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The LFA Method

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A guide to Results-Based Management (RBM), efficient project planning with the aid of the Logical Framework Approach (LFA)

FOREWORD

“Would you tell me, please, which way I ought to go from here?”

– *“That depends a good deal on where you want to get to,” said the Cat.*

– *“I don’t much care where ...”, said Alice.*

– *“Then it doesn’t matter which way you go”, said the Cat*

The dialogue from Alice in Wonderland is not about management by results – but it does illuminate part of the problem. Unlike Alice, most of us know what we want to do. However, it is often unclear what we want to achieve and if we want the same thing? Which way we choose to get to where we want to go can play a large role as it becomes part of the solution. But how do we choose objectives and activities?

Nowadays, a common conclusion in many of our evaluations is that we should become better at formulating and communicating what results we expect (where we want to get to) and the approach we should adopt to achieve these (which way we choose, the relevant activities). Being clear in communicating the expected results and the preferred approach to achieve those results is important, not least in order to identify what activities/measures work well and which ones don’t. Knowing the path that we are on and what the destination is also allows us to change the path we take is important, not least in order to find out what works well and what does not work well and thereby enable us to change the path we take.

There are different views how to best focus on results – and probably there is no model that suits everyone. Sida requires that the projects and programmes that we fund shall have “SMART” objectives and monitorable results. Sida appraises both the quality of plans and the cooperation partners’ capacity to manage by results. However, Sida does not interfere in the choice of method that is used in this context. Different approaches may be suitable depending on the types of programmes and projects and different types of organisations.

One of the methods that has been used for a long time in development co-operation is “The Logical Framework Approach” (LFA). This method is used and preferred by many of Sida’s co-operation partners and we have therefore decided to update the guidance (originally published in 1999). We hope that the collaboration partners who choose to use the LFA will find this guidance useful in their work. It is also intended as an aid when assessing project and programme proposals.

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About the author: The author of this publication, Kari Örtengren, has more than 25 years of experience of results-based management, project planning, monitoring and evaluation. She has worked with international development for Swedish development agencies and the UN for 17 years and is now working as an independent advisor, trainer and process manager/moderator/facilitator at LFA workshops within a series of subject areas; everything from social and health care, gender projects/ programmes to projects within the energy sector. She is the person in Sweden who has the broadest competence and experience of the LFA method with great practical application of LFA. She has all together worked with project groups in over 900 different projects, programmes and activities, both national and international in some 50 different countries. She is an international advisor to non-governmental organisations, authorities and agencies, municipalities, county councils and companies in results-based management- planning, monitoring and evaluation processes.



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1. INTRODUCTION

Without a good plan, objectives are just a dream. With a well-developed and structured plan, however, objectives are more likely to become sustainable results. Developing a structured project plan, and managing the project along the way, is both easier and more likely to succeed when we use the right planning and monitoring tools and when we listen to and involve the right people.

The purpose of this booklet is to introduce such a tool, the Logical Framework Approach (LFA), a method designed to simplify project and programme planning as well as monitoring processes while taking into account the interests and needs of stakeholders.

The booklet is intended for all those who work with different types of change processes, projects and programmes, as well as for everyone who wants to deepen their knowledge of results-oriented project and operations planning. The booklet may be used as a guide when a project team is involved in different parts of the project or programme cycle.

Naturally each project or programme is unique. It is not possible to “copy and paste” plans for one project onto another. This booklet is written to be general enough to apply to a wide range of project types. It is based on the author’s long experience working with the planning and monitoring of hundreds of projects and programmes around the world.

2. WHAT IS LFA?

LFA has its origins in the United States in the 1960s, and has been under continuous development ever since. Today, the LFA method is used in an ever-increasing array of projects and sectors by public agencies, private companies, municipalities, regions and non-governmental organisations. Its use in international development dates back to the 1980s.

LFA is an extensive, participatory and integral method that delivers a well-structured plan with clearly measurable objectives and well-defined, relevant activities and indicators. The method facilitates the planning, monitoring and management of change processes so that they can achieve positive and sustainable results.

Methods such as LFA are used as part of **Results-Based Management** (RBM). RBM covers theories on the planning, follow-up, evaluation and management of the whole project and operations cycle e.g. the handling of the change process from start to finish. The purpose of RBM is to achieve as positive and sustainable results as possible.

THE MAIN PRINCIPLES OF RESULTS-BASED MANAGEMENT (RBM) ARE:

- **Broad participation in the planning process – listening to and involving relevant stakeholders including the target groups**
- **Structured and clear plans with clear objectives and allocation of responsibilities**
- **Continuous risk analysis and risk management**
- **Continuous monitoring, not just at the end of the project**
- **Analysis of results during the follow-up and revision of plans where necessary**
- **Effective dissemination of results for positive influence, strategic communication**
- **And finally, continuous and organisational learning**

In the 1980s, the Australian government decided that the public administration should introduce Results-Based Management (RBM). Since the introduction of the RBM concept, organisations around the world have continuously tried to clarify how this type of management should be applied in practice. It is not difficult, but it is nevertheless essential to find the right tool and to build up the right RBM competence among staff at financing agencies *and* project teams.

Results-Based Management (RBM) provides overall guidelines for what should be considered during planning, management and evaluation of projects and activities. RBM is more of a “mind-set”, i.e. it describes **what, but not how** one has to handle the different stages of the project and operations cycle in order to achieve good planning, follow-up and control. However, persons who bear responsibility for implementing change processes through projects and programmes also require clear advice on **how** exactly to go about developing a plan and how to monitor results. This advice should not just cover *what* the project team should do, but *how* to do it. In order to access the how, there is a number of different tools/methods to choose from, and LFA is one of them.

The LFA method has proven to be a very useful tool when following the principles of Results-Based Management (RBM). Other methods include the Balanced Scorecard, the SWOT Analysis (internal Strengths and Weaknesses and external Opportunities and Threats), Lean, TQM (Total Quality Management), Theory of Change and Outcome Mapping. However, unlike several other methods, LFA is a comprehensive planning model that covers all stages of the planning process, all the way to a completed project-, programme- and/or operation plan.

Because of the structure and clarity of the planning process and its participatory approach, the LFA method has been widely disseminated and used in a variety of contexts. Many application documents/forms from financing agencies now follow the LFA method’s nine planning steps, hence knowing the method doesn’t just make it easier to plan projects or programmes but also to apply for financing.

In accordance with LFA, planning processes are always initiated by listening to stakeholders (several different interested parties) to form an idea of how the situation appears locally and, above all, how the target group/s view their situation. Thus, before one draws up a plan one needs to fully understand the problems, needs and requests and/or wishes of the target group/s.

THE LFA-METHOD IN BRIEF

- A results-oriented planning method for projects, programmes and operations.
- One of the methods when implementing Results-Based Management (RBM)
- A planning method that leads to a complete plan based on the target group's and other stakeholders' participation in the planning process
- A method that leads to relevant, feasible and sustainable projects and programmes
- A tool that offers the preconditions for sustainable effects through continuous follow-up of results
- An instrument for desk-officers that, in addition to planning, LFA is also used by financing agencies for analysis, assessment and in dialogues with implementing agencies and organisations.

Hence, what LFA stands for is in accord with the principles behind Results-Based Management (RBM).

The LFA method is based on the idea that what legitimates and justifies projects *is that the service and the products that the project delivers respond to the needs of the target group*. In other words, it is not the resources (inputs) and activities implemented such as training workshops or consultations that are most essential. Instead, what is most essential is what is achieved: the results of the activities at different levels, the relevant outcomes and impacts, e.g. improved quality of schools, healthcare or environment, decreased poverty in region X etc.

Let us start at the right end of the process: first, *before* we plan and implement activities, we must listen to relevant local stakeholders and analyse what issues that need to be solved.

3. THE PLANNING PROCESS – THE STEPS OF THE LFA METHOD

According to the LFA methodology, the project planning process includes the nine steps below:

THE PLANNING PROCESS ACCORDING TO LFA

1. **Analysis of the project's context/environment** (*Background information*)
2. **Problem analysis / Situation analysis** (*What main problem shall be solved by the project? Which are the causes and effects of this main problem?*)
3. **Analysis of stakeholders** (*Which individuals and stakeholders are affected by and affect the project?*)
4. **Formulation of objectives** (*What do we wish to achieve with the project? What are SMART objectives?*)
5. **Activity planning** (*Which measures shall be implemented to achieve the objectives?*)
6. **Resources planning** (*Time management, staff, budget and if needed, necessary equipment*)
7. **Indicators and means of verification (MoVs)** (*How do we measure results?*)
8. **Risk analysis and risk management** (*Which factors may affect our results?*)
9. **Analysis of assumptions** (*Prioritisation, what can the project handle and what will other stakeholders handle?*)



During the inception phase of a planning process, the project group needs to go through the nine steps of the LFA method in order to formulate a project plan. It is a *process* to develop projects – to formulate a viable plan we need to allocate time and resources for reflection before starting the project implementation. After the planning process, the project plan is sent to the financing agencies. The

project plan is the most important document in these applications and it should function as a road-map, be clear and specific.

Project groups do not always go through the different steps of LFA planning in the order mentioned above. How these steps are reviewed and the amount of time spent on each step may vary from project to project depending on the prerequisites and the information we already have when we start to plan. The project group may need to go backward and/or forward in the planning process depending on whether new information becomes available during the planning process. The circle in the box on the steps in LFA on page 5 illustrates this active reflecting process. The further we advance in the planning process, the more information we obtain. This may in turn require adjustment of the project plan. For example, when the project group comes to risk analysis (step 8), it may need to add risk management measures to the activity plan (step 5). Thus, let the planning become a living process, a proper dialogue between different stakeholders.

With regards to **programmes**, a programme comprises several projects, where each project needs to undergo a separate planning process. Hence, each project group should go through the nine different steps in LFA together with relevant stakeholders. However, overall strategic planning is performed initially for the *whole* programme, where the overall objectives are established for the programme and subsequently there is detailed planning for each project component included in the programme.

4. WHAT DO THE DIFFERENT STEPS IN THE PLANNING PROCESS UNDER LFA INCLUDE?

STEP 1 BACKGROUND ANALYSIS/CONTEXTUAL ANALYSIS

Collection of background information

All change processes are part of a wider context, a *project's context* (overall environment). The project is constantly affected by different economic, social and political processes that take place in society. In project planning and implementation, we as project implementers must have information about this overall picture, including technical national and sectoral information. Which environment is the project situated in? Project groups should therefore start off by performing an overall preliminary study, often referred to as *pre-study*, feasibility study or inception phase. In the pre-study, the project's external environment is studied by collecting information about the sector, country and region as well as any data that may exist about the target groups.

When conducting your research, use existing material such as regional development plans, contact your collaboration partners to see what information they have on the sector, search the Internet, contact other organisations, financing agencies and other projects and programmes. Use existing material provided that it is assessed to be of sufficient quality. When the quality of existing data is sufficient, which is often the case, there is no need for the project group to do an entirely new feasibility study.

STEP 2 ANALYSIS OF STAKEHOLDERS

Which individuals and stakeholders affect and are affected by the project? Which ones should be included in the planning process and which ones should be informed and involved during and after the project's implementation?

The LFA method is based on the broad participation of stakeholders in planning and implementation. Stakeholders are those who are affected by and those who affect what takes place in the project, either directly or indirectly. Stakeholders may be individuals or organisations (public organisations, authorities, companies, non-governmental organisations etc.). They may be both *for or against* a particular change

(the project). They may also have greater or lesser opportunity to affect the project's implementation and results.

Information about who the stakeholders are is important in step 1, when we carry out a context analysis. A survey of the project's stakeholders and their view of the project as well as a consideration of their possible contribution in developing the project plan is included in the planning process. It is essential to listen to relevant, informed *and* varied parties to find relevant solutions.

Keep in mind the involvement of persons with different experiences, genders, ages, ethnic groups, from different regions, different departments within a workplace, persons from different cultural and religious backgrounds, persons with disabilities etc. When seeking solutions, it is essential to investigate if women, children, men, young people and persons with disabilities and from different cultural backgrounds are affected in different ways by the situation and whether this might call for different solutions.

CLASSIFICATION OF STAKEHOLDERS

Stakeholders may be divided into the following five main groups. It is essential for the project group to include persons from each of these groups in the planning process.

