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From Policy to Action

Strategic Planning

July 28, 2016

Workshop on Sectoral Planning
Kenya School of Government, Nairobi

PPT #4



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Presentation Outline

- Strategic Planning: its origins and advantages
- Strategic Integrated Development Planning
- Tools for Strategic Development Planning



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Strategic Planning

- **Adapted** to public sector from corporate/private sector where it originally developed some 30 years ago
- **Several versions** (more or less sophisticated/detailed) of the strategic planning process have been advanced, but common basic steps include:
 1. Scan the Environment (opportunities and threats)
 2. Select key (strategic) issues
 3. Clarify mandate and mission and set broad goals
 4. Undertake external and internal analysis (strengths and weaknesses)
 5. Develop goals, objectives and strategies with respect to each issue
 6. Develop an implementation plan to carry out strategic actions
 7. Monitor, update and scan



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Strategic Planning (continued)

Critical differences with traditional public sector planning (comprehensive/long-range/master planning). SP:

- Is better linked with the local-level decision making processes, and oriented toward action/results
- Promotes broader and more diverse participation and “out of the box” thinking in strategy making
- More emphasis on understanding external (regional/national/global) environment in which community operates
- Emphasizes assessing internal community/LG strengths and weaknesses against their environment



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Strategic Planning (continued)

- SP refers to both a **Strategic community-wide Plan** (a communitywide strategy based on a strategic Vision) and a **Strategic LG Agenda**(LG/corporate strategic plan)
- A Strategic Vision is **a description of the preferred future**. It reflects its relationship to the world and domestic economies, its history, its people, and its physical form.
- A community-wide **strategic vision and plan** is not the LG **strategic plan**. LG is only one player in the local arena. (Others : other levels of government, academia, non-government organizations, interest groups, community groups etc.)
- The LG plan should then be developed in response to the communitywide Strategic vision.



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What are the advantages of a strategic plan ?

A strategic plan has several advantages:

- It encourages stakeholders to invest and behave **according to a vision**, effectively pulling in one direction—getting priorities right is crucial to success;
- It cost-effectively allocates resources to **a few key strategic areas**;
- It helps a locality **anticipate future shocks** and rapidly changing contexts (the risk environment) and raises its understanding of how stakeholders would respond under various scenarios
- Moves away from the shopping/wish list approach



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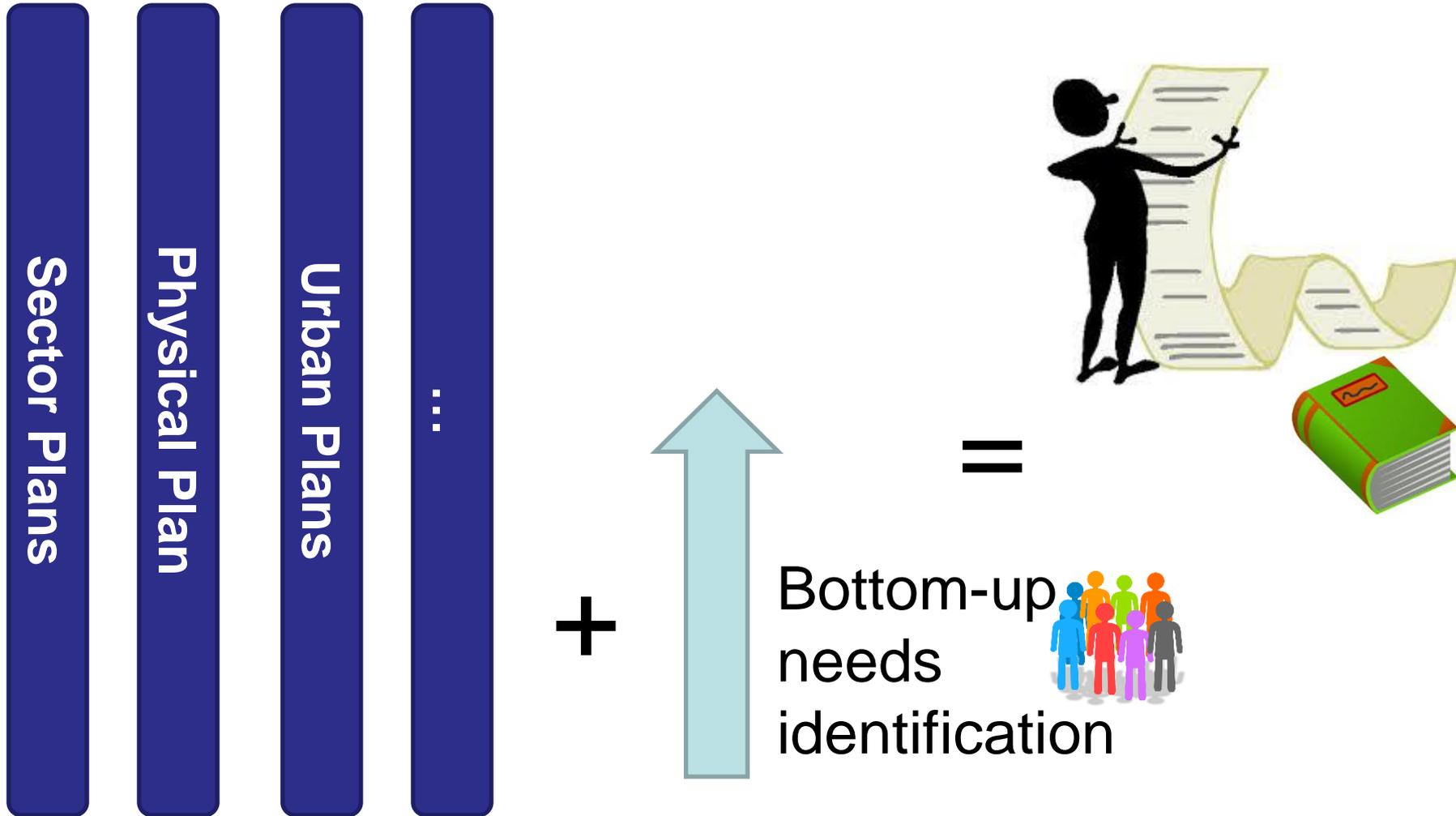


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Strategic integrated development planning

What is an integrated development plan?

Is it just the sum/compilation of all plans and needs?





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Integrated Development Plan: differences in definitions

- “A participatory approach to integrate economic, sectoral, spatial, social, institutional, environmental and fiscal strategies in order to support the optimal allocation of scarce resources between sectors and geographical areas and across the population in a manner that provides sustainable growth, equity and the empowerment of the poor and the marginalized” (*Forum for Effective Planning and Development (FEPD), 1995, South Africa*)
- “A process through which efforts at national and devolved levels of government and other relevant public institutions are coordinated at local level, and through which economic, social, environmental, legal and spatial aspects of development are brought together to produce a plan that meets the need and targets set for the benefit of local communities”. (*CIDP Guidelines, Kenya, 2013*)



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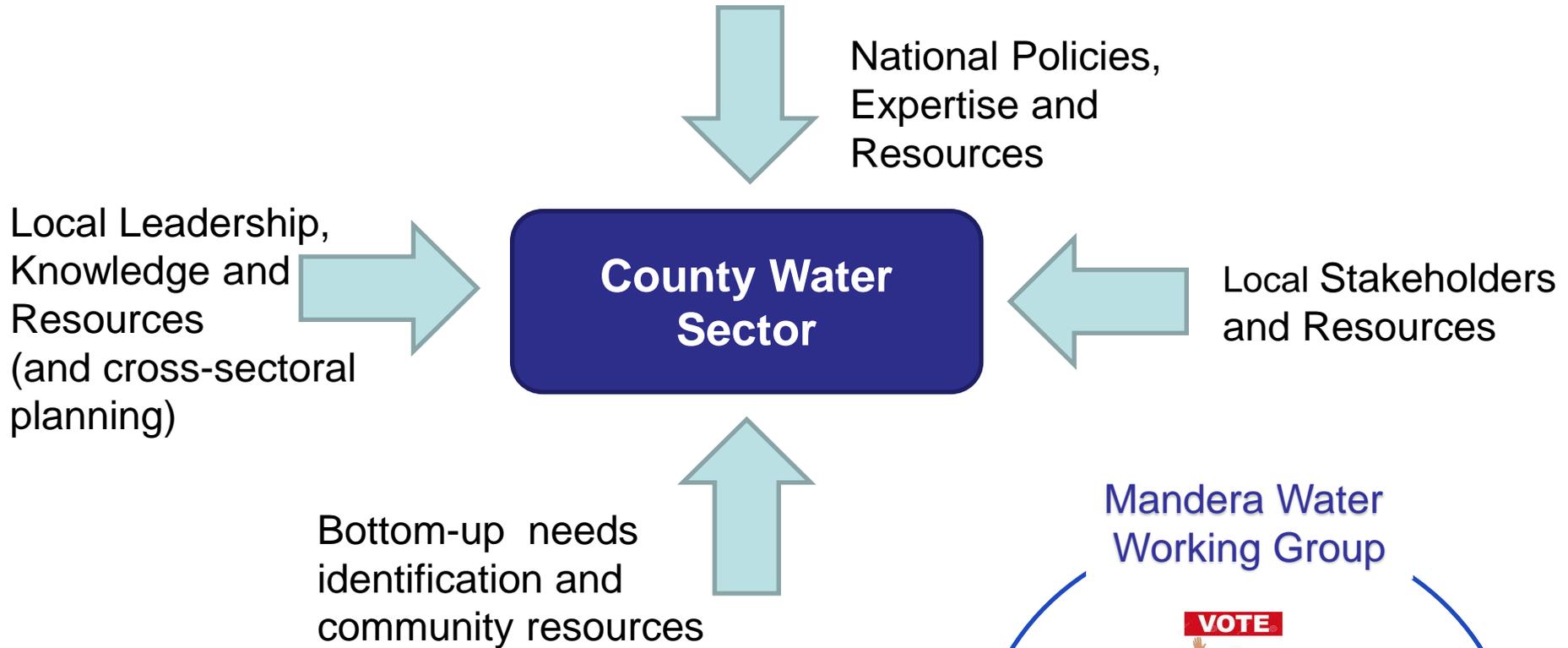


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Integrated Development Plan: a “local” thing

- The “local” level is progressively seen as the place of integration across sectors and stakeholders
- Extremely complex process, particularly in low capacity, low resources environments (LDC) that often present conflicting institutional mandates
- Yet, this is consistent with most recent evolution of thinking and practice of development planning as well as the interpretation of local/territorial development.

What real integration can look like at the county level



The best way to achieve this is by having active, effective **Sector Working Groups**





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Tools for Strategic Planning

- The SWOT Analysis for the identification of local development strategies
- The Means-End Analysis for formulation and selection of local development strategies
- The Logical Framework for detailed design of programs/projects called for by the local development strategies

Strategic Planning: Translating Vision into Action





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Situation Analysis and Strategy Selection

- Planning is at the same time technical and political; only the right balance between these two dimensions will make it a meaningful exercise
- Different perspectives enrich the process, it is important to find a way to allow participation and limit “elite capture”
- Some methodologies can be powerful tools to achieve the right balance and capture multiple perspectives



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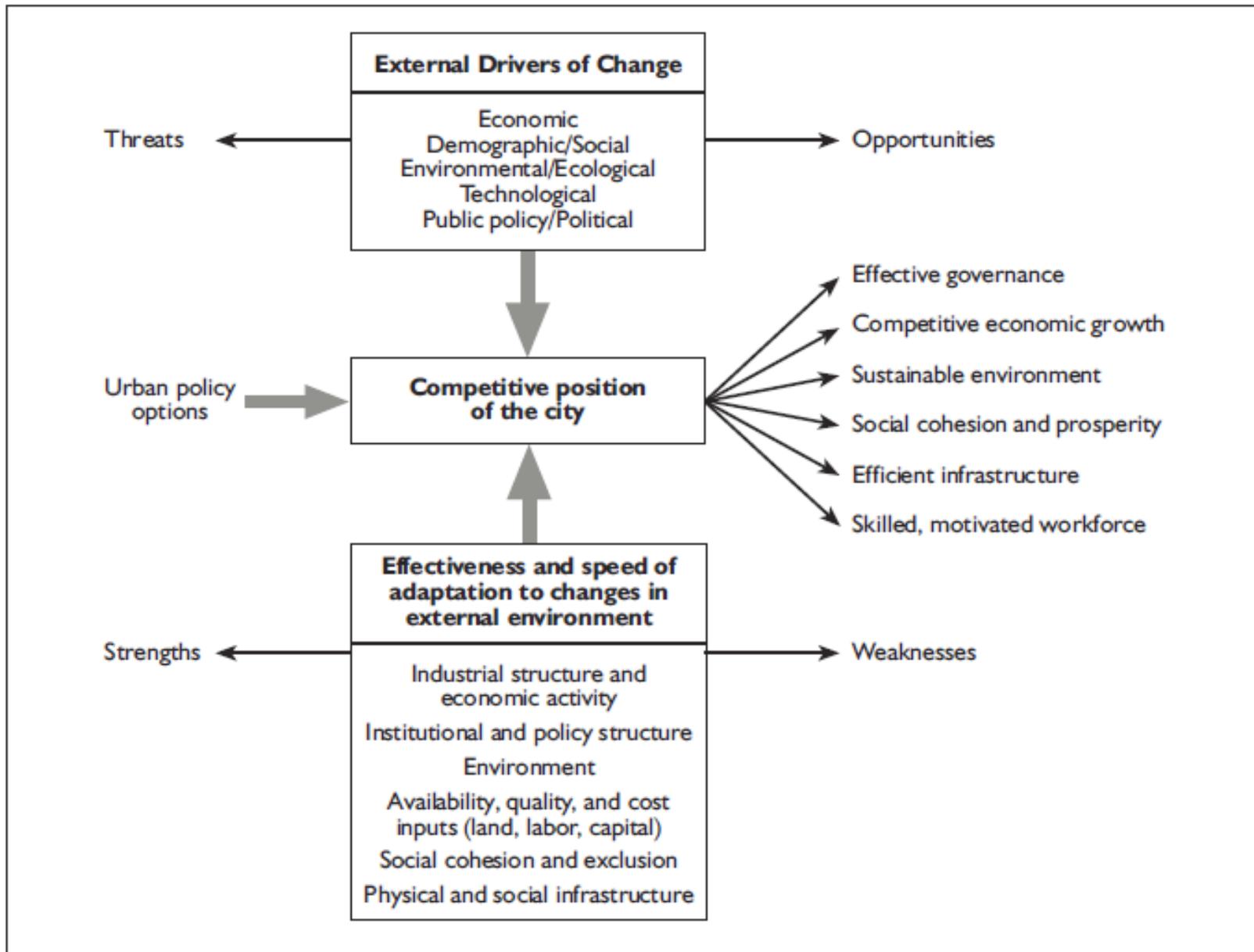


