Module Two
Research Project Execution and Available Tools

Part 2
Project Execution Tools
Results-Based Management of Projects & The Logical Framework Approach
RESULTS BASED MANAGEMENT

What is Results Based Management (RBM)

RBM is a management strategy 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 impact).

What is a result and a risk?

In the context of the Grants:

A result is the output, outcome or impact of a development intervention.

A risk is an event that may occur and impede the objective.
RBM and Logical Framework Approach (LFA)

- The LFA is an RBM tool used for systematic planning, implementing, monitoring, and evaluating projects/programmes.
The Logical Framework Approach (i)

Features of LFA:

- stakeholder involvement
- needs-based approach
- logical intervention approach
- framework for assessing relevance, feasibility and sustainability
The Logical Framework Approach (ii)

Features of LFA:

• results-oriented - not activity driven
• logically sets objectives and their causal relationships
• shows whether objectives have been achieved: Indicators (for M&E)
• describes external factors that influence the project’s success: assumptions and risks
LFA Key Features

Main steps:

- Stakeholder Analysis
- SWOT Analysis
- Problem Tree Analysis
- Objective Tree Analysis
- Logical Framework Matrix
- Monitoring and evaluation
Stakeholder Analysis

Stakeholder is any individuals, group or organization, community, with an interest in the outcome of a programme/project.
Stakeholder Analysis

Purpose: To identify:

- The needs and interest of stakeholders
- The organizations, groups that should be encouraged to participate in different stages of the project;
- Potential risks that could put at risk programme;
- Opportunities in implementing a programme;
SWOT Analysis (i)

Purpose:

• To assess the performance and capacity of the participating units, divisions of organization.

• Each participating unit has to undertake SWOT analysis.
SWOT Analysis (ii)

- SWOT analysis is a tool for institutional appraisal and a brainstorming exercise in which the representatives of the organization participate fully.
SWOT Analysis (iii)

SWOT stands for:

• **Strengths** - the positive internal attributes of the organisation

• **Weaknesses** - the negative internal attributes of the organisation

• **Opportunities** - external factors which could improve the organisation’s prospects

• **Threats** - external factors which could undermine the organisation’s prospects
Problem Tree Analysis

Purpose:
- to identify major problems and their main causal relationships.

Output:
problem tree with cause and effects
Steps in Undertaking Problem Tree

1. Identify the major problems that the project will address. State problems in negative manner.

2. Group problems by similarity of concerns.

3. Develop the problem tree:
   a) Select a focal problem from the list and relate other problems to the focal problem.
   b) If the problem is a cause of the focal problem it is placed below the focal problem.
   c) If the problem is an effect of the focal problem it goes above.
Problem Tree

Effects of the Focal Problem

Focal Problem

Causes of the Focal Problem

EFFECT

CAUSE
Analysis of Objectives

• Transforming the problem tree into an objectives tree by restating the problems as objectives.
• Problem statement converted in to positive statements
• Top of the tree is the end that is desired
• Lower levels are the means to achieving the end.
Objectives Tree

Overall Objective

Purpose

Component 1
- Result 1.1
  - Activity 1.1.1
  - Activity 1.1.2
  - Activity 1.1.3
  - etc
- Result 1.2
  - Activity 1.2.1
  - Activity 1.2.2
  - Activity 1.2.3
  - etc
- Result 1.3
  - etc

Component 2
- Result 2.1
  - Activity 2.1.1
  - Activity 2.1.2
  - Activity 2.1.3
  - etc
- Result 2.2
  - etc

Component 3
- Result 3.1
  - etc

Ends

Means
The relationship between the problems tree and the objective tree

PROBLEM TREE
• Focal problem
• Effects
• Causes

OBJECTIVE TREE
Project Purpose
Overall Objectives
Results
Strategy Analysis (i)

- The aim of strategy analysis is division of the objectives tree into more consistent smaller sub-units that may, compose the core for a project.
- Each of the sub-units of the objective tree can represent an alternative strategy for the future project.
- The project objectives set the framework for the strategy of the project.
Strategy Analysis (ii)

Criteria for selection of the project strategy:

1. RELEVANCE: the strategy corresponds to the needs of the stakeholders.

2. EFFECTIVENESS: the lower level objectives of the strategy will contribute to achievement of the project purpose.

3. EFFICIENCY: cost-effectiveness of the strategy in transforming the means into results.

4. CONSISTENT with development policies

5. SUSTAINABILITY of the project

6. ASSUMPTIONS and RISKS
The Logframe Matrix

• The main output of the LFA is the logframe matrix.