- 1. Target group** (*primary and secondary target groups, beneficiaries*)
- 2. Project owners and project groups**
- 3. Decision-makers** (*at different levels, in organisations, at authorities and agencies, local politicians*)
- 4. Experts within the area/subject** (*specialists such as researchers*)
- 5. Financing-agencies** (*those who finance the project/programme e.g. bilateral or multilateral development agencies, as well as local financiers who in the long term shall fund the continued operations e.g. municipalities, regional authorities or ministries*)

A specific stakeholder may naturally form part of several of the above groups, one may for example be both an implementer as part of a project group *and* at the same time be a representative of the target group or indeed both a representative from the financing agency and a decision-maker. Before the planning process starts, the project group shall obtain information from persons representing *different* groups of stakeholders. All these have important information for the implementing partners, they all give different pictures of the situation, something that contributes to the whole. To be able to find the smart solutions it is essential to actively involve the target group and other stakeholders in the planning process.

After an inventory of *whom or which* we should involve in the project planning and implementation process, the step is taken whereby the project team needs to decide *how* one should obtain information from these persons. This may take place in different ways, for example through a *workshop, a seminar and/or questionnaires and/or interviews* (an example are focus interviews with men or women and children in the target group and other stakeholders in order to be able to capture any differences for the different groups).

However, the most time-saving, participatory and effective way to collect information about the situation is through a workshop, a so-called LFA workshop. During a LFA workshop, various stakeholders meet for an open discussion with the purpose of producing an initial overall draft of a project plan. The invited stakeholders typically make a problem analysis (LFA step 3). Moreover the participants propose objectives for the project in question (LFA step 4) and develop an initial proposal for the activity plan (LFA step 5). Finally, if there is sufficient time, an initial risk analysis and risk management plan (LFA step 8) are also carried out.

The results from an LFA workshop are then submitted to the project group which is responsible for drawing up the final and detailed project plan. At an LFA workshop with stakeholders there is a summary developed of *why and what must be done* within the framework of the project/programme. After the workshop, the project group proceeds with developing the details based on the inputs from the stakeholders. It is always the project team and the project owners in dialogue with the financing agency, who decide on the final design of the project plan, not all the stakeholders.

When a final plan is compiled, the project team should reconnect appropriately with the stakeholders who participated in the initial planning process, e.g. at the LFA workshop and/or interviews. To maintain good relations, the project team may send reports to those that participated and possibly have a seminar and present the final draft of the project plan and later monitoring reports. These stakeholders are important actors in the change process, their support before, during and after the project period is often crucial to achieve sustainable results.

STEP 3 PROBLEM ANALYSIS / SITUATION ANALYSIS

How does the situation appear before we start the project?

A problem analysis must be carried out by the right stakeholders, i.e. those who are familiar with the local situation and the relevant subject (see step 2). If it is an international project, there must naturally always be stakeholders from the local population involved. A problem analysis is preferably done through a workshop as described above, a workshop to which different stakeholders are invited and have the time to jointly discuss and analyse the situation. If, for some reason, it is not possible to have a workshop, the project team may collect background information by interviewing and listening to different stakeholders and then structure the answers in a problem analysis.

A PROBLEM ANALYSIS IS DIVIDED INTO THREE PARTS

- **The focal problem:** The focal problem is the one problem that the project shall focus on. When formulating the focal problem, we need to think of those that are included in the target group, the final beneficiaries, and what mandate and resources we have as a project group. It must be realistic for the project group to solve this problem during the project period. The focal problem then later becomes the *project objective*.

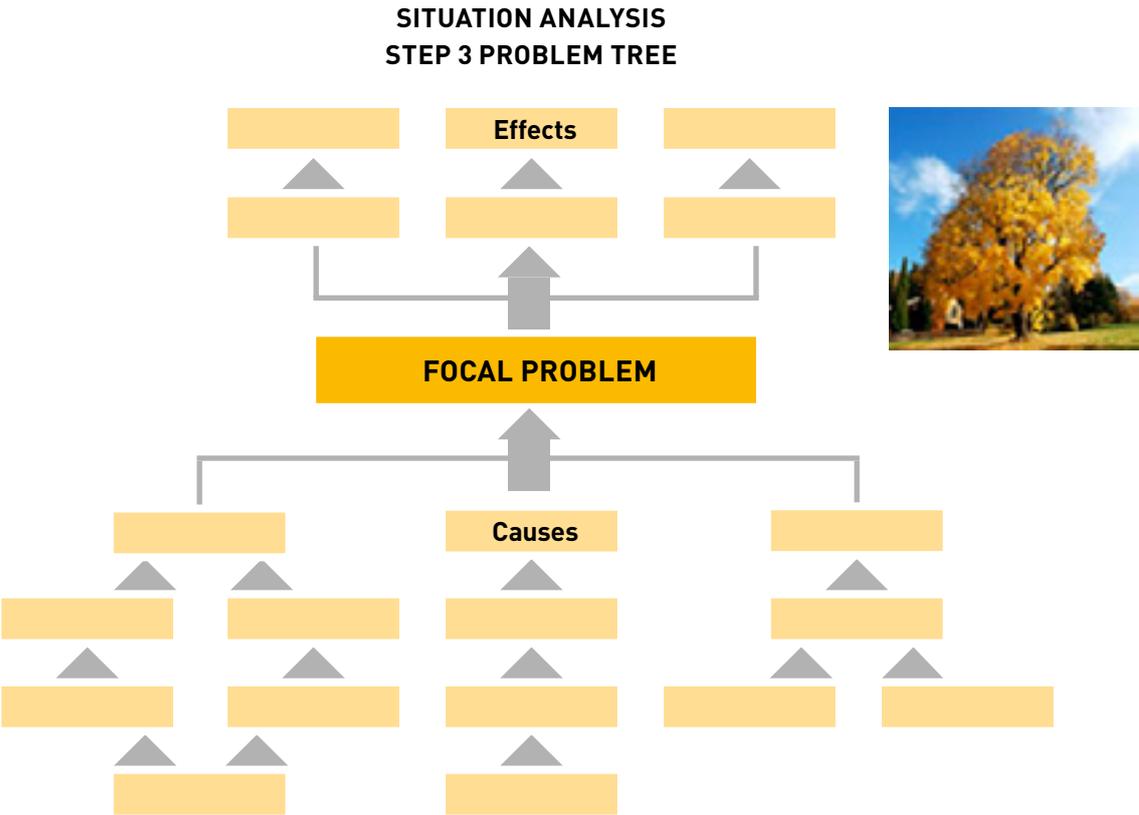
Most often, the focal problem focuses on challenges in the situation of the beneficiaries, e.g. insufficient care support for children with disabilities in a city, a weak communication system for the local population in district X, poorly functioning obstetric care in the region or contaminated drinking water in a village. The level of the focal problem naturally depends on who is implementing the project and who the project owners are. In the event that it is a ministry or agency (a public authority) that owns the project, the scope/level of the focal problem may be 'higher' and more far-reaching, than when it is a civil society organisation responsible for the implementation of the project.

- **Reasons/causes:** The underlying reasons behind the focal problem, which help explain why the focal problem exists. All main problems have their individual reasons. These are the factors that the project group shall attempt to eliminate in order to solve the focal problem.
- **Effects:** In this case, "effects" refer to the consequences of the focal problem for the individual and the community, e.g. increased poverty, decreased GDP, increased pollutions etc. The effects provide arguments for decision-makers and other stakeholders for why the focal problem is so important to solve.

By sketching out a so-called *problem tree*, a *situation analysis*, allows stakeholders to clearly visualise a focal problem’s causes and its effects. A problem tree also provides a visual overview of how different problems relate to one another. This analysis then forms the basis for the project as well as the underlying logic of the established project plan.

All projects have particular focal problems. The focal problem is the main reason why a change is needed and should be a problem that the project team can realistically handle. It is the project owner and project group that determine which focal problem the project shall solve, e.g. unprofessional obstetric care at hospital X, lack of psychosocial and health care support for women and children subject to violence in region Z, environmental pollution in river Y, poorly functioning waste management system in a city district, etc. Or, as in the example of the problem analysis found in Annex 1a, *“Insufficient support for the habilitation of children with disabilities in a city”*.

A problem tree is built by letting stakeholders anonymously write down problems on notes and stick them to a wall, in the appropriate order on the basis of cause-effect, placing the notes clearly showing what leads to what. The stakeholders invited to the workshop are asked what the causes and effects are for the focal problem. The question of why this particular problem exists and what it leads to is asked as soon as a note has appeared on the wall. The notes with causes are placed in groups or clusters, which later are becoming intermediate objectives. The objectives are formulated based on the problem analysis, after having identified a focal problem and its causes and effects.

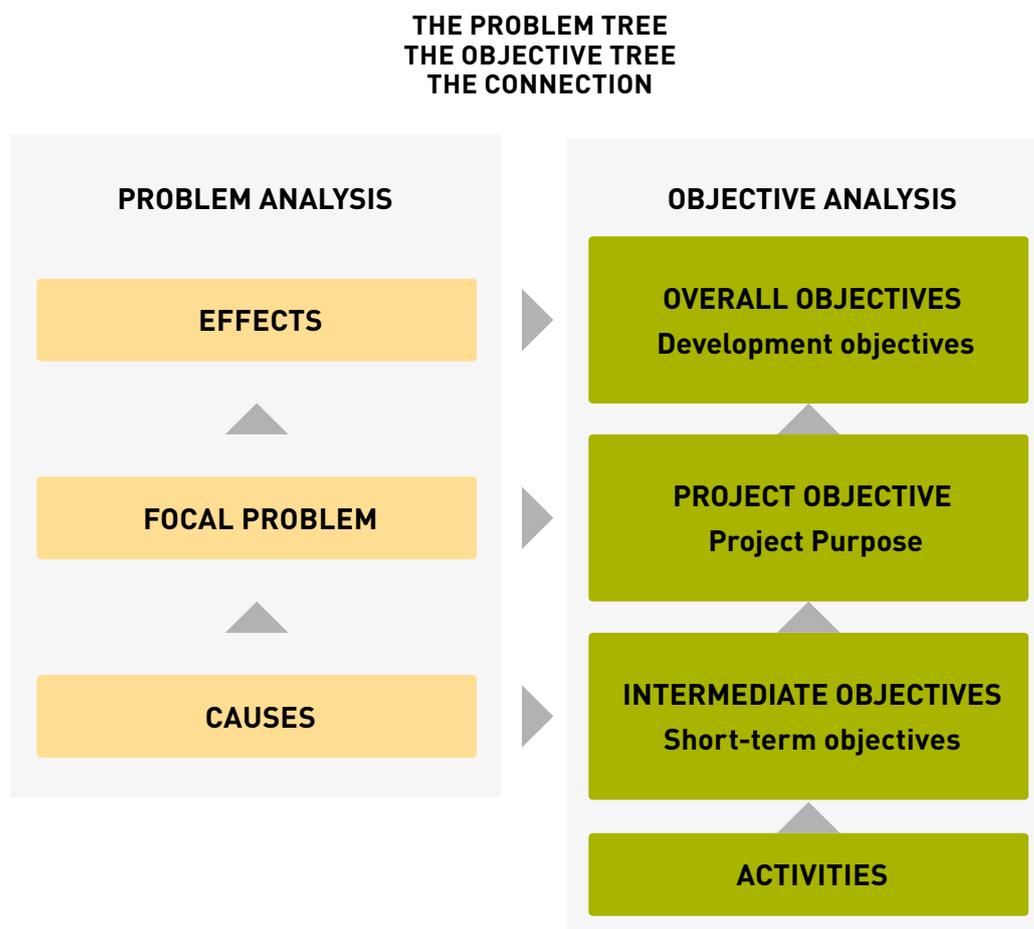


In order to conduct the problem analysis and make the subsequent planning process to work more smoothly, it is an advantage to get support from an experienced LFA facilitator during the workshop.

STEP 4 OBJECTIVE ANALYSIS

What should be achieved in the short, medium and long term? Four levels of objectives

When the project group together with stakeholders have identified which problems the project should help eliminate, it is time to formulate the objectives. If the problem analysis is sufficient and if the project groups has listened to and involved relevant stakeholders, formulating of objectives is easy. The objectives are linked to the problem analysis as below.