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SWOT Analysis

- The SWOT Analysis is one of the most useful tools in translating a goal into strategy(ies)
- It's rather simple to understand and use
- Allows for participation and for technical facilitation of an inherently political process (balance)
- Combines the situation analysis (environmental scan) with strategy selection
- **SWOT** stands for **S**trengths **W**eaknesses **O**pportunities and **T**hreats

Framework for SWOT Analysis



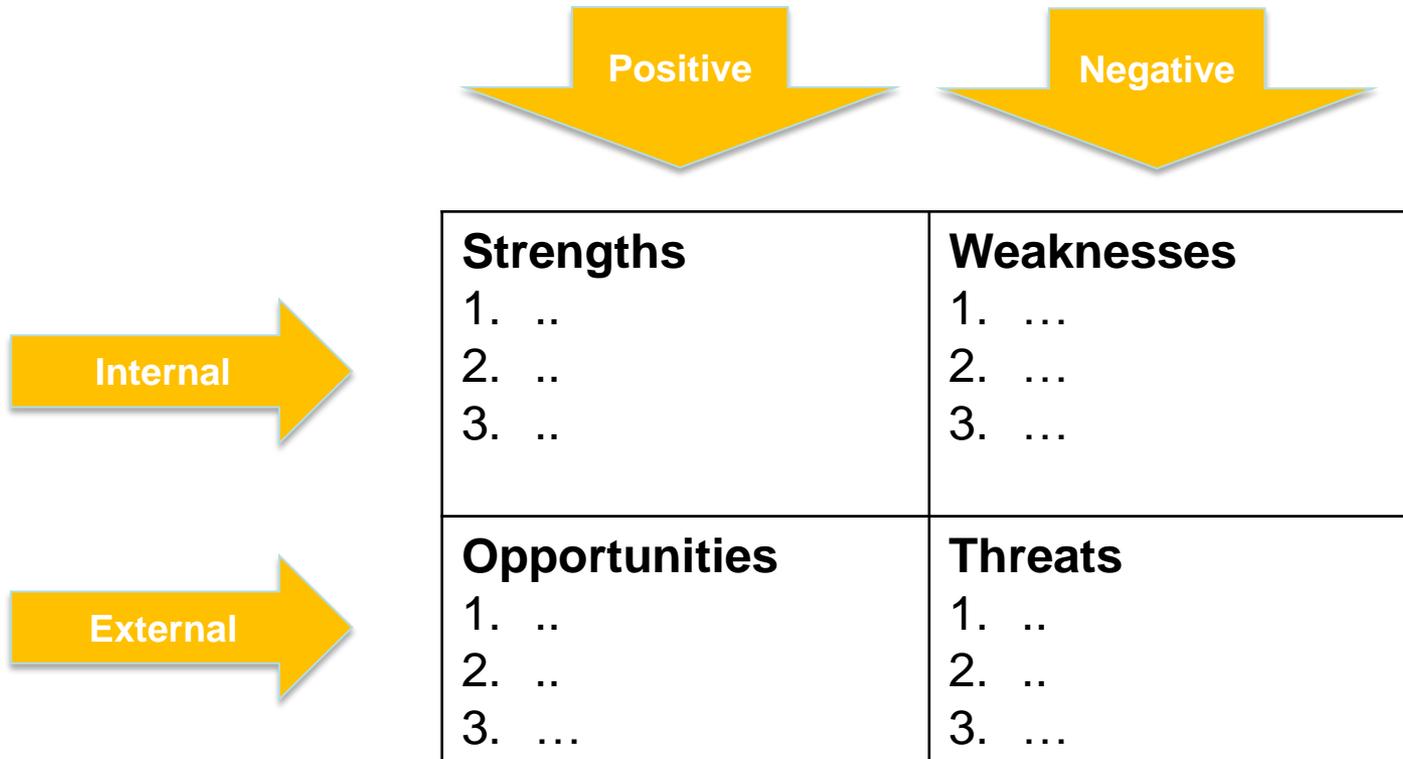


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SWOT Matrix





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Filling the SWOT matrix

- How the different factors (internal/external, positive/negative) are identified is key to the success of the exercise
- You always need the right mix of stakeholders involved in the exercise
- Can be done through simple brainstorming but when power or participation imbalances are present (which is almost always) it needs to be facilitated



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Examples of SWOT identified in local strategic planning exercises

Strengths

- Strong political leadership
- National center for tertiary education
- Reliable water supply system
- Considerable areas of vacant public land
- Extensive greenery and public open spaces

Weaknesses

- Traffic congestion
- Poor inefficient public transport
- Ineffective solid waste management
- Inefficient system of city revenue collection
- Poorly skilled labor force

Opportunities

- Newly liberalized manufacturing tariff structure
- More children participating in tertiary education
- Competitive labor market

Threats

- Change in government investment policy
- National economic downturn
- Increasing migration of rural poor to the city without employment
- Increasing incidence of HIV/AIDS



Finding the strategy

	Opportunities 1. .. 2. ..	Threats 1. .. 2. ..
Strenghts 1. .. 2. ..	<p><i>“Max-Max” Strategy</i></p> <p>Strategies that use strenghts to maximize opportunities</p>	<p><i>“Max-Min” Strategy</i></p> <p>Strategies that use strenghts to minimize threats</p>
Weaknesses 1. .. 2. ..	<p><i>“Min-Max” Strategy</i></p> <p>Strategies that minimize weaknesses by taking advantage of opportunities</p>	<p><i>“Min-Min” Strategy</i></p> <p>Strategies that minimize weaknesses and avoid threats</p>



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Strategies can also be classified in terms of timeframe by which results can be expected:

	Opportunities 1. .. 2. .. 3. ...	Threats 1. .. 2. .. 3. ...
Strengths 1. .. 2. .. 3. ..	Short-term Strategies	Medium-term Strategies
Weaknesses 1. ... 2. ... 3. ...	Medium-term Strategies	Long-term Strategies



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In selecting a strategy...

...there are questions to be asked:

1. Does the **strategy** adequately address this specific combination of internal and external factors ?

2. Can we identify **key components** of the strategy?

3. And what are the **chances and risks** inherent in this strategy/approach ?

- This process requires a certain level of creativity
- The effort should be guided by the simple logic that in each of the four fields, the respective strategy will somehow require to **work on the internal aspects in order to cope with the external ones.**
- Multiple SWOT analysis exercises framed by the vision, informed by the diagnostic work and **focused on a specific sector or issue** are more effective than a single and too broadly framed exercise



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An example from Peruvian Municipalities : Diagnostics (WSS)

- Rural municipalities had **insufficient funds** for supplying water and sanitation services.
- The municipalities had **little management capacity** for obtaining funds additional to those transferred from the central government for the provision of WSS.
- There was **poor community participation** in the management of water and sanitation services.
- The local **water boards were poorly organized** to deal with the administration, operation and maintenance of the services.
- Not enough families were practicing **habits of hygiene**.
- Weak **follow-up** on water boards by the municipalities.
- Weak role of the health sector in **surveillance** of water quality.



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Strategic Planning of WSS in Peruvian Municipalities : Vision, Mission, Goals

Vision of the municipality:

- The municipality has strong local institutions and organizations which operate for the sustainable management of the water and sanitation services; its population is environmentally aware and this is reflected in a better quality of life in both rural and urban areas.

Mission of the municipality

- The municipality cooperates with national and local actors involved in the delivery of Water Supply and Sanitation (WSS) services, delivers water and sanitation services in the urban area and enables, through technical and financial assistance, community water boards to extend the coverage and improve the quality of WSS services in rural areas

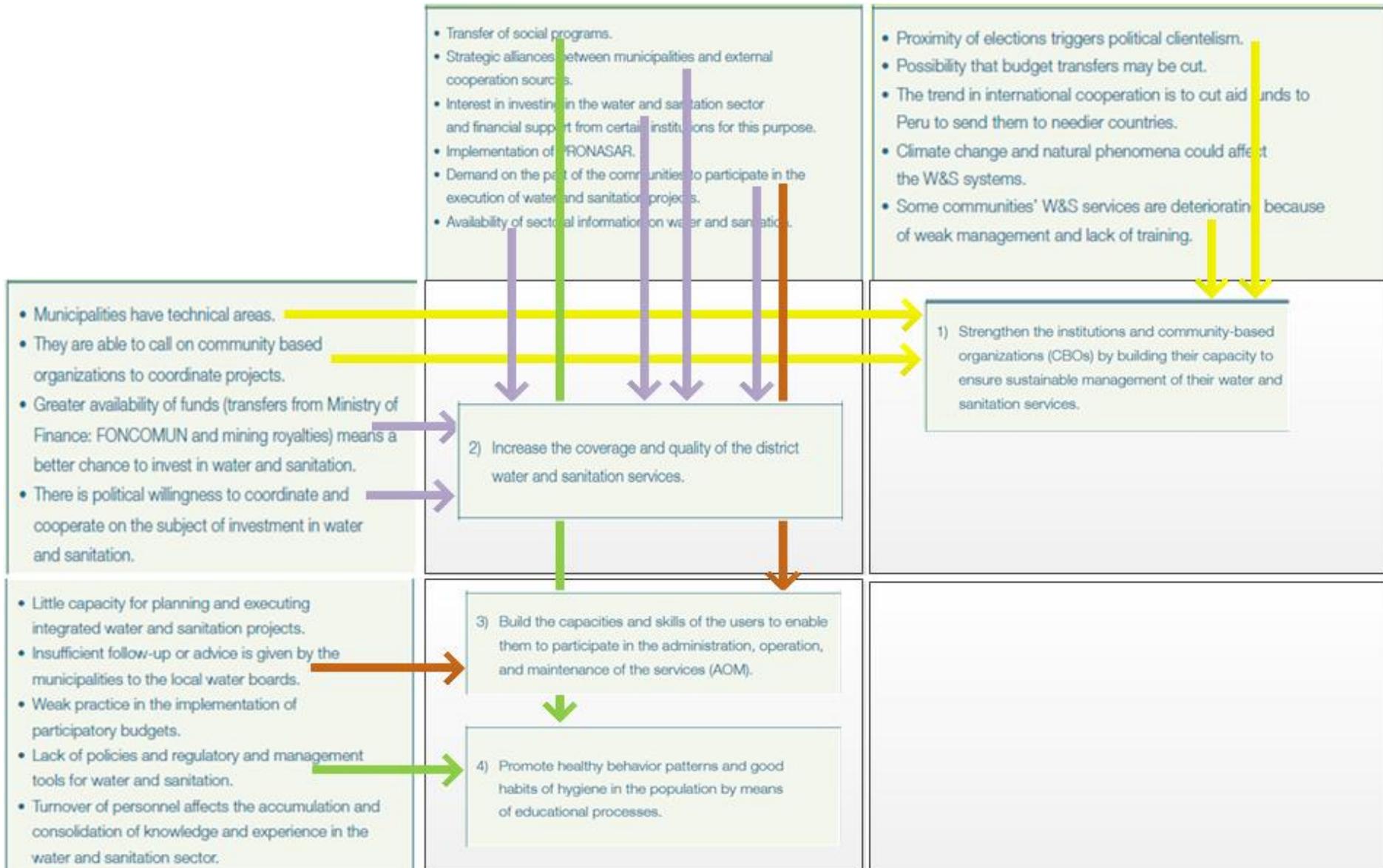
Goals of the municipality

- An **adequate and well maintained infrastructure** for delivery of WSS services in urban and rural areas
- Effective and efficient **municipal and community institutions** for sustainable Operation and Maintenance of the WSS services
- An urban and rural population adopting a WSS-related **healthy behavioral practices**
- **Engaged communities** contributing to planning , implementing and overseeing the operation of WSS programs and projects

Strategic Planning of WSS in Peruvian Municipalities : SWOT Analysis

STRENGTHS	THREATS
<ul style="list-style-type: none"> • Municipalities have technical areas. • They are able to call on community based organizations to coordinate projects. • Greater availability of funds (transfers from Ministry of Finance: FONCOMUN and mining royalties) means a better chance to invest in water and sanitation. • There is political willingness to coordinate and cooperate on the subject of investment in water and sanitation. 	<ul style="list-style-type: none"> • Proximity of elections triggers political clientelism. • Possibility that budget transfers may be cut. • The trend in international cooperation is to cut aid funds to Peru to send them to needier countries. • Climate change and natural phenomena could affect the W&S systems. • Some communities' W&S services are deteriorating because of weak management and lack of training.
WEAKNESSES	OPPORTUNITIES
<ul style="list-style-type: none"> • Little capacity for planning and executing integrated water and sanitation projects. • Insufficient follow-up or advice is given by the municipalities to the local water boards. • Weak practice in the implementation of participatory budgets. • Lack of policies and regulatory and management tools for water and sanitation. • Turnover of personnel affects the accumulation and consolidation of knowledge and experience in the water and sanitation sector. 	<ul style="list-style-type: none"> • Transfer of social programs. • Strategic alliances between municipalities and external cooperation sources. • Interest in investing in the water and sanitation sector and financial support from certain institutions for this purpose. • Implementation of PRONASAR. • Demand on the part of the communities to participate in the execution of water and sanitation projects. • Availability of sectoral information on water and sanitation.

