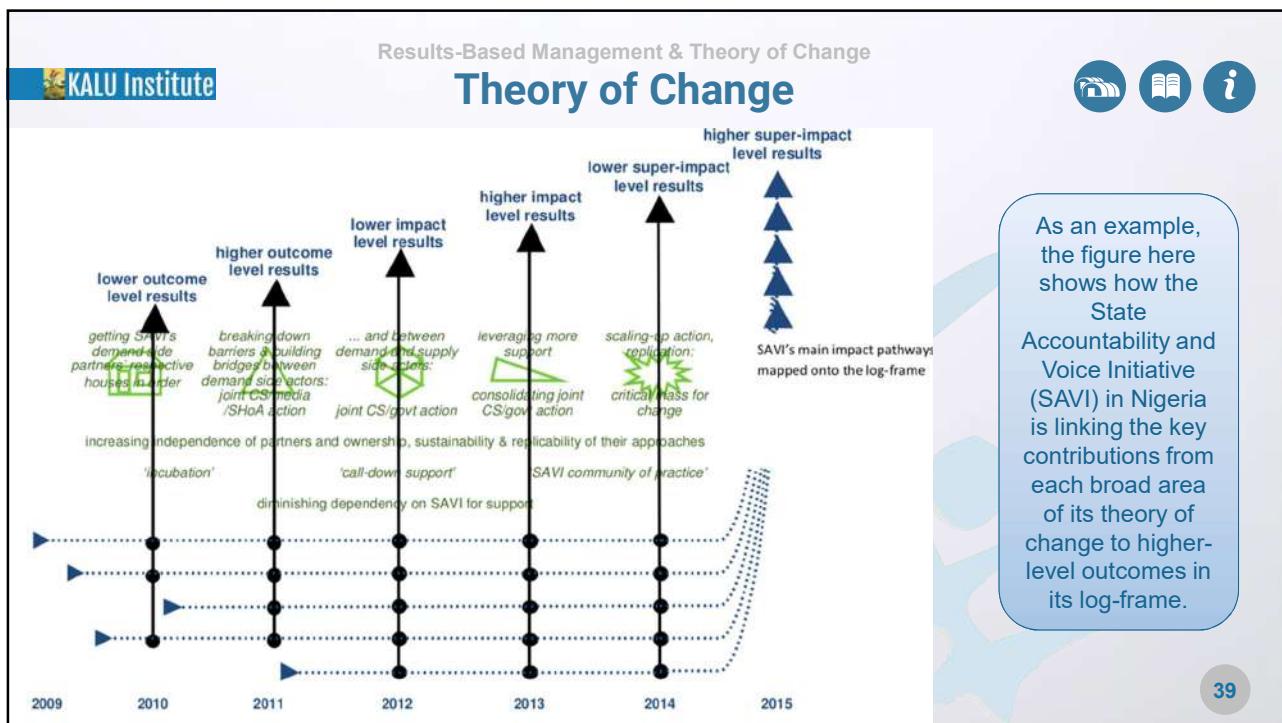
Theory of Change



Five Dimensions of Change

1. The actors (individuals or groups) who are trying to bring about change.
2. The context or situation that influences the actors and which they are trying to change.
3. The ideas or theories that influence the actors when they consider how to act in a certain situation.
4. The strategic plan that describes the reasons and provides a framework for taking particular action.
5. The reflection and decision-making processes that help actors to develop strategy, review success and failure and make improvements to the strategy.

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Alberto Martos Sauquillo, President of Proyecto KALÚ

HEREBY CERTIFIES THAT:

Omar Saleh Abdullah Al-hajj

has completed the course "**Project Management I: Logical Framework Approach**" which includes the following contents:

- The Logical Framework Approach.
- The Project Cycle, Indicators and external factors.
- The Results-Based Management (RBM) and the Theory of Change (ToC).

This is a 100 hours continuing education course, and was given with an e-learning methodology. This course was completed on 7 October 2021 .



**Alberto Martos
President**