The problem analysis forms the basis of the formulation of objectives in a plan, and gives us three different levels of objectives

The objective analysis should provide answers to the following questions:

- What are the long-term effects of the project? Why is the project important in a longer perspective? (**The overall objectives, development objectives.**)
- In an ideal situation, what are the intentions of the project owner and target group in the medium term? Why does the target group/the beneficiaries need the project? This level, the **project objective**, should be achievable within the project's lifespan.
- What elements does the situation comprise? What must be handled successfully to achieve the project objective? Short-term objectives, so-called **intermediate objectives**, should be achieved during the project period. The activities are linked to intermediate objectives; each intermediate objective has an activity plan.

The terms that are used internationally for the different levels of objectives in a plan, and for the monitoring of results, vary from one project team to another and also amongst financing agencies. The terms that have been chosen for this document conform to the terminology most frequently used by the EU and OECD/DAC¹. Project teams within the development sector often choose for themselves the terms that suit them best or else follow the terminology of the financing agency. What is important is not which terms one uses but to differentiate whether the objectives set are for the long, medium or short-term perspective or whether they are direct performances of activities (so-called expected outputs).

Within Results-Based Management (RBM), different terms are used with regards to planning (*objectives*) and when one begins to follow up during the implementation process, where effects are monitored and measured (*results*). You can read more about the differences between objectives and results terminology in section 8 concerning the monitoring process, in the end of this publication.

OVERALL OBJECTIVES, DEVELOPMENT OBJECTIVES (Leads to Impacts)

The highest level of objectives comprises the overall or development objectives, i.e. long-term objectives that indicate the desired direction of travel. Which changes can the project contribute to in the longer term? Why is the project important for the community and for the individual? The long-term objectives are usually not attained until several years after the completed project. Moreover, there are many projects and change processes that have the same overall objectives. Examples of overall objectives include decreased poverty, improved social welfare, public health, GNP or environmental conditions, reduced social exclusion, etc.

A project usually leads to several overall objectives, and may thus contribute to several long-term effects. When the overall objectives are achieved the results are called long-term effects or impacts. In order to identify the overall objectives during the planning process, an analysis is made of the notes that are posted as effects, highest up in the tree in the problem analysis (see LFA step 3).

PROJECT OBJECTIVES, PROJECT PURPOSE (Leads to medium-term outcomes)

The project objective is the very reason for why the particular project is implemented. Projects should only have *one* project objective. The project objective describes the situation that is expected to prevail directly after the project has been concluded with an improved situation for a target group. *Some* examples of project objectives include: improved quality of obstetric care at Hospital X; strong psychosocial support to HIV positive individuals in region Y; smallholders in the district have obtained increased capacity to run more environmentally sustainable agriculture. Each project has its specific *project objective*, which is the main aim with the project.

The project objective aims to find a solution to the main problem. When the project objective is achieved, the most important causes to the main problem in the problem analysis will have been eliminated and thus the main problem itself will be resolved.

Occasionally, the focal problem may prove too hard and unrealistic to solve for the project group. In that case, we may be forced to slightly lower the targets set for the objective in question, e.g. by not operating in the whole country but only in a region or city or focus our activities to a specific school. For example, one main problem for a project was the issue of poor accessibility in schools for children with disabilities. However, considering the resources available at the time, the project group decided to write a narrower project objective: “Improved accessibility for children with disabilities in 5 schools in district Y”. This decision was taken in part because a non-governmental organisations’ resources and mandate typically do not – or cannot – cover the whole country.

¹ OECD/DAC Discussion Paper, Mr Werner Meier /CIDA, “Results-Based Management Towards A Common Understanding Among Development Cooperation Agencies”, 2003

The project objective is attained *if* the project has achieved its intermediate objectives *and* no risk factors have had a tangible effect on the results. The project objective is the objective that is achieved in the medium-term and the objective that the project group is responsible for achieving within the timeframe of the project. If we have succeeded in our project, the project objective will be achieved when the project has been concluded.

The level of the project objective should always be set by the project group in dialogue with a financing agency and the owner of the project. It is important that the project objective is realistically set on the basis of existing conditions such as the mandate and the resources that the project group have at its disposal. Furthermore, external conditions must also be taken into account, i.e. the conditions that prevail in the city, the region and the country as a whole.

INTERMEDIATE OBJECTIVES, IMMEDIATE OBJECTIVES (Leads to intermediate outcomes or more often called short term outcomes)

Intermediate objectives are the short-term objectives. These objectives should be attained within the framework of the project. A clear and specified plan with activities should be connected to each intermediate objective.

We can identify the intermediate objectives by analysing the reasons/causes to the focal problem in the problem analysis (LFA step 3). Important groups/clusters of problems (reasons for the focal problem) become *intermediate problems*, such as the problems lack of competence amongst health care staff concerning habilitation, poor co-operation amongst actors in the health care system, ignorance among decision-makers of disabilities and their consequences, etc. The intermediate problems inform the intermediate objectives, for example:

- “Strengthened competence on child habilitation amongst health care staff at health care clinic X in area Y”
- “More efficient co-operation amongst actors in the health care sector in city X for support for habilitation of children with disabilities”
- “Improved knowledge amongst decision-makers relating to situation and needs of disabled children where children’s rehabilitation is concerned”

(For other examples of clusters which become intermediate objectives, see Enclosure 2b Problem analysis and then compare with objectives in the LFA matrix in Enclosure 3c).

One project has several intermediate objectives. For a project group, however, it is essential not to have too many intermediate objectives since the project then becomes difficult to manage, monitor and control. Moreover, the intermediate objectives, if too many, often merge into one another. One recommendation in project management is usually not to have more than seven intermediate objectives for a project.

**The project objective and the intermediate objectives should be "SMART".
A SMART objective is:**

- **S**pecific (*clear*)
- **M**easurable (*it should be possible to set indicators and means of verification for the objectives, see step 7*)
- **A**ccepted (*by the project group and the project owner, which could be e.g. a ministry*)
- **R**ealistic (*on the basis of conditions such as mandate and resources*)
- **T**ime limited (*the objectives should be achieved during the project period*)

The project objective *and* the intermediate objectives are related to the scope of the problem that should be resolved within the project's time frame. Both levels of objectives should be realistic to achieve given the project group's capacity, i.e. personnel competence, mandate, time and budget.

The three levels of objectives (overall objectives, project objective and intermediate objectives) are logically interconnected and follow a time axis from short term to long term. Therefore, they are differentiated with respect to **when** they should be attained and the possibility for the project group to affect the fulfilment of the objectives. While it is more difficult for the project group to exercise control over the overall objectives, the project objective and the intermediate objectives are the project group's responsibility. Goal attainment at the higher levels naturally requires goal attainment at the lower levels.

EXPECTED OUTPUTS – direct

It is also common to talk about a **fourth level of objective**, so-called **expected outputs**. These refer to very tangible results in the short term. Expected outputs are the results that are attained directly after an activity is implemented. One example of an expected output following the activity of training staff at youth clinics in a particular region (a training in the technique of Motivational Interviewing) is: *"25 persons trained in the technique of motivational interviewing at youth clinics in the region X."*

Another example of an expected output following the activity "Printing of information material" is *"10,000 information brochures on HIV (AIDS) prevention printed and distributed to teachers and parents in district Y"*. The expected outputs become direct and tangible consequences of the activities.

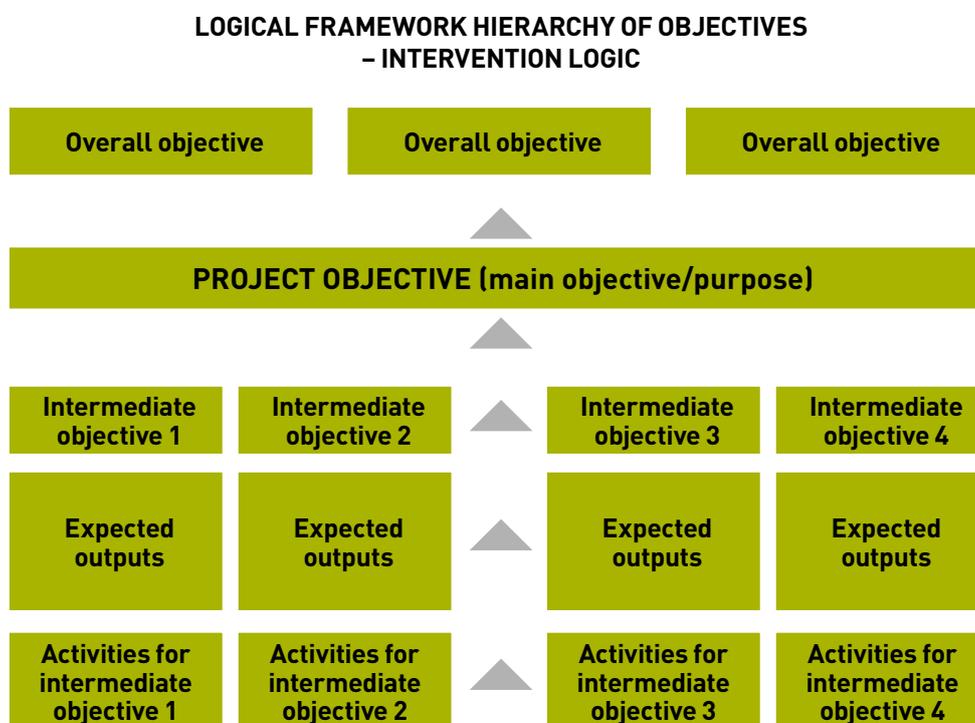
Although this level of objectives does not show up in the problem analysis, the expected outputs are identified when we have completed the activity plan, since each activity has an expected output. It is important to assess the expected outputs in order to work out a detailed budget, a division of responsibilities and to prepare a realistic time schedule. The outputs have an impact on the budget and an influence on the timetable. One training programme for 10 persons and 10 training activities for 1,000 persons respectively entail quite different costs and length of time to implement.

Outputs do not appraise the *quality* of what is done but only that an activity has taken place, i.e. an activity has been implemented. An expected output from the example above may be that 25 health care staff will be trained in the technique of Motivational Interviewing (MI). The actual output, however, was that 21 health care staff were trained, as everyone did not come to the training activity. This level of objective, the outputs, only measures the fact that 21 persons have been trained but not what the *effect* of the training was. It is possible that they sat and dozed through the training or did not understand the training as the level might have been too high or too low.

When monitoring performance, it is essential to check what has actually been achieved as a consequence of e.g. a training activity, i.e. what change/effects/results, if any, has taken place after the training activity, not just how many have received training (the output). Therefore, a more important result to understand is whether the personnel at the youth clinics in the region really perceive that they

have increased their competence and have a better opportunity to respond to and help young people after the training activity. (I.e. if they have improved their ability to respond to young people and provide better psychosocial support). Naturally, it is very important to find out what the young people, the beneficiaries, consider about the support they obtain: How has the support affected them?

Read more about measuring results and indicators in step 7 in LFA in the text below



STEP 5 ACTIVITY PLAN (Strategy / Plan of Operation)

What must be carried out to achieve the objectives – how are the objectives achieved?

Activities constitute *the means to achieve the objectives*. If activities are planned and implemented in an appropriate way the expected outputs and the intermediate objectives should follow. This in turn leads to a project objective being achieved, which in the long term should also contribute to the overall objectives being attained.

The activities should tackle *the reasons* behind the focal problem (see problem tree above, LFA step 3). Activities are the measures adopted by the project team, as well as any work performed by permanent employees within the organisation/agency and/or by hired experts. Activities may include e.g. holding a seminar, carrying out an advisory input, writing a manual and translating it to a local language, undertaking a study visit or planning and organising a training activity.

Each intermediate objective in a plan must have an activity plan. The intermediate objective is what should be achieved, a changed situation, some examples are; “Increased competence in child habilitation amongst health care staff within primary care in region Y”, “Increased knowledge of HIV (AIDS) amongst young people in municipality X” or “Increased access to clean drinking water in a village in district Y”.

The activities describe **how** the intermediate objective shall be achieved and they should always be logically connected to a specific intermediate objective. One activity plan is developed per intermediate objective. There is no activity plan for the project objective and the overall objectives.