Strategic Planning of WSS in Peruvian Municipalities: From SWOT to Strategies



Strategic Planning of WSS in Peruvian Municipalities: Strategies and Indicators

<p>1) Strengthen the institutions and community-based organizations (CBOs) by building their capacity to ensure sustainable management of their water and sanitation services.</p>	<ul style="list-style-type: none">• X number of strengthened water boards participate actively in the sustainable management of the district water and sanitation services under the leadership of the District Municipality.• CBOs in the district carry out citizen surveillance of the execution of the Strategic Plan for Water and Sanitation.
<p>2) Increase the coverage and quality of the district water and sanitation services.</p>	<ul style="list-style-type: none">• X % of the district's population have permanent access to drinking water and sanitation services of good quality by the fifth year of execution of the sector's Strategic Plan.
<p>3) Build the capacities and skills of the users to enable them to participate in the administration, operation, and maintenance of the services (AOM).</p>	<ul style="list-style-type: none">• X % of water boards in the district satisfactorily perform the administration, operation, and maintenance of the water and sanitation systems by the end of the fifth year of implementation of the Strategic Plan.
<p>4) Promote healthy behavior patterns and good habits of hygiene in the population by means of educational processes.</p>	<ul style="list-style-type: none">• X % of families have adopted healthy habits of hygiene by the fifth year of execution of the Strategic Plan.• Y % of the district's schools have included the subject of water and sanitation in their school curriculum.

The strategies are then developed through **more in-depth Means-Ends Analysis** and further technical work that translate them into action plans



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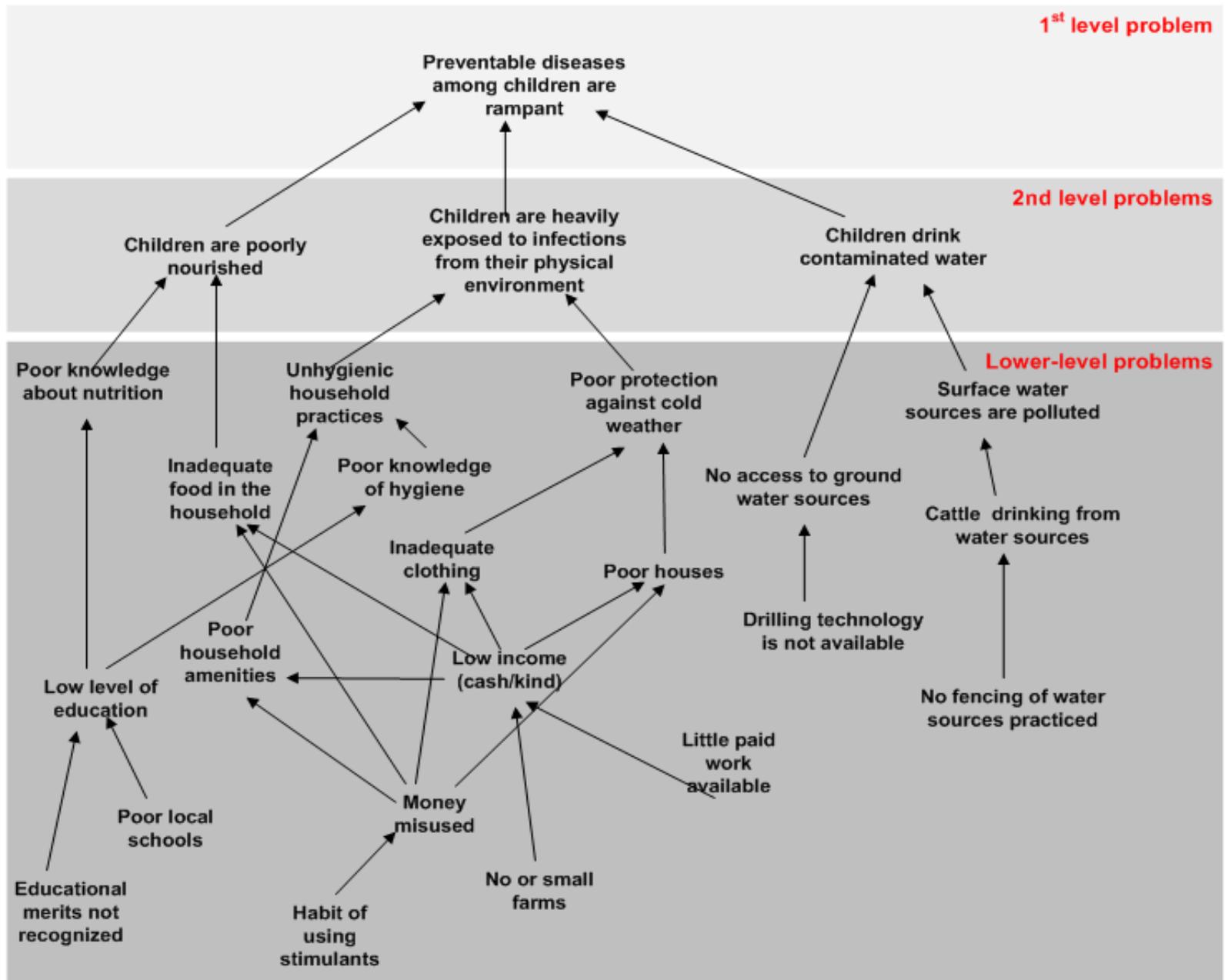


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Means-Ends Analysis

- Strategies must be formulated by identifying the hierarchically organized set of policies, programs and projects necessary to achieve their overall goal and any subordinated set of objectives . This is done through appropriate “Means-Ends Analysis” (MEA)
- Means-Ends Analysis includes 2 steps:
 1. Understanding the development issue at hand through a “cause-effect structure” (also called a “*problem tree*”) and
 2. Deriving from the “cause-effect structure” a “means-ends structure” (also called an “*objectives tree*”)

Means-Ends Analysis : A “cause-effect structure”





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Means-Ends Analysis (continued)

- Means-Ends structures may be more or less **elaborate** and may extend over a varying number of **levels** in the hierarchy of objectives
- This depends on whether the M-E structure is outlining a **policy** , a **program** or a **project** (see next slide) within the strategy being formulated
- Elements of the M-E structure (objectives at different levels) should be grouped into **standardized categories** with names that carry the same meaning for all. Yet the debate on the appropriate / useful terminology to define the hierarchy of objectives is still ongoing.

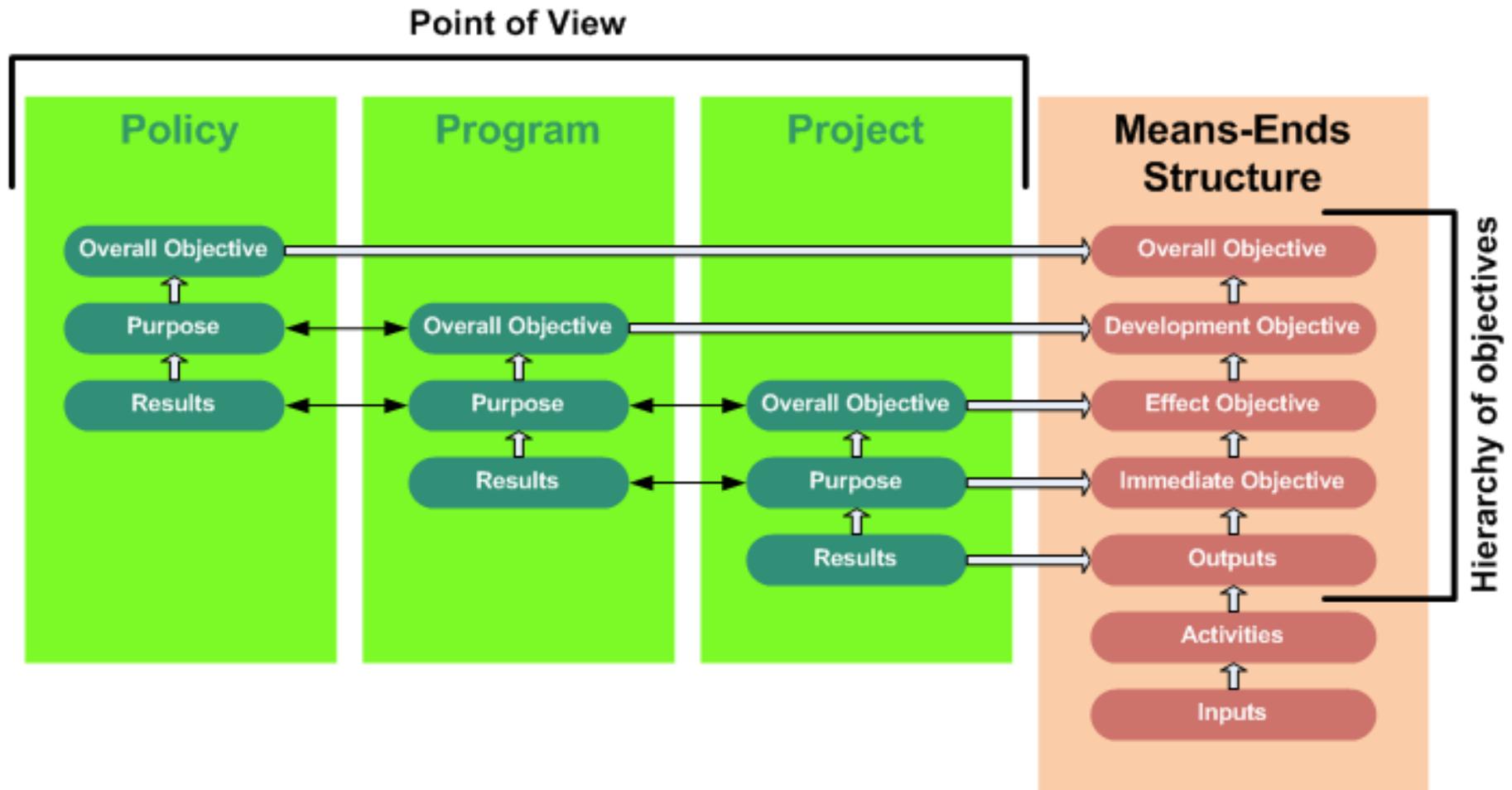
Policy (Of the National Agricultural Research Council)	Programme (Of the Research Stations)	Project (Of the Research Teams)
<i>Overall objective:</i> To contribute to the improved livelihood of hill farming families		
<i>Purpose:</i> Increased agricultural production, productivity and incomes among hill farming households	<i>Overall objective:</i> To contribute to increasing agricultural production, productivity and incomes among hill farming households	
<i>Result:</i> The use of improved agricultural technologies increased among targeted farmers	<i>Purpose:</i> Increased use of improved agricultural technologies by hill farmers (e.g. rice)	<i>Overall objective:</i> To contribute to increased use of recommended improved technologies
	<i>Result:</i> Recommendations for targeted farmers provided/disseminated	<i>Purpose:</i> Recommendations provided for improved technologies suitable for targeted farmers

Nested Objectives within the research component of a national strategy to improve the livelihood of marginal farmers (Policy/Program/Project)

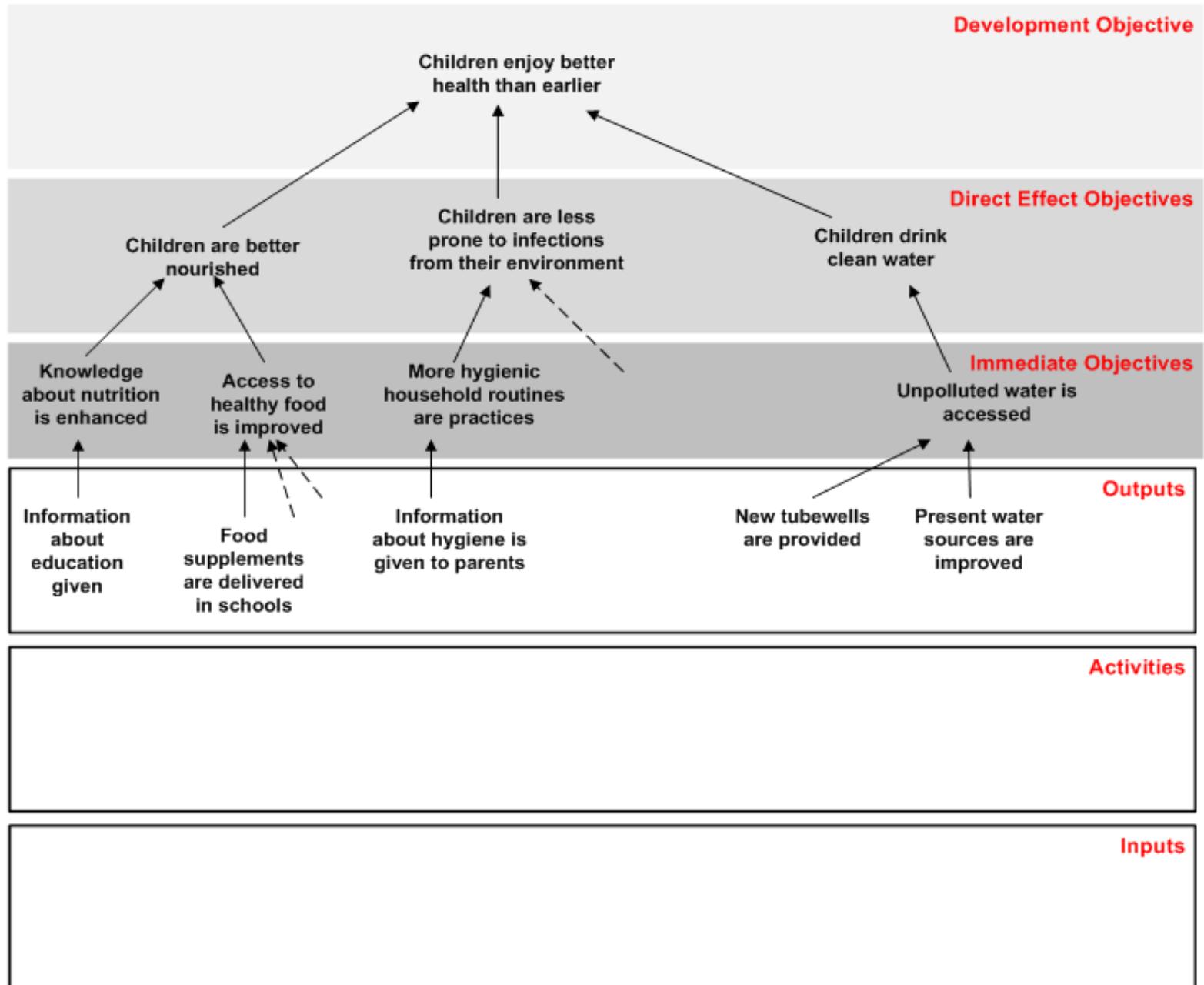
Results (e.g.):