• The Logical Framework Matrix is used to present information about project objectives, outputs and activities in a systematic and logical way.

• The basic Logframe matrix contains 16 cells organized into 4 columns and 4 rows, as indicated in the next slide:
<table>
<thead>
<tr>
<th>Objectives &amp; activities</th>
<th>Indicators</th>
<th>Means of verification</th>
<th>Assumptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Goal (Impact)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Purpose/ (Outcome)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Outputs</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Activities</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Means**

**Cost**

**Pre-conditions**

What needs to be fulfilled before activities can start
Assumptions (i)

• Describe necessary internal and external conditions in order to ensure that the activities will produce results

• Assumptions are risks, which can jeopardize the success of the project

• Are worded positively, i.e. they describe circumstances required to achieve certain objectives
Assumptions (ii)

- 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
Assumptions (iii)

• Example of Assumptions for the Goal and Purpose:
  - Political - stability of NSO and government staff
  - Economic - sustainable economy
  - Etc.
Assumptions (iv)

- Example of Assumptions:
  - Adequate funds materials.
  - Skilled people - training needs.
  - Approvals & contracts - legal, administrative.
  - Participation of stakeholders.
The logical framework

- Impact
- Outcome
- Outputs
- Activities
- Assumptions
- Assumptions
- Assumptions
- Assumptions
Indicators (i)

- Indicators measure to verify to what extent the results are achieved.
- Specify how the achievement of an objective can be verified or demonstrated.
- Provide a basis for Monitoring and Evaluation.
- 3 Dimensions of Indicators
  - Quantity
  - Quality
  - Time
EXAMPLES OF INDICATORS

**Example 1:**
 Outcome: Improved health status of young children in region/district X

**Indicator:** Percentage of children under 6 years who are immunized against x y z diseases in district A

**Example 2:**
 Outcome: Increased participation of worker’s organisations in policy development

**Indicator:** Number of cases in which the submitted comments of worker’s organisations on draft legislation are reflected in final legislation
Indicators (ii)

<table>
<thead>
<tr>
<th>Logframe objective terminology</th>
<th>Indicator terminology</th>
</tr>
</thead>
<tbody>
<tr>
<td>Overall objective</td>
<td>Impact indicators</td>
</tr>
<tr>
<td>Purpose</td>
<td>Outcome indicators</td>
</tr>
<tr>
<td>Result</td>
<td>Output indicators</td>
</tr>
</tbody>
</table>
Means of Verification

• Tools or means to obtain the information required by the indicators

• Include:
  - project documents
  - field verification
  - ad-hoc studies
Results Chain & Logical Framework Matrix

RBM
- Result
- Result
- Result

LFA
- Goal/Impact
- Purpose/Outcome
- Output
- Activities
Example – Renewable Energy

Objective (pre-defined)

Expected outcome(s) (pre-defined)

Outputs

Types of projects

- Modernised RES infrastructure
- R&D on RES
- Feasibility of RES mapped out in relation to local conditions
- Training in RES planning competence
- Plans/policy development
- Windmills
- Solar systems
- Hydropower
- Bioenergy
- Awareness raising campaigns at local level
- Train the trainers
- Training courses for officials at regional level
- Training courses for officials at regional level
- Training courses in RES provided to officials at local and regional level
Monitoring and Evaluation

- Based on the logical framework
- Strengthens accountability and transparency
- Provides information for effective management
- Helps determine what works well and what requires improvement
- Builds knowledge
Purpose of Monitoring and Evaluation

It is the continuous process of collecting, processing and assessing information about the:

– Project implementation
– Project progress
– Project impact and effects
– Project environment