The activities are often numbered according to the number of the intermediate objective, for intermediate objective 1 the activities become 1:1, 1:2, 1:3... etc. For intermediate objective 2 there are the activities 2:1, 2:2, 2:3, 2:4 etc. The activities should be clear and specific and described in chronological order, step-by-step (see example Enclosure 3).

The implementation of the project is easier the more detailed the activity plan is. It is also easier to plan the resource allocation (personnel, budget, equipment and time) with a well-specified activity plan.

However, to make detailed planning of all activities for a three-year project from the very start is difficult and even inappropriate. Therefore, project groups usually produce overall activity plans for all three years and then make detailed plans, plan of operations, on a yearly or six-monthly basis. The activities in question may need to be modified based on the outcome of the monitoring process, including the continuous risk analysis. Where an activity is not shown to lead to the desired results, the plan should be modified. Frequently, however, project teams notice that the greater the investment in the planning phase, the smaller the risk of constantly having to make changes to the activity plan.

STEP 6 RESOURCE PLANNING

What is required to be able to carry out the activities?

The main resources (inputs) needed in a project are:

- **Technical expertise/personnel, i.e. knowledge/competence:**
An overall staffing plan and a division of responsibilities per activity should be carried out before the project implementation. Discussions concerning the particular competence required for the performance of each activity is necessary. Furthermore, the group needs to discuss whether it already has sufficient project management and administrative competence, or whether external competence is needed.
- **Budget:** Draw up a detailed budget, with a breakdown for each activity.
- **Time:** Make a timetable linked to the activity flow.
- **Equipment:** Investigate whether any equipment is needed for the implementation of the project.

The clearer and more specific the activity plan (LFA Step 5 above) is, the easier it is to achieve success with the resource planning. A resource plan, which describes the type of resources needed and the timing of that need, is critical to effective resource management. As the project plan changes, the resource plan must also be flexible enough to adjust as these changes occur. In developing resource plans, there is little chance that the project manager will have all of the necessary resources needed in the project at its start. The fact is when starting a project several of the details of that project are typically unknown. However, a well-developed activity plan, as detailed as possible, is a great support at resource planning.

To ensure that the project's operations management is effective and efficient, the project group has to include individuals with a wide range of skills and experiences. This implies, for example, that the individuals comprising the project group represent different age group, ethnicities, genders, etc. And that they have sufficient subject/thematic knowledge, as well as project management competence and administrative skills. Administration is a crucial aspect of project management; thus having sufficient administrative skills is very useful. To carry out administrative tasks, the project group may need support from e.g. a financial administrator and/or a human resource manager.

Regarding strategic governance, certain major projects/programmes choose to have a steering group. A steering group has the overall responsibility to ensure that the project is relevant and sustainable, to

oversee its long-term effects, to give guidance and support to the project team and to assesses and analyse monitored results as well as transparency aspects. One of the steering group's main responsibilities is to ensure that the lessons learned from a project are incorporated into regular plans/strategies of relevant stakeholder organisations to achieve long-term sustainable effects. For instance, a steering group in charge of a youth clinic project should ensure that new, successful methods are disseminated and used by all youth clinics in the region.

In international development co-operation projects, personnel from both the co-operation country and from another supporting country are often included in the relevant project team. Since the project group then becomes larger and maybe also more geographically dispersed, it is especially important to have a clear division of responsibilities within the project team, activity by activity, intermediate objective by intermediate objective. Therefore, make sure to clarify who bears responsibility in the co-operation country and, if international advisors are involved in the project, which of the international experts are responsible for each activity and intermediate objective. The implementation is facilitated by drawing up a staffing plan with clear division of responsibilities, including the responsibilities of the steering group.

Furthermore, the project group needs to draw up a clear budget, including a budget review model. Most financing agencies have templates for this. Most budget templates are activity-based.

Time is also an important factor in projects. To draw up a clear timetable offers an insight and facilitates the implementation process. There are good technical models for resource planning, e.g. the so-called GANTT scheme and WBS (Work Breakdown Structure). These tools combine, in a clear way, a timetable and activity schedule. They may be good for major projects, while smaller projects usually do not need extensive models. It is, however, always a clear advantage to draw up a timetable also for small projects and in that case it can be done in a simple Excel format.

If you are granted a smaller budget than planned, or have less time and/or less personnel than originally estimated, remember to check whether it is still realistic to achieve the objectives of the project or whether any adjustments of the project plan are required, e.g. removing certain activities, lowering the level of an objective or even removing an objective altogether.

In order to facilitate project management and to get an overview of the activities and resource allocation, one can arrange the project plan for each intermediate objective in columns, see the example below.

Example of a template for a project plan broken down by intermediate objective

INTERMEDIATE OBJECTIVE 1:				
Activities	Expected outputs	Responsible person	Time	Budget/activity
1.1				
1.2				
1.3 etc.				
MONITORING: INDICATORS		MEANS OF VERIFICATION		

STEP 7 MONITORING RESULTS, INDICATORS and MEANS of VERIFICATION

How do we monitor and analyze results?

Does a project achieve its objectives? To answer this, it is necessary to have “SMART” objectives with indicators and sources and/or means of verification (SoVs or MoVs) for each objective. The indicators are measures of the project’s development at different levels and over time. An indicator is a way of making objectives clear, a measure of expected results.

To enable measurement, there must be clarity in the project plan and in the objectives concerning:

- Who is included in the target group/s?
- Which geographical region is affected by the project?
- Over which time period should the different objectives be achieved?
- What should the project achieve in both quantitative and qualitative terms?

There are no standard templates for indicators. Indicators must always be adapted according to each objective and project. The process of choosing indicators reveals if any objectives are unclear. When we initiate the work of finding appropriate indicators, we sometimes discover that objectives need to be revised because they are unclear, i.e. not “SMART”. The project group, through co-ordination with the target group, is the body best able to set up indicators and means of verification (MoVs) or sources of verification (SoVs). The project group and the target group know which results are essential to achieve and therefore most important to measure.

An indicator should be *neutral and objectively verifiable*. It should not be formulated as an objective and who does the measuring should not matter. One should not set out the value of the indicator, e.g. by writing that the indicator is “80% of the health care personnel at clinic X trained in tracing infections.” These 80% are an objective and not an indicator. One should rather write as an indicator “Percent of” or “Number of the personnel that have been trained in e.g. tracing infections”. We do not, after all, know in advance how many we will *finally* be able to train, a portion of the candidates may possibly be ill, may not wish to or may not be able to come on the date the training takes place.

On the other hand, the project group should for its own sake, specifically for budget and planning purposes, establish a measure of what would be a good result. For example, the group should, besides the indicator and the objective, write that the *expected result, expected output* is that e.g. between 70–80% of the personnel, or at least 30 of the total personnel, shall have been trained in infection tracing. *However, the indicator itself is neutral, i.e. in this case “% of primary care personnel who have been trained in infection tracing”, or “share of personnel” or “number of primary health care personnel in the region who have undergone training”.* These examples of indicators, number, proportion that have been trained etc. are so-called quantitative indicators (a performance measure, an output indicator).

An objective should also always have *qualitative indicators* to measure the effects; at outcome and impact level. One example of a qualitative indicator is “Share of trained infection tracers who apply their knowledge in the work after the training”, i.e. they have started to apply their knowledge and trace all HIV positive persons in several phases; they may also offer HIV positive testing and advice. Another example of a qualitative indicator for HIV prevention is; “Viewpoints/opinions amongst patients concerning HIV advice which they have received by those who have been trained.”

In addition to indicators of objectives, it must also be clear where data will be found for monitoring results. For each indicator, the project group should also identify a so-called **Source of Verification (SoV) and Means of Verification (MoV)**. A mean of verification for certain larger projects/ programmes may be assessing and analysing data held by a national statistical agency, a government

ministry or data from an international organisation. Normally, however, the indicator's value in projects arises from means of verification such as conducting interviews with the target group, making questionnaire surveys, tests after a training activity and or to study reports or data etc. *A mean of verification, in other words, is the method used to develop measures of an indicator (and thus of goal fulfilment), a monitoring activity.*

There may be one or more means of verification per indicator, e.g. developing questionnaires/interview questions, conducting interviews, analysing data, developing tests and assessing tests results.

It is absolutely essential to allocate time and budget for monitoring so that it is possible to collect and assess the results obtained and to determine if any adjustments in the project plan are required. (More about this in section 8 on monitoring, in this publication).

EXAMPLES OF POSSIBLE INDICATORS AND MEANS OF VERIFICATION FOR AN INTERMEDIATE OBJECTIVE:

Intermediate objective: "Improved employment measures implemented by the authorities for young women and men with disabilities seeking work in district X".

Indicators and means of verification (All indicators below should be disaggregated by gender as well as by different disabilities):

- 1. Indicator: Number of young people who have benefitted from support measures within the framework of the project.** (Source of Verification: Participant lists and analysis of data.)
(Expected output: at least 60 young adults have achieved support, of whom 30 women and 30 men.)
- 2. Indicator: Share of young adults in the target group who have been awarded passing grades as a result from vocational training measures (scale e.g. 1-5, where 2 is a pass).** (Means of Verification: Follow-up through study of students' marks. (Expected output: At least 80% of the target group shall have passed/received certificates.))
- 3. Indicator: Number/share of young people in target group who perceive they have received relevant support and venture to take the next step of seeking employment.** (Means of Verification: Interviews with target group and/or questionnaires for the target and a study report.) (Expected result: At least 70% of the target group perceive that they have received relevant support.)
- 4. Indicator: Viewpoints/opinions amongst target groups concerning the quality of the support measures that have been carried out within the framework of the project and that the target group has made use of** (Means of Verification: interviews amongst target groups and/or questionnaires and scale 1-5 as well as written comments.)
- 5. Indicator: Number (or share) of young people in the target group who have been called to interview by employers** (Means of verification: Interviews with the target group and questionnaires) (Expected result: At least 70 % called to interviews.)
- 6. Indicator: Examples of support measures that have led to employment** (Means of Verification: Interviews with the target group and with teachers.)
- 7. Indicator: Proportion of young people in target group who have obtained employment during or after the project period** (Means of Verification: Questionnaires and interviews with target group young people.)
(Expected results: At least 60 % have attained employment.)

In the example above, there are no fewer than seven indicators for one intermediate objective to show several different examples of indicators. However, it is often sufficient to have only 3–4 indicators per objective. It should not be costlier, or more time consuming, to follow up a project than to implement it. When we choose indicators it is necessary to choose a good mixture of quantitative as well as qualitative measures. Qualitative measures could include viewpoints amongst the target group concerning the support they have obtained through project measures, examples of supportive measures that have led to work etc.

When reporting results, the project group should, in the case above, consider investigating which type of employment measures, if any, that are provided to disabled young adults in the region *before the*

project started. When we follow up the results, both positive and negative ones, most projects need to carry out a preliminary study, a so-called **baseline analysis**, *before* the project starts. This baseline analysis will help produce initial values to enable comparison before and after the project. For example, for a labour market project, data on the number of unemployed in the age group 19-25 years in the region during previous years is necessary, broken down into women and men and possibly different disabilities as well. Without initial values, it is difficult to know if we have achieved any type of change, whether positive or negative.

To develop a project plan is a process. During the course of discussing, testing indicators and means of verification, it is not uncommon that objectives must be revised since they may not be able to monitor and are thus not sufficiently “SMART”.

The value of the indicators should be measured and monitored *continuously* during the project implementation through the means of verification. This is to enable follow-up of the development and to see if we are doing the right things, if our activities are relevant and lead to any effects. Do the beneficiaries acquire a better situation? To measure on an ongoing basis enables us to revise the plan *should* we find that we are on the wrong path. We also learn from negative results. The indicators and means of verification is a support when adapting the plan where necessary, and assist us in achieving the best possible results.

There is a time factor linked to indicators. Let us take, for example, the intermediate objective “Strengthened competence amongst health care professionals regarding the habilitation of children”. After having trained the health care personnel, it is possible to use certain indicators directly. Two examples of indicators that can be used at once after activities have been implemented are:

- a) “Number of health care personnel who participated in the training activities” and
- b) “Share of persons who passed the test by getting at least 80 % correct answers”

However, other indicators can only be monitored after a longer period of time, sometimes months or even years after the project in question has been initiated. Examples are the following indicators: “Examples of changes that health care personnel have undertaken within care regarding the habilitation of children,” or “Viewpoints/opinions amongst parents on the quality of the health care staffs' habilitation support given to their child.