1. Technologies identified based on farmer priorities
2. Technologies generated and adapted
3. Technologies verified in farmers fields

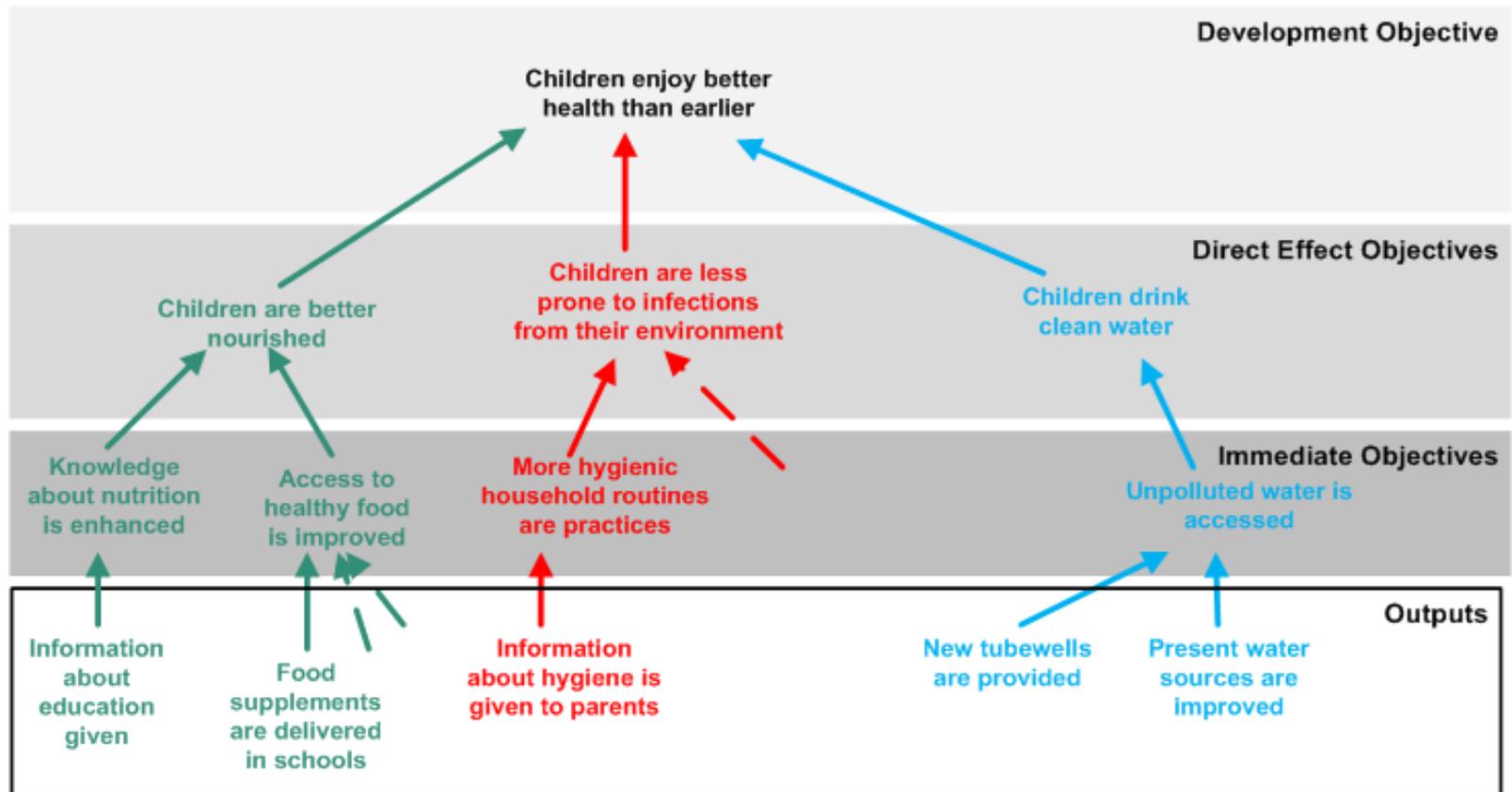
Means-Ends Analysis : Point of View and Hierarchy of Objectives



Means-Ends Analysis : A “means-ends structure”



Means-Ends Analysis : Different strategies



- Means-ends structures generate **alternative paths** to the achievement of strategic objectives (in this case three possible “programs”, several “projects” and a number of combinations of these elements. What path should we take? What should be our final strategy? Here is where **multi-criteria decision aid techniques** can be helpful (see below)....



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The Logical Framework Approach (LFA) to detailed program and project design

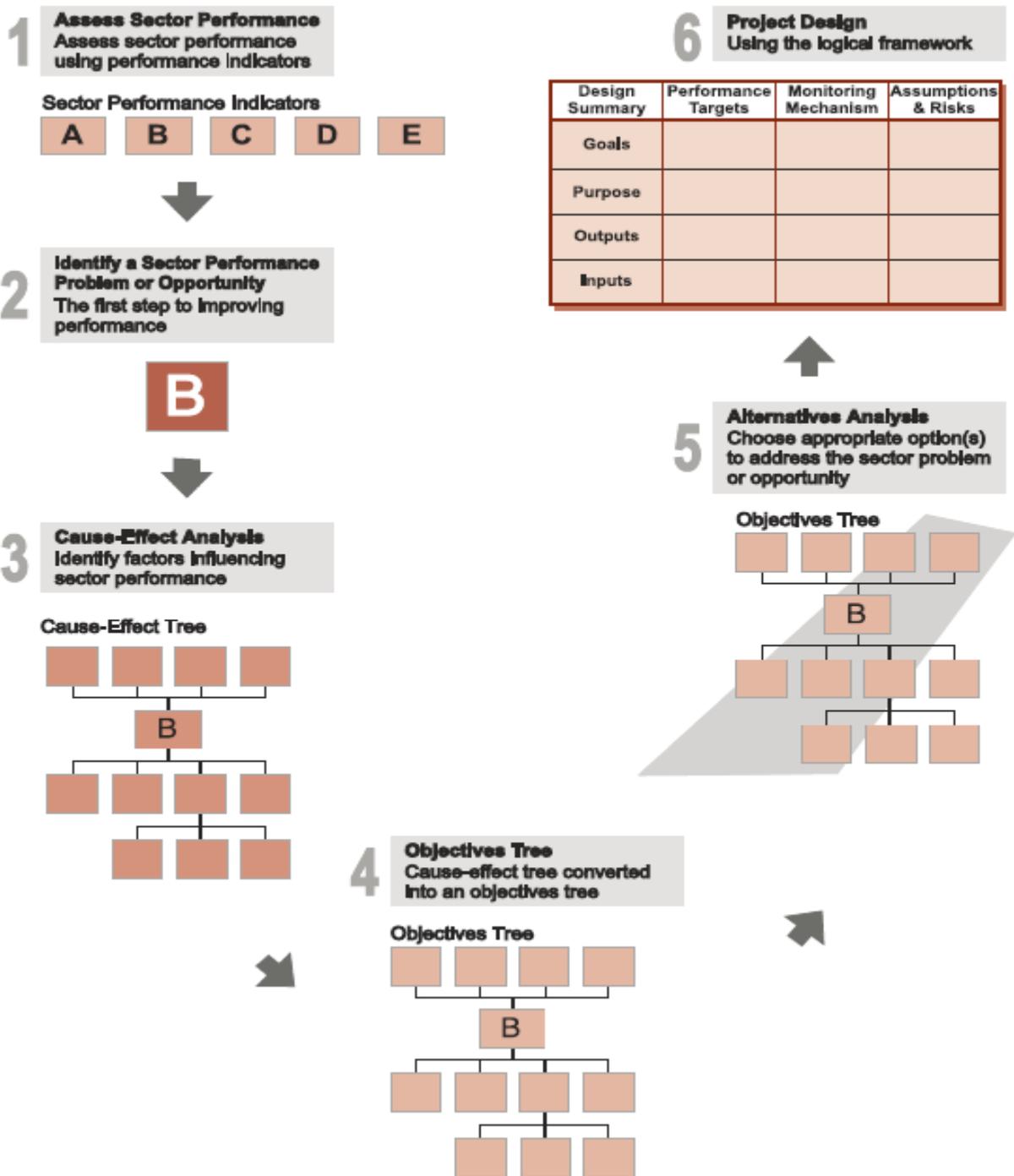
From

SWOT (1-2) to...

means-ends analysis
(3-4) to...

strategy selection
with MCA (5) to...

program/project
design using a Log-
frame (6)





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LFA , OOPP and PPM

The logical framework approach- LFA to project formulation includes:

- The implementation of an Objective-Oriented Project Planning – OOPP process, involving project stakeholders in a systematic “cause-effect” and “means-ends” analysis and strategy assessment and selection..... And....
- The preparation of a Project Planning Matrix-PPM : a 16/20-box frame (also known as Project Framework-PF or “Log-frame”) used to summarize the major elements of a project (unfortunately often used mechanically and post-facto, rather than to develop the logic of a project)

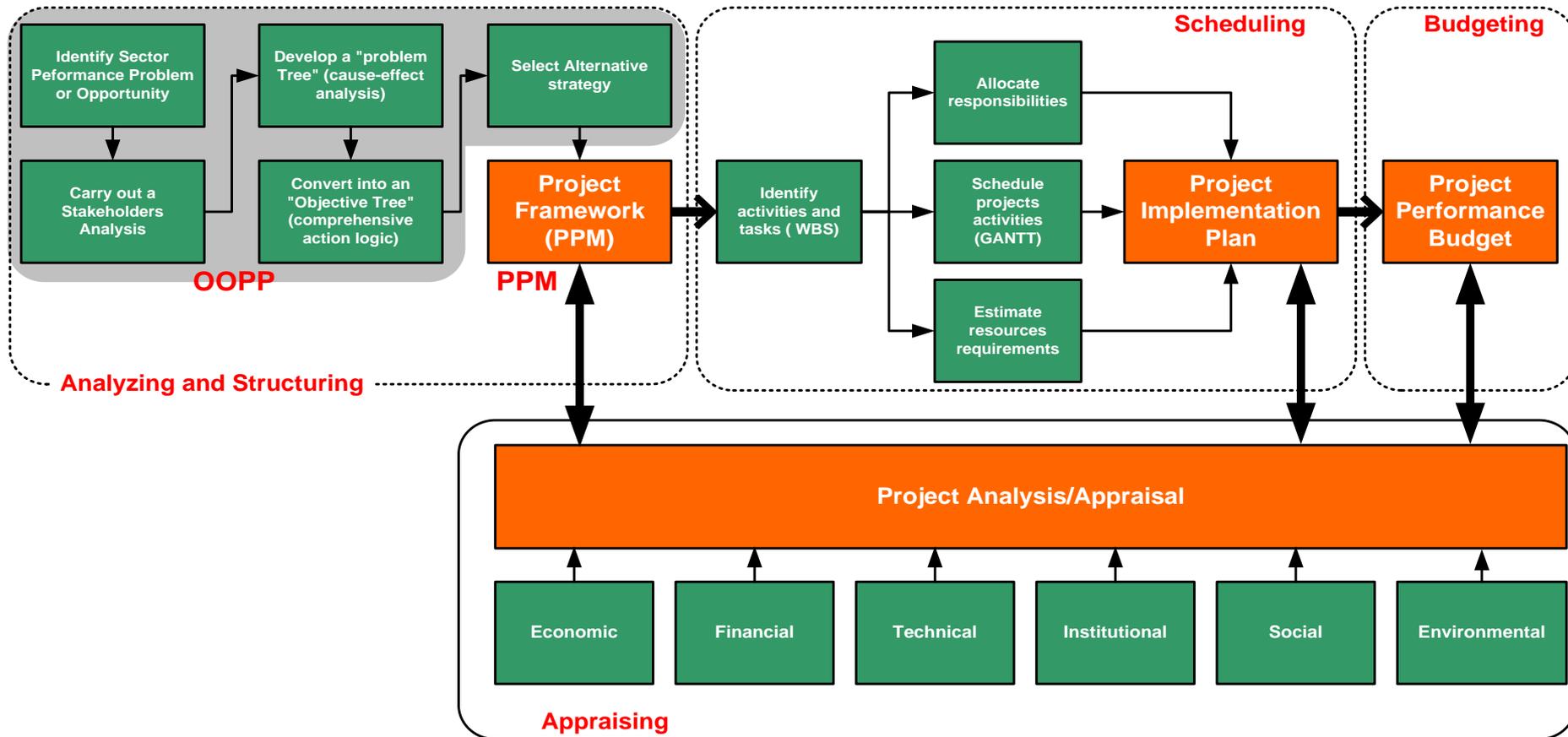


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OOPP and PPM in Project Formulation





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Step 1 : Problem / Opportunity Identification

(following an example from NORAD)

- The city of Mango has several bus companies. Recently the frequency of bus accidents has gone up significantly, causing much delay and inconvenience for passengers. A series of fatal accidents have also occurred.
- Newspapers have denounced the problem and the most affected companies have seen a reduction in number of passengers.
- Much of the problem is technical: old buses in bad conditions because of lack of spare parts, but careless driving on bad roads is also a factor.
- One of the company is now organizing a LFA workshop to decide what to do about the problem.



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Step 2 : Stakeholders Analysis

- Identify all parties involved
 - Write down all persons, groups and institutions affected by the problem
 - Categorize them, e.g. interest groups, individuals, organizations, authorities, etc.
 - Discuss whose interest and views should be given priority when analyzing the problem
- Take a closer look at some of the groups
 - Select the most important groups
 - Analyze in more detail (a) the **problems** affecting these groups, (b) the main needs and **interests** of the groups, (c) the **potential** : strengths and weaknesses of the groups, (d) the **relations** of conflict, dependency or cooperation with other groups

Stakeholders Analysis

(following the example from NORAD)

Institutions	Interest Groups	Others
Bus Company	Passengers	General Public
Mass Media	Drivers	
	Owners	

	Bus Company	Passengers
Problems	<ul style="list-style-type: none"> Economic losses caused by buses out of service Economic losses caused by payments to victims Reduced number of Passengers 	<ul style="list-style-type: none"> Delays caused by accidents Suffering for victims and families
Interests	<ul style="list-style-type: none"> Economically viable operations 	<ul style="list-style-type: none"> Safe, convenient and cheap transport
Potential	<ul style="list-style-type: none"> Ability to directly influence the problem 	<ul style="list-style-type: none"> Ability to boycott (only way to influence problem)
Relations	<ul style="list-style-type: none"> Dependent upon passengers cooperation 	<ul style="list-style-type: none"> Can choose other bus company if necessary



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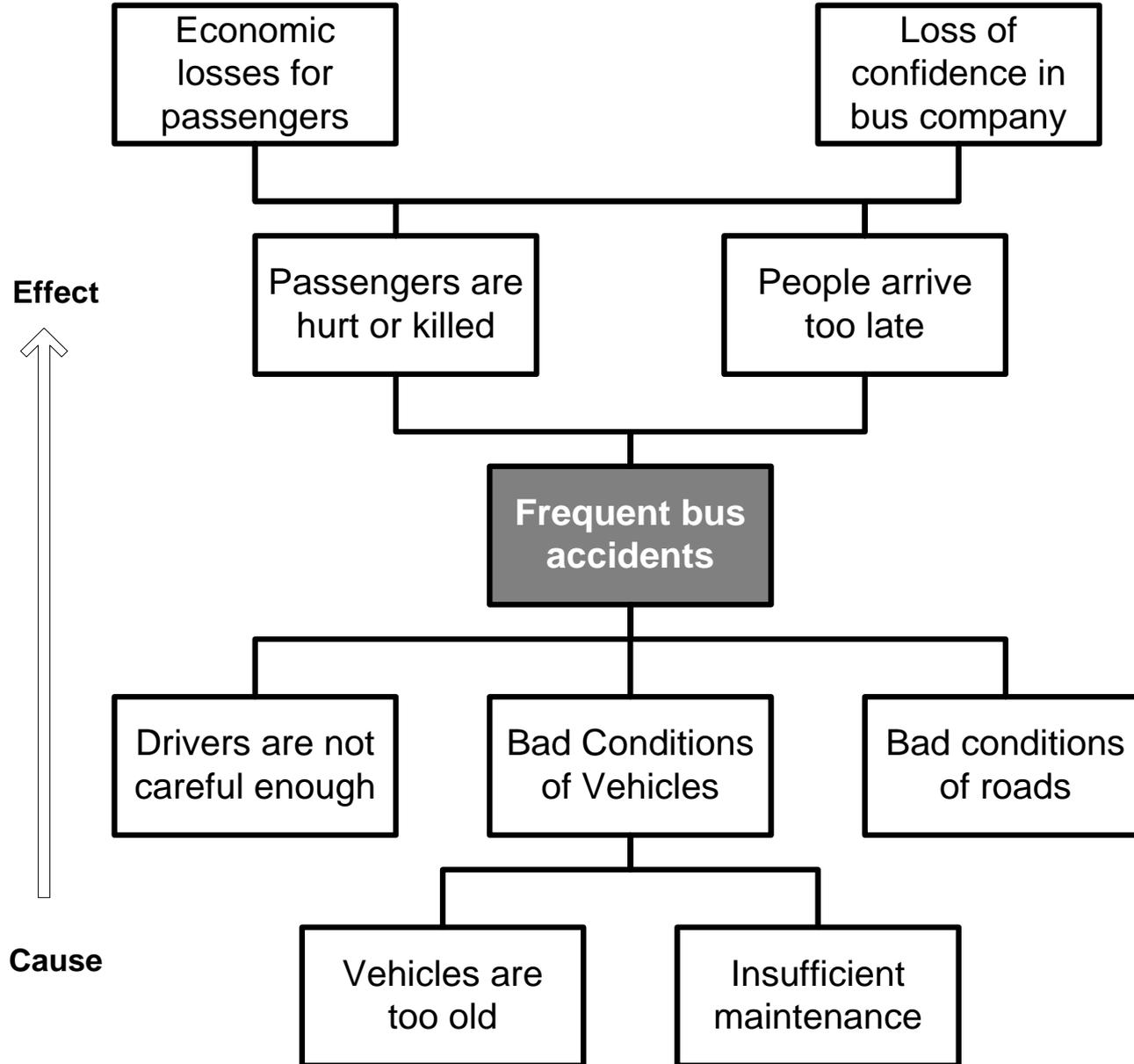


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Step 3 : Problem Analysis

- Formulate Problems
 - Identify **existing** problems, not possible, future or imagined ones
 - Remember that a problem **is not the absence of a solution**, but an existing negative state
- Select a starting point
 - Identify major existing problems based upon available **information** and **brainstorming**
 - Select one **focal** problem for the analysis
- Develop the problem tree
 - Identify substantial and direct **causes** of the focal problem
 - Identify substantial and direct **effects** of the focal problem
 - Construct a tree showing **cause-effect relationships**
 - Review the problem tree, verify its **validity** and **completeness**, make adjustments as necessary

Problems Tree





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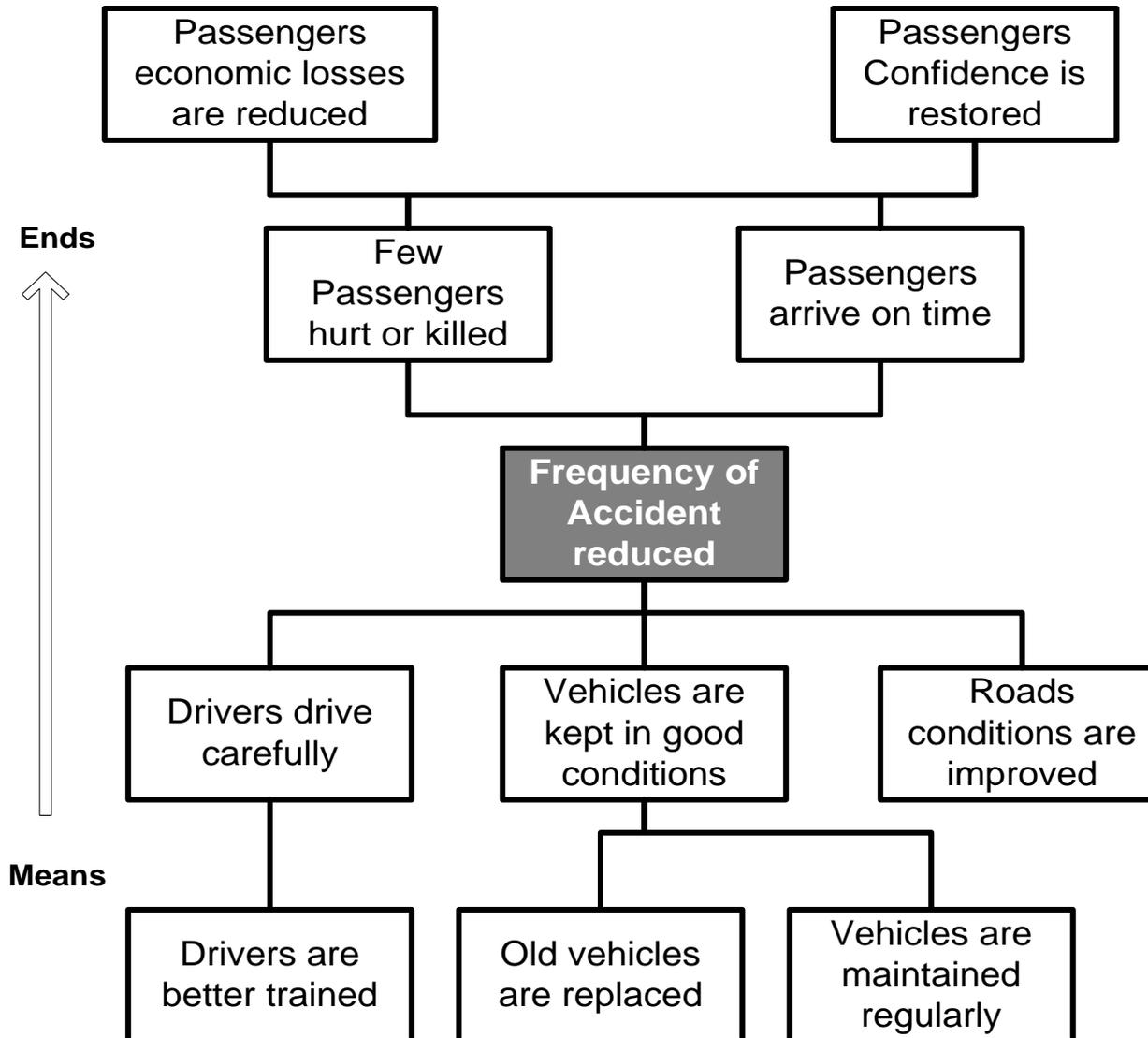


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Step 4 : Objectives Analysis

- Reformulate all elements in the problem tree into **positive desirable conditions**
- Review the resulting **means-ends relationships** for **validity** and **completeness**
- If necessary:
 - **Revise** statements
 - **Delete** objectives which appear unrealistic or unnecessary
 - **Add** new objectives

Objectives Tree





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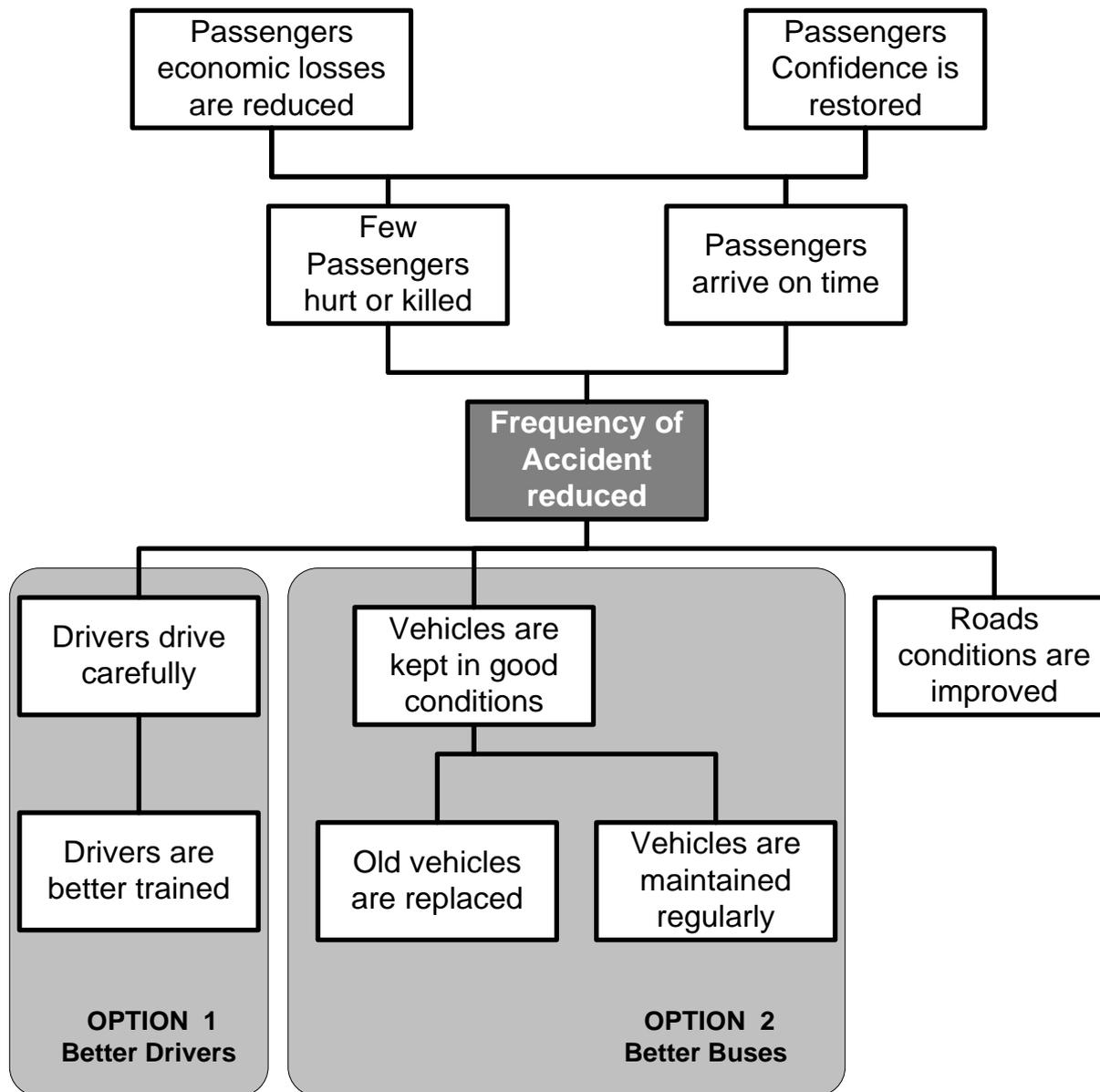
Step 5 : Alternatives Analysis

- Identify alternative options
 - Identify differing **“means-ends” ladders**, as possible alternative options or project components
 - Eliminate objectives which are obviously **outside the reach** of the project sponsor
 - Eliminate objectives which are **pursued by other projects** in the area/sector
- Agree on criteria for assessment of alternatives
 - Identify, select and weight **criteria against which to evaluate the alternative options** (see next slide)
- Select the project strategy
 - Assess the **feasibility** of the different alternatives
 - Select one alternative as the **project strategy**
 - If necessary to reach consensus : (a) introduce additional criteria or (b) add/subtract elements from the objectives tree.