In order for the monitoring process to function properly, project groups should, in addition to a project plan, also draw up a monitoring and evaluation plan (M&E plan). The simplest way is to integrate the monitoring plan (M&E plan) directly in the project plan itself. It then becomes easier to handle the whole process, and monitoring becomes a natural part of the project implementation. The means of verification (such as developing and sending questionnaires, conducting interviews, studies and evaluations, etc.) become new activities in the project plan, monitoring activities, under each specific intermediate objective.

More about monitoring can be found in section 8 of this document, “Monitoring of projects/programmes and operations”.

STEP 8 RISK ANALYSIS and RISK MANAGEMENT

Are there factors that may affect goal attainment negatively?

Risk analyses include an assessment of potentially critical external and internal factors and allow us to assess the assumptions that the project operates under. Risk analyses are carried out in order to achieve sustainable project results. Risk analysis and risk management is most commonly undertaken *initially*, but should also be undertaken *continuously* during implementation of the project/programme. The risk

analysis may prompt changes in the activity and project plans, as it might uncover a need to either add or remove activities.

Those who are responsible for the project should identify, analyse and assess different factors that, in different ways, may affect the project's possibilities to achieve its objectives. There are both external and internal risks for a project or a programme.

External factors/risks: External risks are those that lie outside the framework of the project team to handle, such as political developments, natural disasters, corruption at national level etc. It is unlikely that the project team comprised of staff from a civil society organisation could affect these risks. These external risks may, where they are triggered, present major obstacles to achieve the objectives of the project concerned. The project group should assess whether these risks make it impossible to carry out the project, in other words if they are so-called "killing factors". In these cases, a discussion as to whether the project should be terminated needs to take place, together with a steering group and the financing agencies.

Internal risks: The internal risks are risks that lie within the project's scope of control. This may refer to practical matters such as delays in deliveries, turnover of personnel, replacement of trainers or project managers, difficulties to get participants to courses, lack of time, etc. The project management should minimise the effects of these internal risks by establishing a risk management plan to mitigate the effects of the risks.

When identifying a risk, one should always ask what the underlying reasons are behind that particular risk. For example, what are the reasons for high staff turnover? Is the reason low salaries, stressful working conditions and/or weak or undemocratic leadership within the organisation? These different reasons would require different risk mitigation measures. The risk management measures that the project group choose must be slotted into the activity plan.

Some examples of conceivable risk management measures in response to high staff turnover, which carries the risk of losing competence and know-how, could be to train 20 persons at the local hospital instead of, as originally planned, training only 10 persons. Furthermore, the project could create a training programme for trainers (local Training of Trainers, ToT), i.e. letting health care staff train colleagues themselves and ensure there is training documentation in local languages, material and manuals, checklists for future training and, for new personnel, the day the project is concluded. In order to tackle personnel turnover problems, the project may need to strengthen management competence at the hospital in order to be able to reduce staff turnover in the long-term. Risk management may lead not only to the possible addition of a few activities, but also to a new intermediate objective in this case relating to strengthened management capacity with a focus on personnel issues, personnel care and human resource management.

Project groups should develop a risk management plan for all important identified risks. The risk management often leads, as we saw above, to new activities. These should be included in the activity plan under the relevant intermediate objective.

Risks can be weighted to assess which ones may have the greatest negative impact on the project. Therefore, project groups often make a list of potential risks and subsequently weight them on a 1–5 scale, where 1 is low and 5 is a very high risk. First, the *probability* that they occur is weighted (1–5); second, *their consequences* for achieving objectives if they occur are weighted; finally, these values are multiplied to obtain a risk value. The risks that have the highest "points" (risk value) are risks that the project group must seek to rectify through risk management. See examples of an extract from a risk management matrix below.

RISKS	PROBABILITY (that the risk will occur)	CONSEQUENCES (For the results)	RISK VALUE (column 2 and 1 multiplied)	RISK MANAGEMENT
1. High turnover of trained staff, they leave (e.g. braindrain)	4	5	20	a. More training b. Develop manuals c. Institute internal training, training of trainers (ToT) d. Avoid dependence on one person, shared responsibility for training
2. Deliveries delayed	1	2	2	No measure required due to low risk value

Preferably, the risk analysis is carried out at different levels, i.e. for each intermediate objective, project objective and overall objective. Furthermore, one should check to see if there are possible risks of not succeeding to implement each activity.

Risk analysis is a natural, continuous process both during the planning phase and the implementation phase; it is an important component of the monitoring process. Risk analysis and possible risk management should be discussed at each project group meeting and steering group meeting. This *may* imply that the project plan needs to be updated from time to time. Certain activities may, however, also be removed as they become superfluous and others may need to be added. Project groups notice that the more work they have invested in the preparatory phase (the planning phase), the fewer adjustments they need to make in the project plan during the project implementation phase. This is a result of having already thought ahead, through a proper planning process, including a continuous risk analysis and risk management.

STEP 9 ANALYSIS OF ASSUMPTIONS

A helping hand, which problems can others solve? Prioritise!

A project does not exist in a social, economic and political vacuum. In order to succeed, the project team is dependent on norms, laws, regulations, policy, political intentions and undertakings, long-term budget allocation and what other projects and actors do. This is what is often called the institutional situation. This situation creates preconditions for the project that could be more or less favourable. Some of these less favourable but decisive factors may be handled by other projects and/or actors, such as government agencies and organisations, in their ongoing activities. Goal attainment at different levels, for project objective, intermediate objectives and expected outputs may be affected both positively and negatively by external factors, of what other stakeholders or operators do *or* do not do.

Assumptions may be described as problems that need to be solved in order for it to be possible to achieve our project objectives. However, assumptions are usually problems that the project group itself cannot directly control due to its mandate and resources, but problems that we realistically can assume that other actors may solve.

One example of an assumption for a project may be: On condition that law X on obligatory school attendance for all children is enacted by Parliament in country Y, an important foundation for supporting education in accordance with the model presented by the project of children and young people with disabilities is laid. The project group, a non-governmental organisation in this case, cannot control legislation, *but* they can *where this is realistic* assume that the law goes through Parliament. For

example, the project group knows that a working group is preparing a new law. This means that they will assess that a change in the law will realistically take place. An external party in this case rectifies the problem, and the project group does not need to act through e.g. advocacy for a new legislation. The project group can hence assume that the problem with the legislation is solved by another party, the Parliament.

The assumptions must be realistic, otherwise they constitute a risk and should be handled in the risk analysis (see LFA step 8). Unless these forecasts actually take place, i.e. that the other stakeholder (actor) solves the problem through improved legislation on children's rights, the project group must where possible act e.g. through advocating for new legislation to be introduced. This leads to one or more risk management measure/s which should be included in the project plan.

What we write as assumptions in our project plan must be monitored; in this case, the project group must examine whether the new legislation is indeed introduced and how the law is adhered to. Unless a new legislation is enacted, the project group may need to change the objectives in the project plan.

The assumptions are developed by analysing the problem analysis (LFA step 3). The assumptions in the problem analysis are those problems (reasons for the focal problem in the problem tree) that are important to solve in order to achieve the objectives of the project, *but* they are problems which the project group itself *cannot* or chooses not to solve owing to its mandate and resources. On the other hand, the project group considers it realistic that these problems, assumptions, will be handled by other stakeholders.

Making assumptions involve making priorities in the project, to prioritise according to the mandate and resources that we as a project group have at our disposal, and with a link to what other actors or stakeholders take responsibility for. Make sure to monitor the development and check whether other actors really do what is expected of them. An analysis of assumptions (LFA step 9) is key to ensure sustainable project results.

5. WHY DOES THE LFA METHOD HAVE NINE DIFFERENT STEPS?

One may ask if nine different steps are really needed in order to make a project plan. Although at first glance, nine steps might seem excessive, one soon realises that each step serves an important purpose. Developing a viable plan is, and should always be, a listening process with broad participation. Those who created the LFA method have carefully considered each individual step. Every step has an important function that will allow the project group to develop a quality-assured plan that is both relevant and feasible and creates the conditions for a project with sustainable, long-term results.

The connection between the nine steps is as follows:

Relevance: With the help of steps 1–4 (context analysis, situation analysis, stakeholder analysis, formulating the objective), we ensure that we do the right thing for the target group – that the project is relevant. The project plan emerges by uncovering relevant background information and listening to relevant stakeholders. Since it is the viewpoints and knowledge of these stakeholders that form the basis for the problem analysis which, in turn, leads to the formulation of the objectives, this enables us to develop a relevant project plan with the right objectives to improve the target groups' situation.

Feasibility: With the aid of steps 5–7 (activities, resources and indicators), we ensure that we implement the project in the right way, that the project is feasible, and that we can achieve our

objectives. Using the indicators, we can ensure that our project plan leads to achievement of the objectives, i.e. that we have sufficient and appropriate activities and resources to achieve the objectives.

Sustainability: With the aid of steps 8 and 9 (risk assessment, risk management and analysis of assumptions) we ensure that the project's results can endure on the basis of their own strengths and without external support, i.e. that they become long-term and sustainable results.

How long does it take to plan a project? Naturally, different projects require different amounts of planning. The time for planning depends on factors such as how familiar the project group is with project management, how large the project is, which planning tools one has at one's disposal and the access to a good dialogue with stakeholders as well as how extensive the interest, the support, is in the project.

An LFA planning process can go quickly if the right stakeholders are invited to a workshop. At the workshop the project group thus acquires a good overview of the situation (through the problem analysis, step 3), proposals are made on objectives (step 4), activity proposals are developed (step 5) and an initial risk analysis is made (step 8) by the stakeholders. The result from the workshop is then further worked on by the project team and a final project plan is produced.

An LFA workshop, with an experienced moderator, LFA experienced facilitator, can be carried out in two days, after that the project group has a good basis for a plan. The time then required for finalisation of the project plan depends on available planning competence and other resources that the project group possesses as well as the situation in the region and the country, respectively.

6. WHAT ARE THE ADVANTAGES OF THE LFA METHOD?

LFA is a holistic method, i.e. it includes all the steps that are needed to obtain a relevant, feasible, realistic, sustainable and monitorable plan. When all nine steps of the LFA method have been carried out in the right way, there is a solid basis for the project to be properly implemented and monitored; a clear plan facilitates the project group's work with implementation and monitoring. Naturally, besides having a good plan, a project's achievement of objectives also depends on competent project management and stable and supportive external factors. LFA is a tool which allows the project team to effectively handle Results-Based Management (RBM).

The LFA analysis can be adapted to the situation. For example, if a project's aim is to solve a small isolated problem, it is not always necessary to go through all steps of the LFA analysis equally thoroughly. Nor is it necessary to go through all the steps in the LFA analysis prior to each decision-making occasion. For example, on the first decision-making occasion, the financing agency has a greater need for information about certain steps such as the context analysis, stakeholder- and problem analysis as well as objective analysis, rather than a specified activity plan and risk management plan. On the other hand, in order for the plan to serve as adequate support during the implementation and monitoring phases, the project team needs to ensure that they have undertaken all steps in the planning process in the right way.

An application to a financing agency is often not the same thing as a project plan. A financing agency and a project team have slightly different needs. In addition to information on objectives, indicators, etc., a financing agency needs information on certain factual issues such as information on the sector, the region, other ongoing projects as well as so-called cross-cutting issues. (Such as how the project will approach important issues like gender equality, anti-corruption, human rights and the environment.)

Moreover, cross-cutting issues are of great importance for the project team. However, in order to facilitate the day-to-day work, the project group also needs to ensure that they get a practical and detailed plan. The project group needs a specified activity plan connected to each intermediate objective, a resource plan with clear distribution of responsibilities, a timetable, a specified budget, etc. (For clarification, see box on page 15 in the section on resource planning, step 6 in LFA.)

However, the entire detailed planning process can often not be completed before the application has to be submitted. This is typically because all the information is not yet available, as there is still no funding and since the whole project group is not yet appointed. Therefore, often the specified plan is continuously developed after the funding has been granted and is generally revised on an annual basis.

WHY LFA?