Categories and types of criteria for assessment of alternatives

Technical	<ul style="list-style-type: none">• Appropriate Technology,• Use of local resources,• Market suitability• etc.
Financial	<ul style="list-style-type: none">• Cost• Financial sustainability• Foreign exchange needs• etc.
Economic	<ul style="list-style-type: none">• Economic Return• Cost effectiveness• Distribution of costs and benefits• etc.
Institutional	<ul style="list-style-type: none">• Capacity• Technical Assistance needs• etc.
Social	<ul style="list-style-type: none">• Gender impact• cultural acceptability• Local involvement and motivation• etc.
Environmental	<ul style="list-style-type: none">• Impacts on environment• Environmental costs and benefits• etc.

Alternatives Identification



Alternative Selection

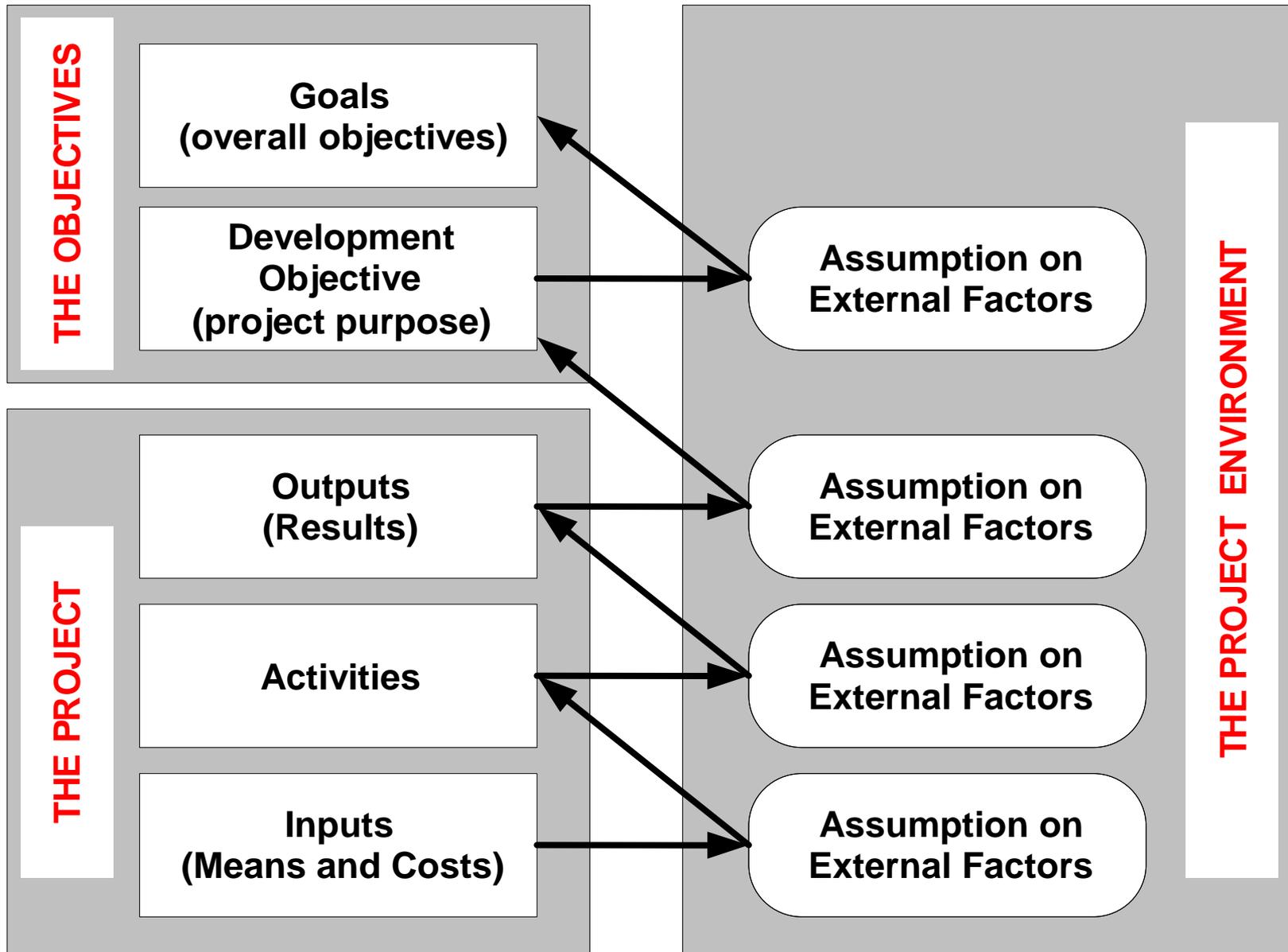
		OPTIONS		
		Option 1 Better Drivers	Option 2 Better Buses	Option 3 1+2 Combined
CRITERIA	Cost	Low	High	High
	Chance of success	Low	Low	High
	Cost/Benefit	High	Low	High
	Time Horizon	Short	Long	Long
	Social Risk	Small	Small	Small

Step 6 : The Project Planning Matrix (PPM)

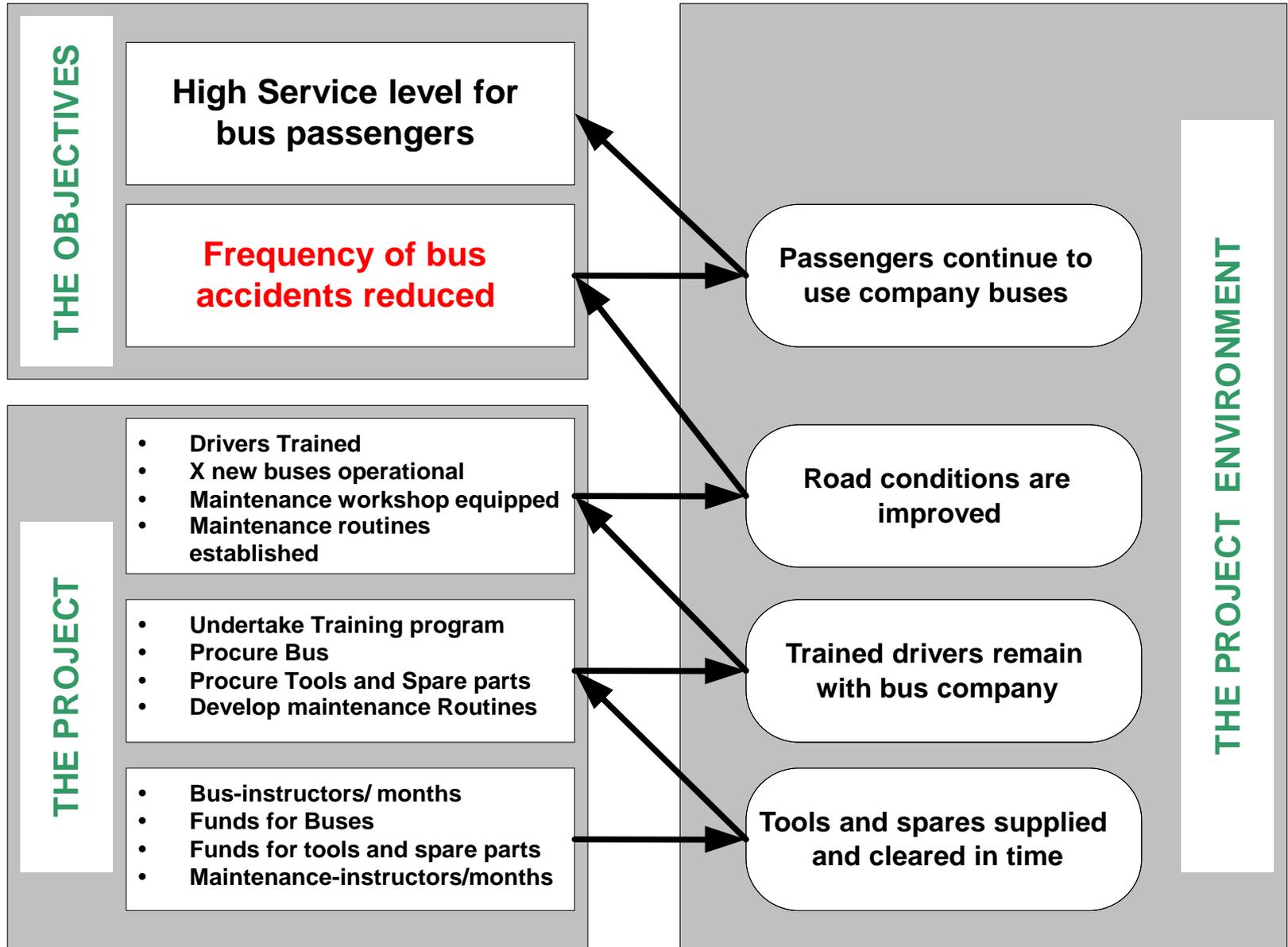
Design Summary	Performance Indicators & Targets <i>(Quantity &/or Quality, & Timing)</i>	Monitoring Mechanisms <i>(Sources of information to assess performance vs. indicators, and frequency of data collection)</i>	Assumptions and Risks <i>(Conditions beyond direct control of the project, but necessary for success)</i>
GOAL <i>(Long Term Development Objective)</i>	<i>Measure program performance (increasingly standardized)</i>		[LEAVE BLANK]
PURPOSE <i>(Immediate Development Objective)</i>	<i>Describe End of Project Success Status</i>		Purpose to Goal
OUTPUTS <i>(Deliverables)</i>	<i>Deliverables Completed – Quantity, Quality & Time</i>		Output to Purpose
ACTIVITIES <i>(grouped by components corresponding to outputs)</i>	<i>Schedule & Responsibility</i> Start: Complete: Responsibility:		Activity to Output
INPUTS	<i>Resources: \$ &/or Level of Effort</i>		Input to Activity

Design Summary	Performance Indicators and targets (OVI)	Monitoring mechanisms (MOV)	Assumptions and Risks
Goal: High service level for bus passengers	<ul style="list-style-type: none"> 90% of departures with less than 5 minutes delay Company's market share increases by 5% 	<ul style="list-style-type: none"> Independent bus traffic surveys 	LEAVE BLANK
Purpose: Frequency of bus accident reduced	<ul style="list-style-type: none"> Less than X accidents/year after 12 months Less than y serious injuries after 12 months 	<ul style="list-style-type: none"> Mango Hospital ER reports Traffic Control Reports by Mango Traffic Dept. 	<ul style="list-style-type: none"> Passengers continue using company buses
Outputs: <ul style="list-style-type: none"> Drivers Trained X new buses operational Maintenance workshop equipped Maintenance routines established 	<ul style="list-style-type: none"> 60% of the 120 drivers are trained in year 1 and 40% in year 2 All trained drivers improve their performance according to criteria set by Mango Traffic Department N. of complaints against trained drivers drop below 6/day 	<ul style="list-style-type: none"> Traffic Control Reports by Mango Traffic Dept. Independent bus traffic surveys Bus company complaint book Traffic Violation Register of Mango Traffic Department 	<ul style="list-style-type: none"> Roads Conditions are improved
Activities: <ul style="list-style-type: none"> Undertake Training Program Procure buses Procure tools and Spare parts Develop Maintenance routines 	<ul style="list-style-type: none"> Bus instructors start training program on (date) and complete it on (date) Buses are ordered on (date) and delivered on (date) Tools and Spares are ordered on (date) and delivered on (date) maintenance experts complete routines developemnt on (date) 	<ul style="list-style-type: none"> Reports from Project Implementation Management System (PMIS) 	<ul style="list-style-type: none"> Trained Drivers remain with Bus Company
Inputs: <ul style="list-style-type: none"> Bus instructors x month Funds for buses Funds for tools and spare parts maintenance instructors y months 	<ul style="list-style-type: none"> Contract for x p/months of bus instructors Contract for x p/months of maintenance experts Purchase order for x US\$ worth of buses Purchase order for x US\$ worth of tools and spares 	<ul style="list-style-type: none"> Reports from Project Implementation Management System (PMIS) 	<ul style="list-style-type: none"> Tools and Spares are cleared expeditiously in customs

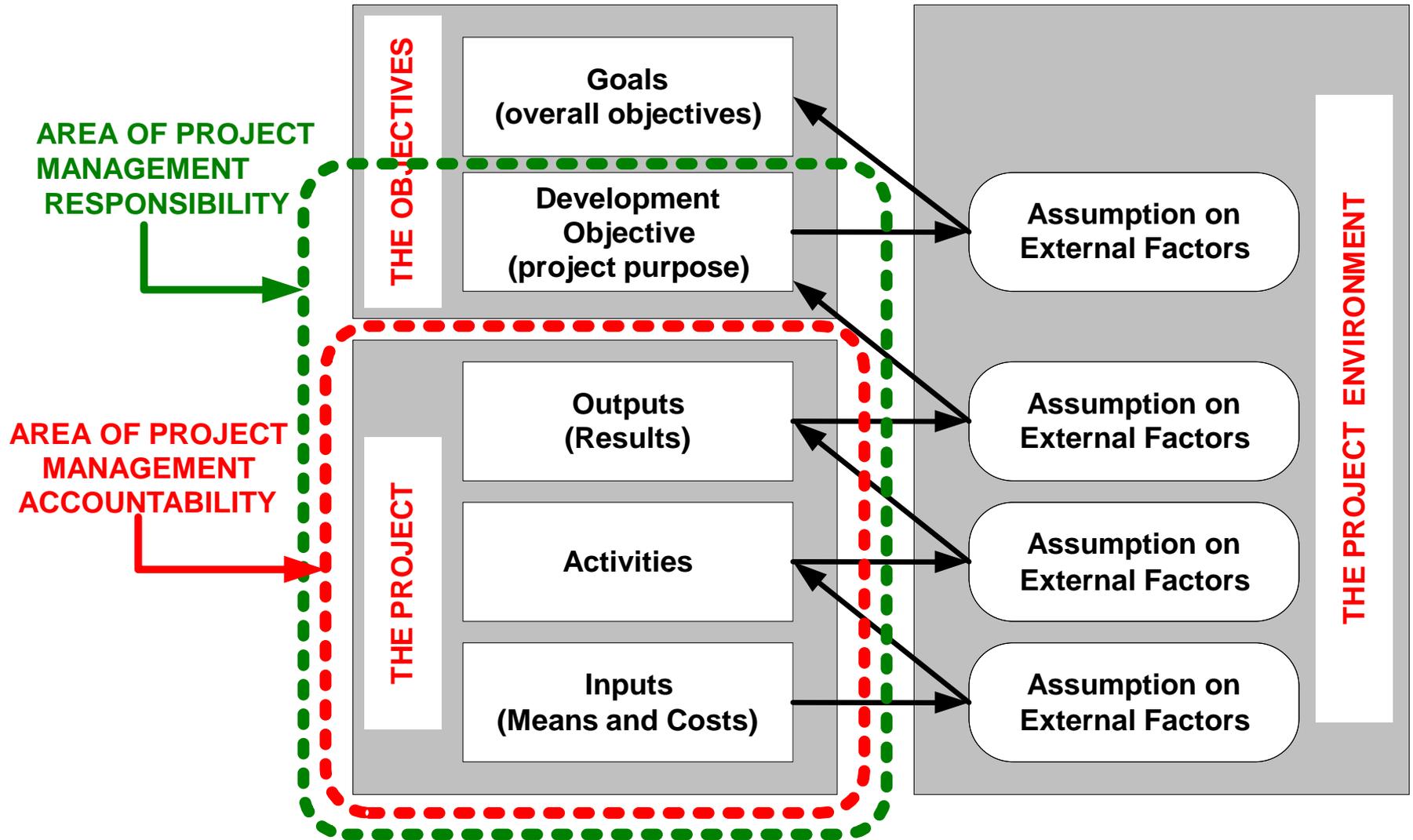
The LFA “vertical logic” : If...And...Then...



A vertical logic example



Accountability and Responsibility

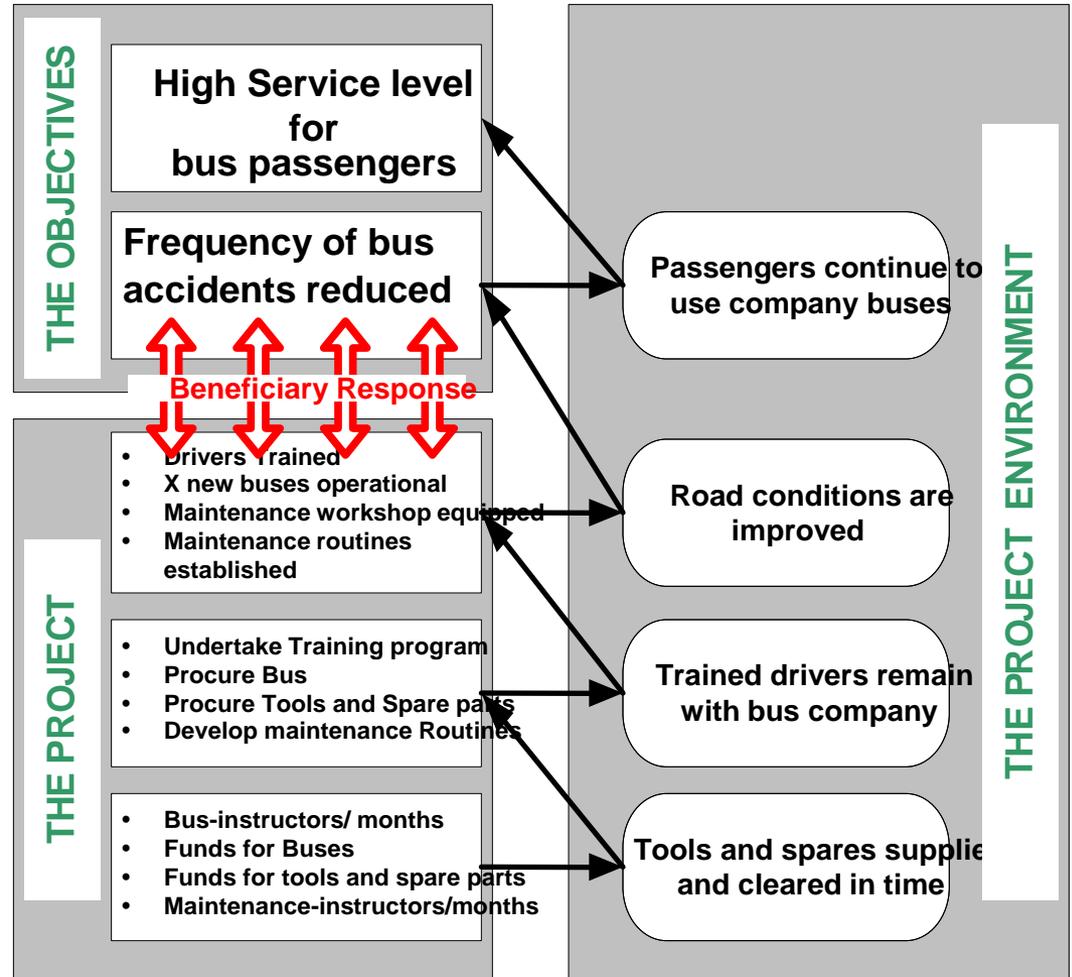


The project-to-objectives link : Beneficiary Response

Although managers are **accountable** for Outputs, they cannot control the behavior of the beneficiaries.

Achievement of objectives requires a “**beneficiary response**” whereby beneficiaries (in our example : the passengers at the purpose level and the bus company at the outputs level) use project outputs to derive benefits for themselves

This does not mean that project managers are not **responsible** for achieving the objectives. They have clear responsibility to ensure that project outputs meet beneficiaries needs and preferences.



The 4x4 PPM (World Bank version)

Narrative Summary	Performance Indicators	Monitoring and Evaluation	Assumptions
<p>CAS Goal</p> <p>Higher objective to which this project along with others will contribute</p>	<p>Indicators (increasingly standardized) to measure program performance</p>	<p>The program evaluation system</p>	<p>Goal to Super Goal</p> <p>Risk regarding strategic Impact</p>
<p>D.O.</p> <p>The change in beneficiary behavior, systems or institutional performance due to combined outputs & assumptions</p>	<p>Measures that describe the accomplishment of the project DO</p>	<p>People, events, processes, sources of data for organizing the project evaluation system</p>	<p>D.O. to Goal</p> <p>Risk regarding program level impact</p>
<p>Outputs</p> <p>What the project can be held accountable for producing</p>	<p>Indicators that measure the value added of implementation of the component activities</p>	<p>People, events, processes, sources of data and monitoring system for project implementation</p>	<p>Output to Purpose</p> <p>Risk regarding Design effectiveness</p>
<p>Component Activities</p> <p>Clusters of activities that produce the outputs</p>	<p>Inputs</p> <p>Monetary, physical and human resources required to carry out the activities and produce the outputs</p>	<p>People, events, processes, sources of data and monitoring system for project design</p>	<p>Components to Output</p> <p>Risk regarding implementation and efficiency</p>

The 4x4 + preconditions PPM (EU version)

Intervention Logic	Objectively Verifiable Indicators (OVI)	Sources of verification	Assumptions
Overall Objectives			
Project Purpose			Assumptions
Results			Assumptions
Activities	Means	Cost	Assumptions

Pre-conditions

Sequencing for filling the PPM (EU version)

	Objectives	Indicator	Evidence	Assumptions
Overall Outcome	1	7	8	
Project Purpose	2	9	10	6
Outputs	3	11	12	5
Activities	13	14	15	16
			Pre-conditions	4



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Goal (Overall Objective)

- Should be **consistent** with the development policy of the partner country and with the donor's policy guidelines for development aid
- Should represent a **sufficient justification** for the project in terms of longer-term benefits to beneficiaries and wider benefits to other groups
- Should **not be too ambitious** (i.e. achieving the purpose should significantly contribute to the goals.)
- **Will not be achieved by the project alone**, but will require the impact of other programs and/or projects



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Purpose

- Consists of **one single** objective (exceptionally **two**)
- Can be expected to contribute **significantly** to the Goals.
- It is realistic ,i.e. it is **likely to occur** once the project outputs have been produced
- It is **outside of the immediate control** of the project itself



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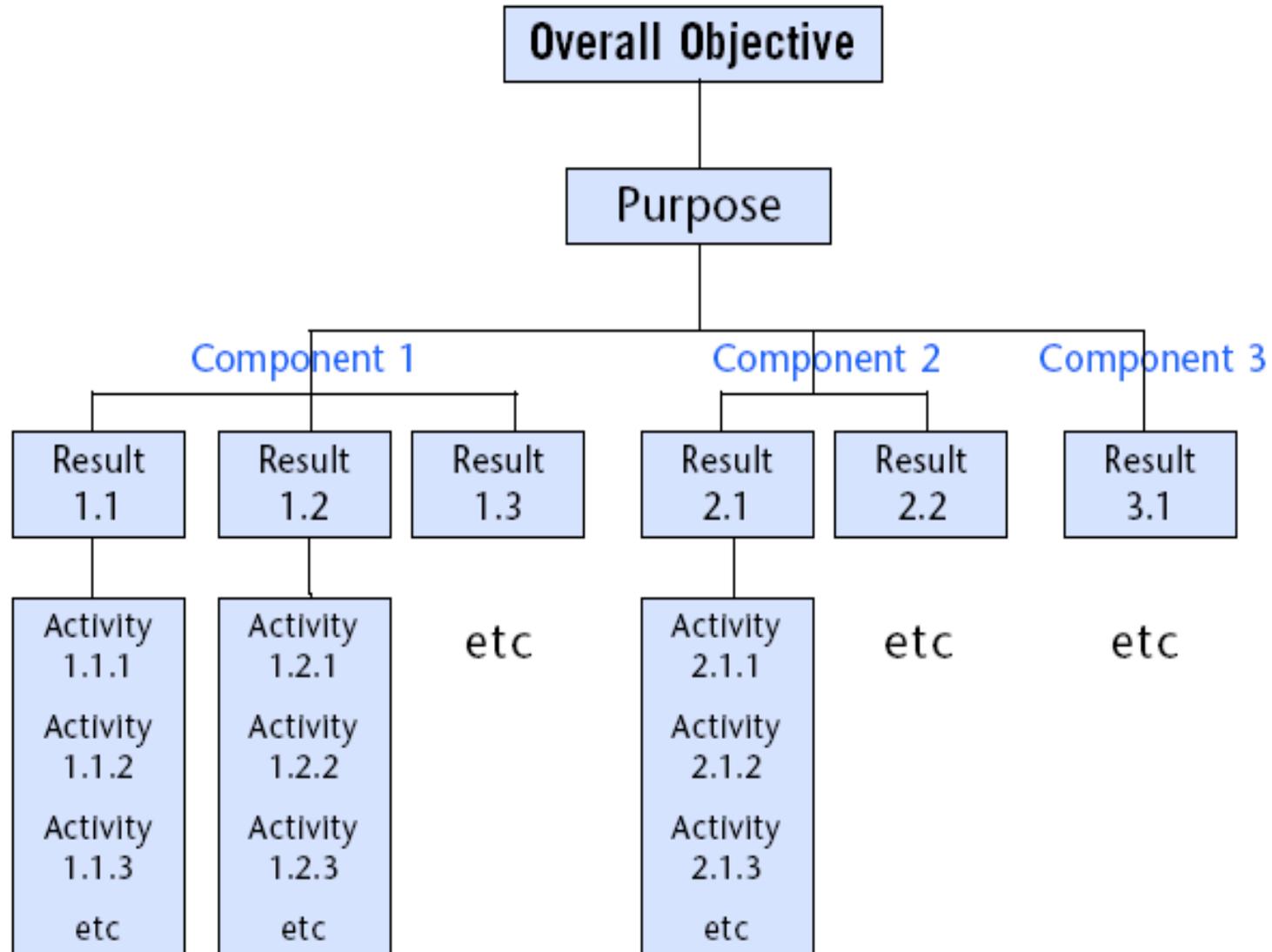


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Outputs (Results)

- Are the goods, services and works (**and only those**) that the project is responsible to deliver (the **“deliverables”**)
- Should include **all** deliverables and **only those** deliverables necessary for the achievement of the project purpose. In other terms, they should be seen as **necessary conditions** to achieve the project purpose
- While they do not represent the sufficient conditions (dealt with in assumptions), they should describe an **integrated strategy**, comprehensive enough to create an impact. (Outputs + Assumptions **should logically be sufficient** to achieve Purpose)
- Should be **feasible** within the resources available
- Should include the Project Implementation Management System, including Policy, Strategic and Operational Teams (**PIMS as Output**)
- **Outputs** could be organized by **Components** , i.e. by groups of outputs of similar nature (typically policy, institutional and sectoral outputs)

Components (or intermediate objectives in modified LFA methods)





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Activities and Inputs

- Log-frame is not the place to develop the project implementation plan
- Activities are the link between project identification / formulation (ending in log-frame or PPM) and project implementation planning and budgeting (WBS, Gantt, Responsibility chart, Performance Budget). This link is bi-directional.
- Inputs define the resources required for achieving the project purpose. The relationship between inputs and activities should be realistic