To summarise, the LFA method contributes to the following:

- **A complete and clear project plan – a relevant, realistic and sustainable plan**
- **It creates the precondition for a constructive dialogue between all involved (different categories of stakeholders)**
- **Strengthen local ownership of a project and that the project acquires a focus on the beneficiaries' needs**
- **Clarify objectives, activities, responsibility and indicators which facilitates the implementation and monitoring.**
- **The project work is becoming well-structured and effective, which leads to time and cost savings and facilitates project management**

7. ONE WAY TO SUMMARISE THE PROJECT PLAN: THE LFA MATRIX

Project plans can easily be summarised in matrix form. An LFA matrix can be written after all steps in the LFA method have been implemented in the right way, i.e. when the project/programme plan is complete. LFA matrices often comprise an annex to the project plan itself. The matrix is a useful instrument for the project group as a steering document at project meetings. It also gives a holistic overview of the project for the evaluation team, the financing agency and other decision makers and it can be used to support dialogue between the parties.

The structure of LFA matrices vary slightly from project group to project group, depending on the needs of the project group and/or the financing agencies. However, it often assumes the form/headings shown in the example on the next page. Results from the different steps of the LFA process are filled out in the boxes beneath each heading for objective levels, indicators, means of verification and assumptions.

The matrix is just a summary of the project plan. Thus, all information is not included, but the most important information is. Within international development cooperation, matrices are used frequently. Most project groups see it as a practical instrument for acquiring an overview of their project plan. Sometimes, the LFA matrix is also called the results matrix or objective matrix. Objectives and results are, however, slightly different things (see section 8 on Monitoring). In order to know which information

the financing agency desires in an LFA matrix (result matrix), it is best to contact the responsible programme officer. Below is a *proposal* for headings in a matrix, but again, bear in mind that matrices can look slightly different.

Sometimes, the LFA method has been perceived to be equivalent to an LFA matrix. However, the LFA method consists of the *whole planning process* itself with its nine different steps, and LFA is a process carried out in participation with relevant stakeholders. The LFA matrix is only one way of summarising a project plan by providing a means for seeing the logic behind the project plan.

LFA MATRIX (SUMMARY OF A PROJECT PLAN, THE LOG FRAME/LFA MATRIX)

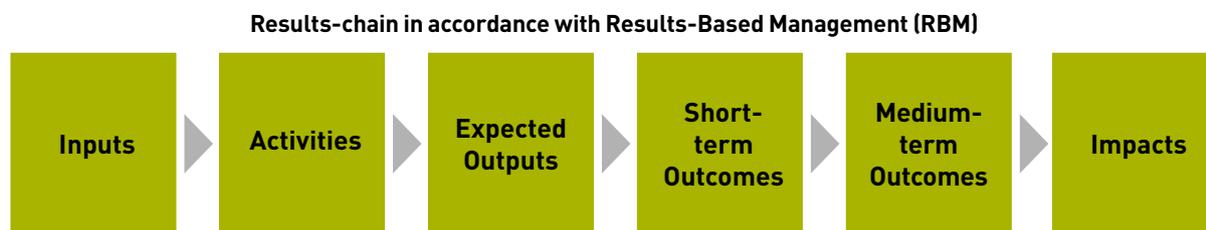
INTERVENTION LOGIC	INDICATORS	MEANS OF VERIFIKATION, (MoVs)	ASSUMPTIONS
Overall objectives	(Indicators)	(Means of verification)	(Empty Box)
Project Objective	Indicators	Means of verification	Assumptions
Intermediate objectives	Indicators	Means of verification	Assumptions
Expected outputs	Activities	Resources	Preconditions

The different levels of objectives are written in the left column, called intervention logic. Indicators and means of verification (MoVs) for overall objectives are written within brackets. The reason for this is that it is often difficult for a smaller organization to measure results on this long-term/overall level. As a consequence, it is hard to follow up overall objectives with indicators and means of verification. Furthermore, since several projects and programmes in the same community are working toward the same overall objectives (such as reduced poverty), it becomes difficult to discern the specific impact of any individual project or programme.

Expected outputs are the direct, short-term results of activities and the activities, in their turn, are dependent on resources/inputs. Hence, they stand in the columns alongside one another. Through the resources, it is possible to implement activities that lead to the expected outputs, which then lead on to the intermediate objectives, leading to the project objective and finally in the long-term to the overall objectives.

The box where “Preconditions” is written is used as a reminder. This box should include prerequisites for the project to start, such as decisions from and contracts with financing agencies, that a particular project group is set up/appointed, a Memorandum of Understanding (MoU) between stakeholders responsible for implementation, decisions from Ministry of International Affairs, etc. To see examples of LFA matrices, see Enclosure 2a (template in English) *and* an example of a completed LFA matrix from a project, Enclosure 2b.

Within Results-Based Management (RBM), there is also something called the results chain or theory of change. Like an LFA matrix, a results chain is meant to provide a logic overview of a project plan, or rather the expected results of the project. In the results chain, the results levels are set horizontally instead of vertically as in the LFA matrix.



The results chain does not, however, include as much information as the LFA matrix: the results chain does not include any indicators, means of verification or any assumptions. In a well-elaborated results chain several expected results (outcomes and impacts) from each objective should be included. Consequently, there are more results than objectives. However, many project management tools, such as the Theory of Change, are not complete and coherent practical *planning* tools but merely monitoring *theories*. Thus, what project groups really need when starting a change process are tools like LFA, which, if properly used, can help groups develop well-elaborated and actionable plans.

8. MONITORING OF PROJECTS and PROGRAMMES

The conditions for success with Results-Based Management (RBM) lie with proper project planning as well as judicious implementation, careful monitoring and rigorous evaluation of projects. Where the LFA method is applied correctly, leading to SMART objectives with indicators and means of verification, there are excellent conditions for monitoring and analysing the project's results and hence, good application of RBM.

In order to properly exercise Results-Based Management (RBM), it is crucial to plan what form the monitoring will take, in addition to having a sound project plan. This includes developing a monitoring and evaluation plan (M&E plan). When planning the monitoring process, the following questions offer some useful starting points:

PRINCIPAL QUESTIONS WHEN MAKING A MONITORING PLAN:

- **WHAT the monitoring should focus on?** *[Objectives, step 4 in LFA] with the help of indicators [step 7 in LFA]*
- **WHAT FORM the monitoring should take? Which tools should be used to collect information, the so-called means of verification or sources of verification?**
[see LFA step 7, e.g. through interviews, questionnaires with target groups or through studies, tests]
- **WHO will be responsible for the data collection and the analysis of data?**
- **WHEN will the monitoring take place?** *[e.g. continuously after each training occasionally or once every six months or both of these?]*
- **WHO should receive information on the monitoring results?**
- **HOW do we apply (use) the results?**
- **WHO/WHICH should take any new decisions on potential revisions of the project plan?**

For a project group making a monitoring plan, it is easiest to start by setting indicators and means of verification for each intermediate objective and for the project objective. After having done so, it is

possible to answer the remaining questions above: who should be responsible for the monitoring; when will it be implemented; who will obtain information and how can we make the most of the results etc.?

It is difficult for an individual project group (e.g. a non-governmental organisation, NGO and CSO) to follow up the overall objectives, the strategic impacts. As mentioned above, it is hard for one project to measure how much that project has led to the achievement (or not) of development objectives such as reduced poverty, increased welfare and diminished carbon dioxide emissions. After all, there are several projects with the same overall objectives. Thus, it becomes nearly impossible to deduce which project has led to what impact(s).

On the other hand, the overall societal objectives should always be followed up at the regional, agency/ authority, departmental/ministerial and financing agency level in the country. If it is a ministry that runs a project/programme, it is naturally relevant for them to also measure goal attainment at the overall (strategic) objective level. However, not even a programme run by a ministry is the only one that has e.g. reduced poverty, improved public health, etc. as its overall objectives.

Within international development cooperation, separate monitoring and evaluation plans are frequently drawn up for projects. Still, in many cases it is *more simple and effective to integrate the monitoring plan directly into the project plan*. Monitoring activities should be stated as activities under each intermediate objective and for the project objective. The monitoring activities are the so-called means of verification, e.g. interviews, questionnaires, making tests, studies, etc. The indicators are written under each intermediate objective and under the project objective, and then the means of verification are written as activities in the activity plan.

To insert monitoring activities directly into the project plan means that costs and monitoring activities can be included more easily in the budget planning, timetable and distribution of responsibilities. Monitoring then automatically becomes an integrated part of the project work. Some project groups choose to do both, i.e. both a separate monitoring plan (M&E plan) and integrating the monitoring as part of the project plan to ensure that monitoring becomes a natural part of the project implementation process.

When monitoring results, other terms are used than when planning. For instance, one distinguishes between objectives and results. Ideally, an objective and result becomes the same, meaning that the project group has completely succeeded in achieving all its objectives. However, through each objective several results and several effects may occur. Take for instance the intermediate objective “Enhanced entrepreneurship skills among marginalised women in community X”. When achieved, this objective may e.g. lead to the following effects/results at the output-, outcome- and impact level;

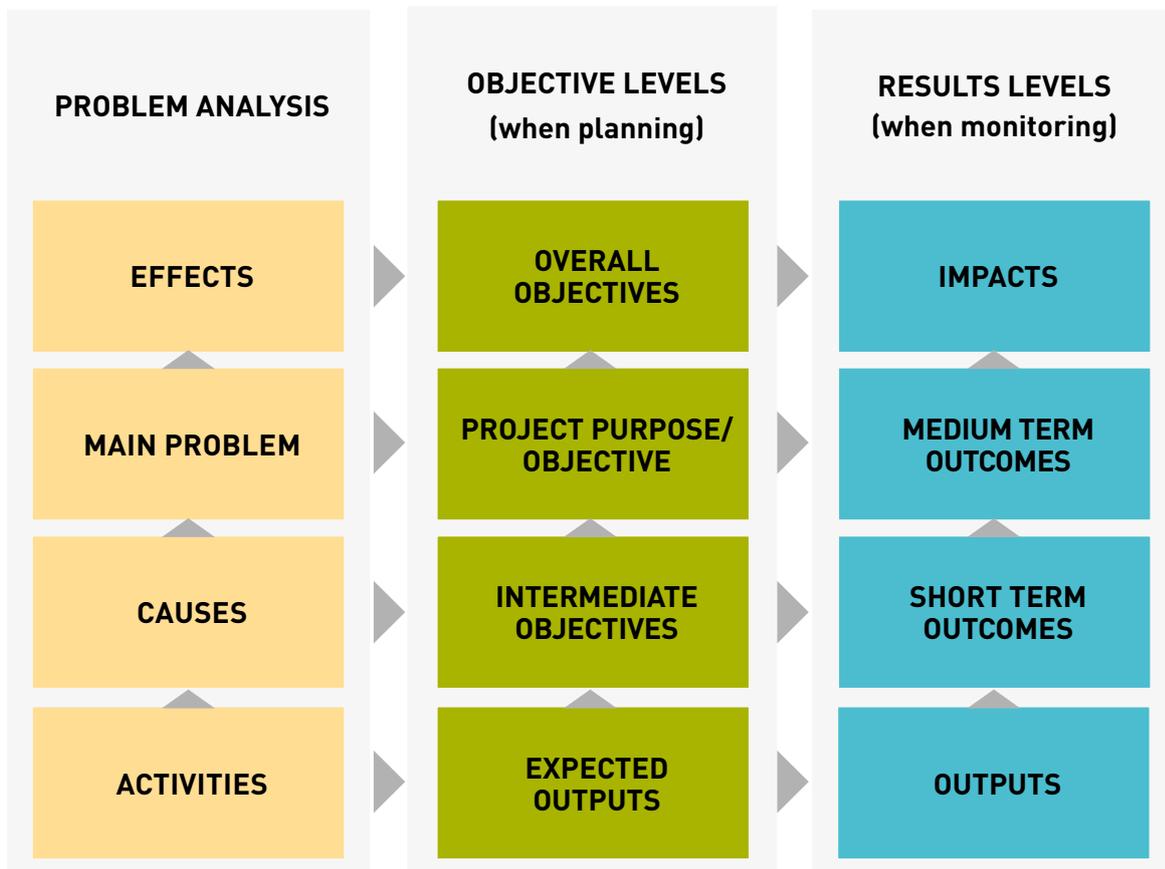
- A self-help group created by women in the community
- A sustainable micro-finance system established in the community
- New enterprises created and run by rural women
- Enhanced self-sufficiency among marginalised women
- Improved self-esteem among women in the target group
- Women get a stronger position in their household, empowered vis-à-vis their husbands and children and get a stronger position in the community
- Women start claiming their and their families’ rights
- Reduced usage of child labor

- Higher school attendance among children in the community
- Women and men organise to a greater extent to change their community and reduce poverty

During the project planning phase, all levels are called *objectives*, during implementation and after implementation, the *results* are achieved at different levels (direct (outputs), short-term (outcomes), medium-term (outcomes) and long-term effects (impacts)). In project and programme plans, terminology relating to objectives is usually employed and, when reporting and monitoring, results terminology tends to be used. In the illustration below, the link between the problem analysis, planning terms (objectives) and monitoring terms (results) is shown.