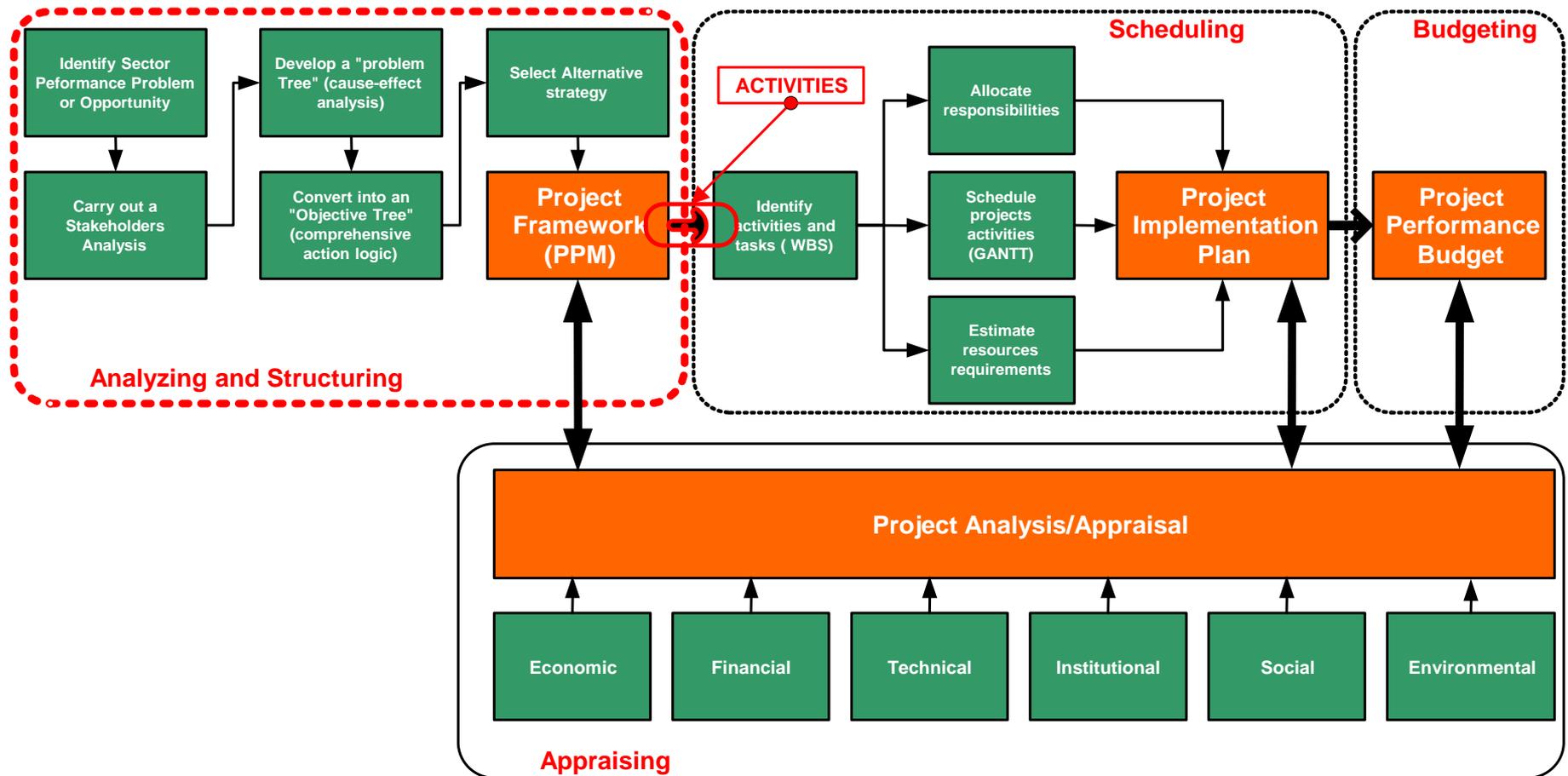


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Activities are the link between Project Structuring (Log-framing) and Implementation Planning (Scheduling)





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Performance Indicators (OVI)

OVI are formulated in response to the question “How would we know whether or not what has been planned is actually happening or happened?”

INDICATORS SHOULD:

- measure what is **important** about the achievement of objectives
- measure change at each level of the hierarchy of objectives and be **independent** from other higher or lower indicators
- be supported by available and **cost-effective** means of verification (MOV)
- Where necessary, include “**targets**” measuring achievement of purpose and outputs at specific times before end-of-project



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M&E (Means of Verification-MOV)

- The means of verification (MOV) ensure that the previously defined OVI can actually be measured
- The MOV have two roles:
 - They confirm that the OVI are realistic by specifying how to measure them
 - They facilitate project M&E by establishing in advance how the criteria for success should be verified
- One MOV should be associated with each one of the OVI
- The MOV should be specified in terms of :
 - The type of data gathered
 - The source of information consulted
 - The data collection technique

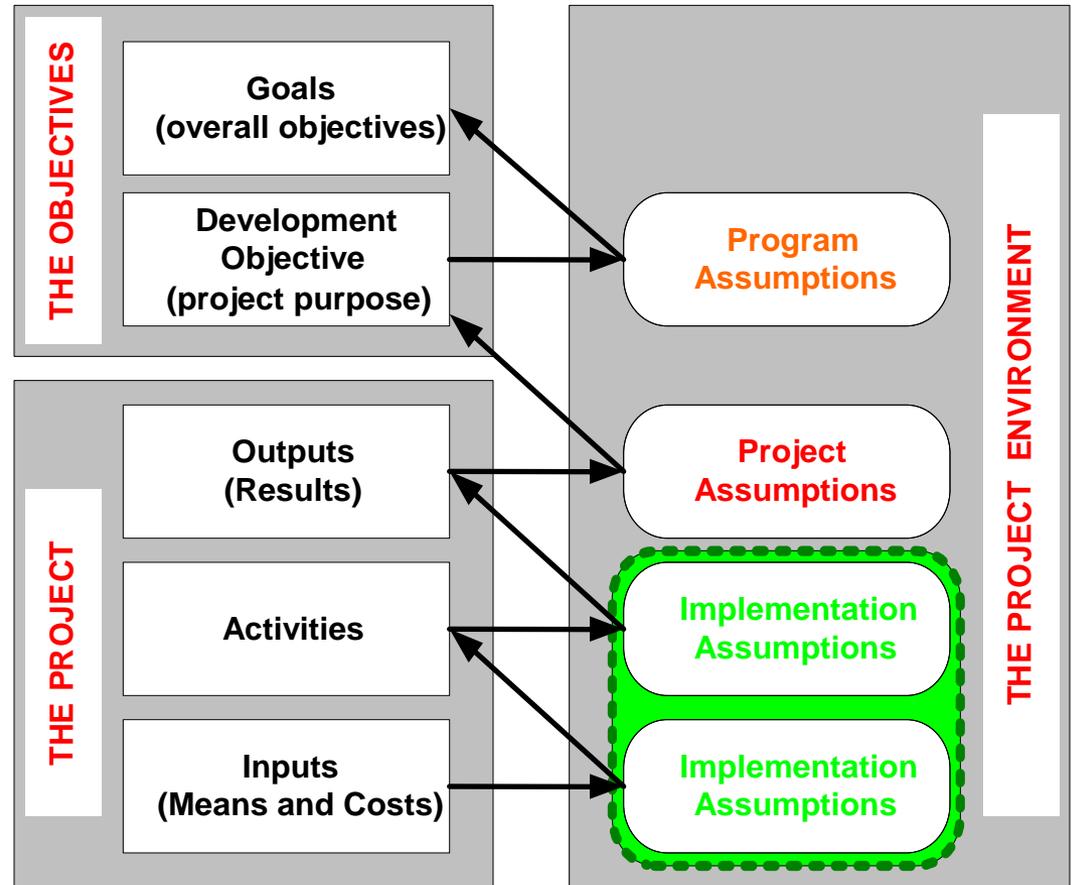
Assumptions [type 1: Implementation]

Implementation Assumptions

refer to the linkages between inputs and outputs (their quantity, quality and timeliness)

This is the level where there is the least uncertainty because there are fewer external factors beyond the project control. These however may include assumptions:

- on government's commitment and ability to provide inputs
- on availability of personnel in required number and quality
- that everything will go according to plans



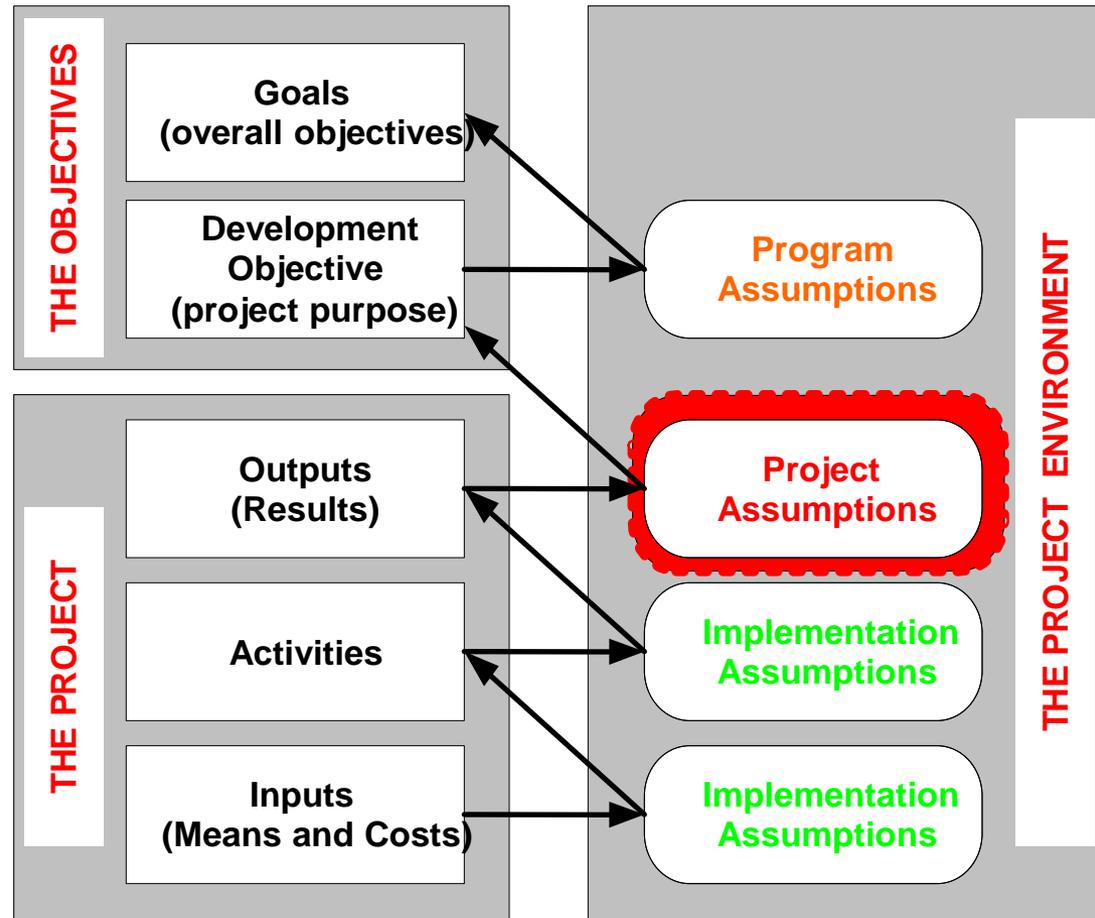
Assumptions [type 2: Project]

Project Assumptions refer to the linkages between outputs and purpose

At this level there is greater uncertainty because there are many more external factors beyond the project control.

These may include assumptions:

- on an effective demand for the projects outputs
- on what complementary projects may or may not be achieving



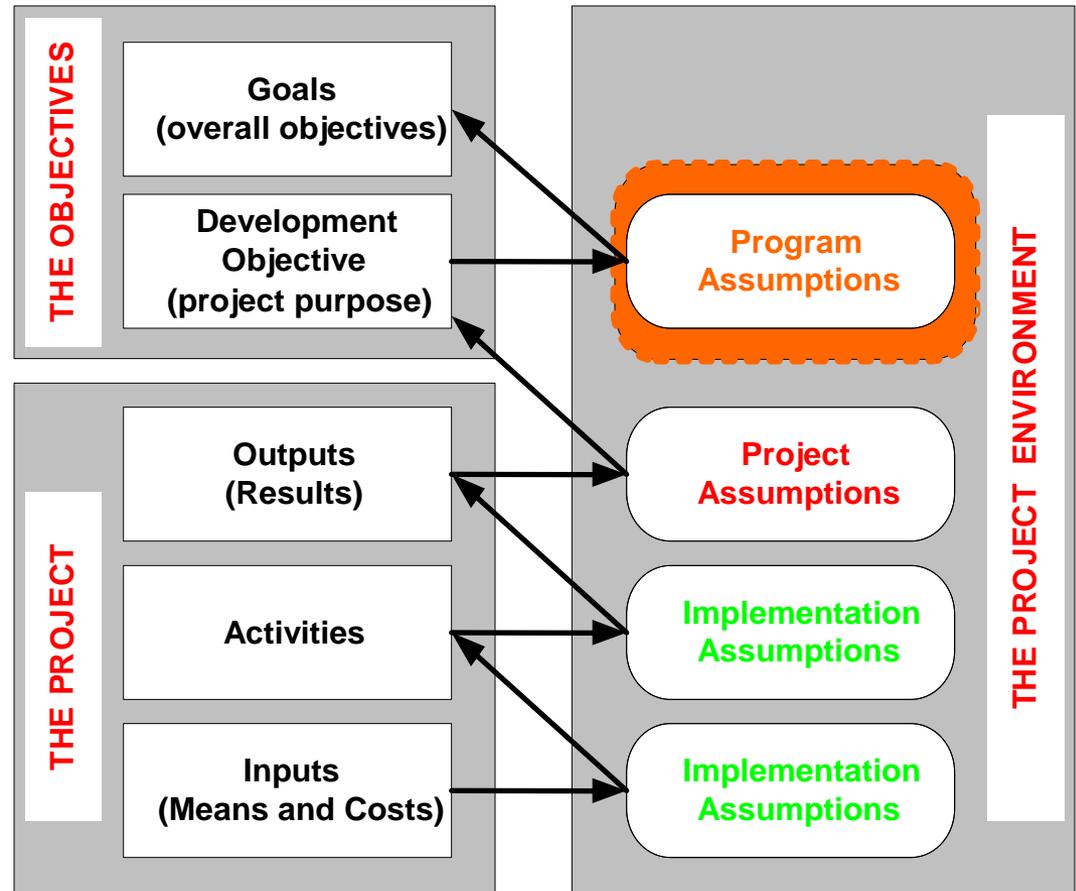
Assumptions [type 3: Program]

Program Assumptions refer to the linkages between project purpose and goal

At this level there is the greatest uncertainty because achieving the goal depends on factors, most of which are beyond the project control.

These may include assumptions:

- on favorable government policies
- on the response of wider social groups to the changes introduced by the project
- on what complementary projects may or may not be achieving



Strategy:

An Aligned Set of Policy Instruments