The terms most often used in English are those included in the illustration below. However, as mentioned above, different project groups and financing agencies use different terms. Unfortunately, there is no unanimously agreed upon terminology for the different objective and result levels.

DIFFERENT TERMS FOR OBJECTIVES AND RESULTS WITHIN RESULTS-BASED MANAGEMENT



9. DISSEMINATION OF RESULTS

Dissemination of results is a key issue in order to achieve long-term and sustainable results. Besides creating a good project plan and an integrated monitoring plan, a recommendation to groups is to develop a simple communication plan for the project in question. This communication plan is intended for efficient dissemination of results. A communication plan should cover: who will receive the information; which information the stakeholders should have and how the project's results should be conveyed to different stakeholders (through reports, meetings, seminars, workshops, media, study visits for decision-makers etc.).

The project communication plan need not be complicated. Think of the effects of the project in a long-term perspective: which persons or authorities require information in order to act and support the project in question and improve the situation for the beneficiaries. Bear in mind that, from a strategic point of view, you want to spread all the good results that the project has achieved and that you wish to get different stakeholders to integrate the project's good outcomes in their own ongoing operations and thereby also in their operating plans and strategies.

The communication plan, like the monitoring plan, can be included in the project plan if the project has a narrow scope. In such cases, communication measures directed at different target groups then end up as activities under each intermediate objective.

QUESTIONS THAT SHOULD BE ANSWERED IN A COMMUNICATION PLAN FOR A PROJECT:

- **Which** persons/bodies should have the information at their disposal and be made aware of result information (Think widely! implementers, target groups including beneficiaries, financing agencies, decision-makers at local, regional and maybe even national level etc. Prepare an analysis of stakeholders, use step 2 in LFA)
- **Which** type of information should each stakeholder have?
- **Who or which bodies** are responsible for the communication
- **When** should the information be disseminated? (yearly, monthly, in case important results have been achieved, etc.)
- **How** should the information be disseminated? (through reports, seminars, study visits, contact with media for articles and reports etc.)
- **What** purpose does the dissemination of information have? (Why do we wish to keep the stakeholders informed?)

FINALLY...

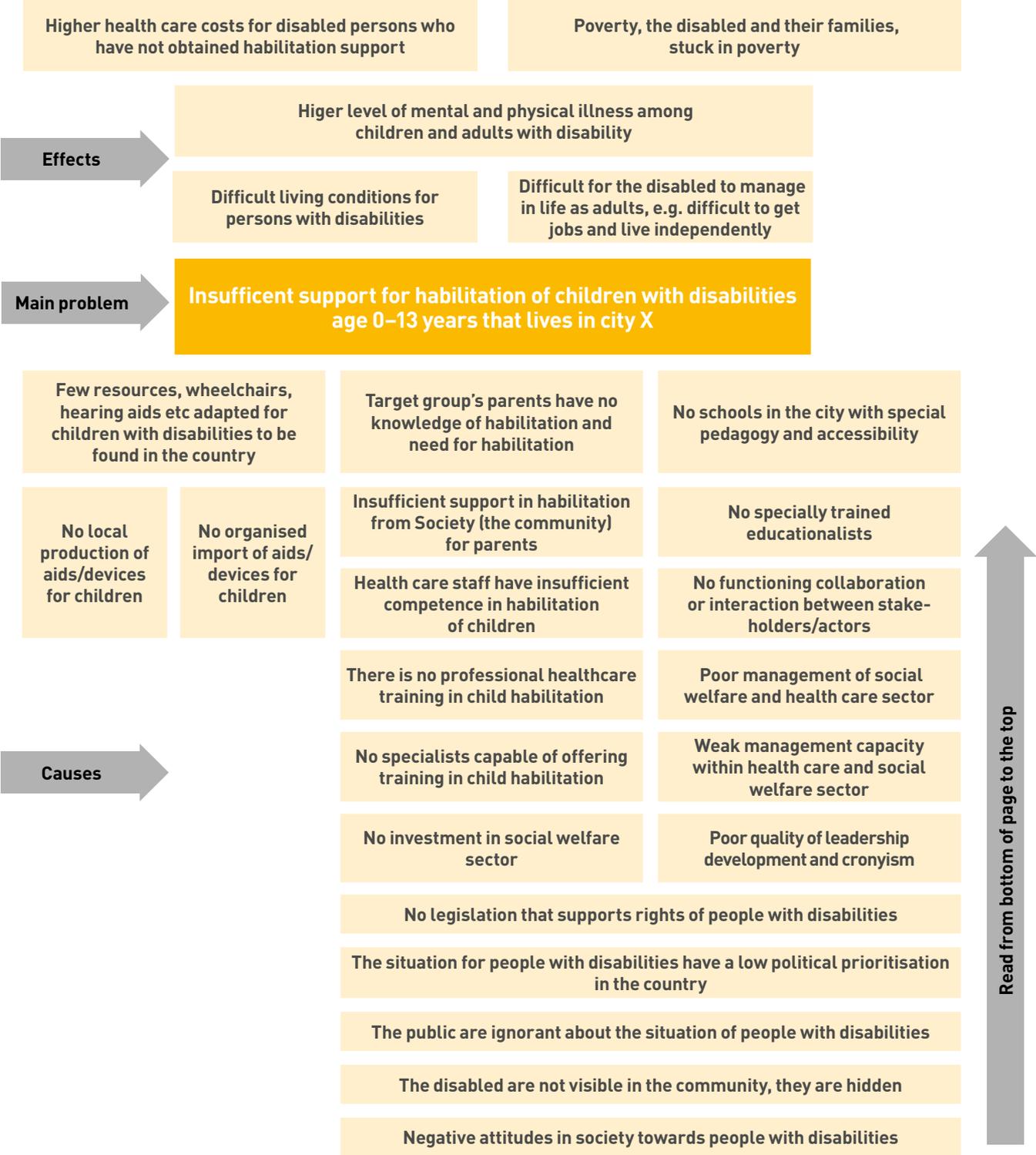
Project groups need adaptive, versatile and complete tools for project planning, and the LFA method is one of these tools. The method is comprehensive and lays a solid foundation for a well-functioning project process. The method provides nine structured and logical steps that in a participatory process lead to “SMART” objectives in the long, medium and short term, as well as indicators and means of verification that not only facilitate the implementation of projects but also the monitoring of their results.

A useful motto in project management is to listen and always analyse carefully before acting. The LFA method assists the project management group in asking the right questions in order to obtain relevant answers. There is a question list following the LFA method attached to this document. (Enclosure 4, Logical Question List). This list can be used on an ongoing basis by project groups and financing agencies during the dialogue on Results-Based Management (RBM) of projects and programmes.

Annex 1a.

The problem analysis/situation analysis below is an extract of a larger analysis that was carried out at a workshop. It is an illustrative example of how the analysis can be made with interested parties through stick-it notes being placed on a wall in an order – what leads to what, cause and effect. Through carrying out a problem analysis one can then set appropriate objectives for a project.

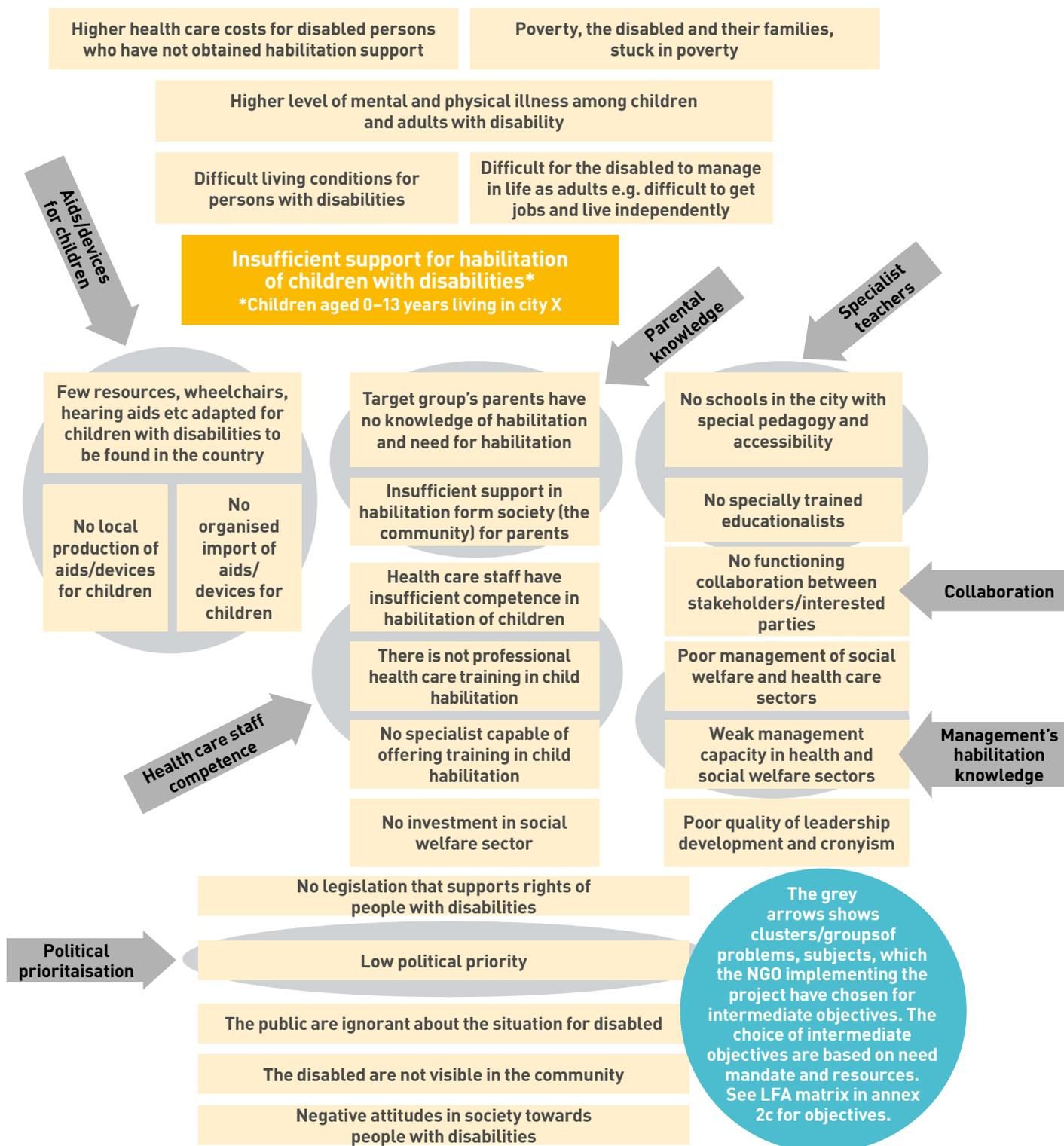
Subject: Habilitation of children with disabilities in a city X



Annex 1b. Examples of a problem analysis, clusters of causes/reasons, to the focal problem that will become intermediate objectives.

The problem analysis below is an illustrative example of how to proceed from a problem analysis to finding intermediate objectives in a project plan. This is carried out through finding important groups of causes in the analysis or clusters that are then converted into intermediate objectives (To see the objective formulation in this example, see the LFA matrix in Annex 2b).

Subject/Project: Support for habilitation of children with disabilities in a city



Annex 2a. Example on a template for a LFA matrix

LFA matrix (example) – A way to Summarize a Project Plan

Project:		Financing Agency:	
Project Implementing Partners:		Project Managers: Phone and mail:	
Country and Region:		Time Frame:	
Intervention logic	Objectives	Indicators	Assumptions
The Overall objectives (Expected Impacts)	The project will contribute to:		N/A
The Project Objective (Medium-term outcome)			
Intermediate objective 1	Intermediate objectives (Short-term outcomes)	Indicators per intermediate objective	Source of Verification (SoVs) Assumptions
Intermediate objective 2			
Intermediate objective 3			
Intermediate objective 4			
Expected Outputs	Expected outputs	Activities / Intermediate objective	Resources Preconditions (prior to project start)
	1.1	1.1	Time:
	1.2	1.2	Total budget:
	1.3 etc	1.3 etc.	
	2.1	2.1	
	2.2 etc.	2.2 etc.	

Annex 2b. Example of a LFA matrix

This example on a LFA matrix is based on the problem analysis presented in appendix 2a and 2b, project: Habilitation for children with disabilities. A LFA matrix is a summary of a project plan, an overview. Please note, that to facilitate the implementation of a project, project teams also need to develop a complete project plan, a plan of operation, including e.g. a more detailed list of activities, time schedule, responsibilities and budget. Often a plan of operation is made on a yearly basis. However, at the financing application stage, it is difficult to have all the detailed information, hence a draft LFA matrix is made to give an overview of the project. The LFA matrix could be more elaborated after having received financing, which gives the project team better planning opportunities. It's a process to develop a plan.

This LFA matrix (example) – A way to Summarize a Project Plan

Project: Habilitation for children with disabilities in City X Project Implementing Partners: NGO Z		Financing Agency: Q	
Country and Region: Country X, East Region		Project Managers: Ms ZPhone.... and mail:.....	
Time Frame: 2016–2019		Source of verification (SoV)	
Intervention logic	Objectives	Indicators	Assumptions
The Overall objectives (Expected Impacts)	<p>The project contributes to:</p> <ul style="list-style-type: none"> Strengthening the possibilities for children with disabilities in the target group to manage on their own as adults and to find employment. Decrease the vulnerability among persons with disabilities Increase the self-confidence among children with disabilities Improve the physical and mental health among the target group. 	<p><i>Difficult to monitor results at the impact level for the project group since the results at this level are visible several years after the project has ended and there are several projects contributing to the same overall objectives. However, long-term results should be monitored at a national/regional level by Health Care Authorities.</i></p>	<p>N/A (no assumptions are written for the overall objectives)</p>
The Project Objective (Medium-term outcome)	<p>Improved access for professional support of habilitation of children* with disabilities in City X. (*Age 0-13, boys and girls in city X)</p>	<ol style="list-style-type: none"> The outcome of the evaluation on the quality of the habilitation support. Examples on children in the target group having improved their abilities to walk/move and to communicate. 	<ol style="list-style-type: none"> Assessing the evaluation made by external habilitation experts, assessing the quality of the habilitation support system in accordance to agreed habilitation <p>The new legislation on support of disabled will be in place within the time frame of the project, as planned by The Ministry of Social Affairs.</p>

	<p>(Monitoring different disabilities and different ages. Expected result is that at least 80% of the children in the target group have made progress)</p> <ol style="list-style-type: none"> 3. The opinions, the level of satisfaction, among the target group's parents on the habilitation support given by the health care clinic. 4. Important changes made in the child habilitation health care system in the city during and after the project. 	<p>standards (The monitoring of the habilitation care will be made for different disabilities and age groups)</p> <ol style="list-style-type: none"> 2. Interviews with parents and health care staff. 3. Questionnaires to parents and analyzing the answers. 4. Observations made by parents based on and compared with base-line data, interviews with parents in the target group and interviews with health care staff and health care managers.
<p>Intermediate objective (Short-term outcomes)</p> <p>1</p> <p>Intermediate objective 1: <i>Target group: Health Care Staff</i></p> <p>Enhanced competence on child habilitation among health care staff at the three main health care clinics in the city.</p> <p><i>*The project will during phase I be focusing capacity building activities for five to seven selected main disabilities</i></p>	<p>Indicators</p> <ol style="list-style-type: none"> 1a. Number of staff trained through the project in different habilitation techniques for different disabilities. (This is an output indicator, measuring quantity, not quality) 1b. Test results, exams from trainings assessed according to agreed habilitation standards. 1c. Number of trained staff having initiated habilitation service for children. 1d. Opinions among trained staff on their ability to support the children with habilitation. 1e. Opinions among parents on the support given to their child by the health care staff. 	<p>Source of Verification (SoVs)</p> <ol style="list-style-type: none"> 1a. Lists of participation for each training in each area of habilitation (men and women trained) 1b. Correcting and analyze exams made by health care staff 1c. Interviews with trained staff and managers 1d. Interviews with trained staff and managers, in-depth interviews made by their project supervisors. 1e. Interviews with parents on the quality of support given to their child by health care workers <p>Assumptions</p> <p>The managers at the Health Care Clinics are willing to allow their staff to attend trainings and to apply their new knowledge</p>
<p>Intermediate objective (Short-term outcomes)</p> <p>2</p> <p>Intermediate objective 2 <i>Target group: Parents</i></p> <p>Improved knowledge among the beneficiaries' parents on habilitation and the need to habilitate children with disabilities.</p>	<ol style="list-style-type: none"> 2a. Number of parents having gone through the project's training. (an output indicator) 2b. Opinions among parents on the trainings, the dialogue with parents on habilitation provided through the project. 	<ol style="list-style-type: none"> 2a. Lists of participation, men and women participating. 2b. Evaluations from training and dialogue sessions with parents <p>The Clinics is providing teaching support and allowing trainers to train at continuous trainings of parents.</p>

	<p>2c. Examples of actions taken by beneficiaries' parents to support their child to habilitate.</p> <p>2d. Reflections from health care staff on parents' level of engagement in the habilitation of their child.</p>	<p>2c. Observations made by health care staff and interviews with parents</p> <p>2d. Interviews, discussion with health care staff</p>	<p>Managers set aside time for a dialogue on child habilitation</p>
<p>Intermediate objective 3</p> <p><i>Target group: Managers in the Health Care Sector in the city</i></p> <p>Enhanced knowledge among managers on child habilitation and the steps needed to be taken to build a system in the health care sector in the city</p>	<p>3a. Number of involved managers in the training sessions and the project's activities. (an output indicator)</p> <p>3b. Opinions among managers on trainings and proposals from the project team.</p> <p>3c. Examples of actions taken by health care managers in the city, actions with regard to child habilitation.</p>	<p>3a. Project documentation, lists of participation.</p> <p>3b. Evaluations from training sessions and interviews with managers.</p> <p>3c. Interviews/dialogue with managers, staff and parents.</p>	
<p>Intermediate objective 4</p> <p><i>Target group: Decision Makers in the Social Sector in City X</i></p> <p>Enhanced awareness among decision makers in the city on children with disabilities and their families' situation and on the advantages with early child habilitation.</p>	<p>4a. Number of involved decision makers in the project's activities, such as study visits and seminars. (an output indicator)</p> <p>4b. Opinions among decision makers on project actions and proposals from the project team.</p> <p>4c. Examples of actions taken by decision makers in the social and health sector in the city, actions with regard to child habilitation.</p>	<p>4a. Project documentation, lists of participation</p> <p>4b. Interviews/contacts/ dialogue with decision-makers.</p> <p>4c. Discussions and interviews with staff in the health care sector and decision makers, project staff observations.</p>	<p>The legislative work continues on support for vulnerable people and disabilities, which makes it possible to have a dialogue and involve with decision-makers.</p>
<p>Expected Outputs</p> <p>(N.B. Only the main activities and main expected outputs are included for one of the intermediate objectives.)</p>	<p>Examples on expected outputs for intermediate objective 1:</p> <p>1.1 Training modules will be developed, one for each area of habilitation</p> <p>1.1.1 A need assessment will be made and analyzed</p>	<p>Intermediate Objective 1: Health Care Staff Activities:</p> <p>1.1 Preparatory work, training modules</p> <p>1.1.1 Making a need assessment on training needs</p> <p>1.1.2 Develop curriculum based on the need assessment</p>	<p>Time: 3 years between 2016–2018</p> <p>Budget: USD 700.000</p> <p>Project team: 3 persons full time, 7 experts and one administrator part time</p>
<p>Main expected outputs</p>	<p>Activities per intermediate objective</p>	<p>Resources</p>	<p>Preconditions (prior to project start)</p> <p>An agreement is signed between the local hospital/clinic and the Swedish Institution.</p> <p>Support for the project is given by managers at the health care clinic, allowing staff to attend trainings.</p>

The activities and outputs for the other three intermediate objectives have not been described in this example)

- 1.1.2** Seven training curriculum will be developed, curriculum
- 1.1.3** A selection of good examples of training material, best practice will be made
- 1.1.4** Local training material will be developed for each of the seven areas of child habilitation.
- 1.2** At least 21 trainers will be trained, at least 3 trainers in each of the seven areas of habilitation
- 1.2.3** At least 140 staff members will be trained in pilot trainings, by the trained trainers
- 1.2.4** Evaluation results may lead to a revised curriculum and/or more trainings of trainers.
- 1.3** At least 280 health care staff will be trained in 7 different habilitation/disability areas.

- 1.1.3** Assess existing training material in the field, nationally and internationally
- 1.1.4** Develop and translate training material, adopted to the local situation and local needs
- 1.2** Training of trainers (ToT)
 - 1.2.1** Assign suitable trainers
 - 1.2.2** Train trainers in each of the seven areas of habilitation
 - 1.2.3** The trainers implement seven pilot trainings in each of the seven areas of habilitation
 - 1.2.4** Assessing evaluation of the pilot trainings
 - 1.2.5** If needed, revision of the curriculum, the trainings

- 1.3** Full scale staff trainings
 - 1.3.1** Assign staff to train for each area of habilitation
 - 1.3.2** Implement full scale trainings for staff in seven fields
 - 1.3.3** Evaluation and analyzing each training
 - 1.3.4** Assigning supervisors to each of the seven health care staff teams trained
 - 1.3.5** Give coaching to each of the staff teams etc.

Above are some examples on activities, the whole plan of activities and the list of expected outputs are not included in this LFA matrix.

A project steering group is assigned.
 Financing is in place and a contract with the Financing Agency is signed.
 A local and an international project team/group is assigned.
 A MoU is established between project partners, with clear responsibilities.

Annex 3. Examples of an activity plan for achieving one of the intermediate objectives in a project plan.

Intermediate objective 1: Strengthened habilitation competence amongst health care staff, with focus on children and young people with disabilities, in region X

Activities for intermediate objective 1:

1.1 Carrying out a needs assessment in the region for children and young people with special needs; which types of disabilities and which habilitation competence exists in the region.

(Responsibility: Steering group that engages/calls in a Project group)

1.1.1 Drawing up terms of reference for needs assessment

(Responsibility: Project group)

1.1.2 Procurement of an expert for the needs assessment including evaluation of offers/quotations and selection of investigator

(Responsibility: Project group and Expert group)

1.1.3 Execution of the needs assessment

(Responsibility: External expert)

1:2 Analysis of results of the needs assessment and conclusions

(Responsibility: Expert group)

1:3 Development of a training package for health care staff, needs-oriented for different target groups in accordance with results from the relevant study

(Responsibility: Expert Group that designates a Training group)

1:4 Development and printing of training material

(Responsibility: Expert group and Training group)

1:5 Training of trainers who will train health care staff (Expected output: in the region at least 20 trainers will be trained in rehabilitation for the 8 most common disabilities)

(Responsibility: Training group)

1:6 Preparation of a training plan for different categories of health care staff focused on different needs and disabilities

(Responsibility: Training group)

1:7 Execution of three test training programmes/pilot programmes with selected persons from the target group health care staff

(Responsibility: Trained trainers/teachers, controlled by Training group)

1:8 Follow-up of pilot training programmes through interviews with trainers and interviews with those who have undergone the relevant training

(Responsibility: The training group)

1:9 Implementation of the training programmes on large scale for health care staff in the whole region (Expected output: Two training programmes per month, 5 days/training programme with 20 participants per occasion)

(Responsibility: The training group with assistance from contracted personnel)

1:10 Evaluation of training measures through interviews with health care staff and parents as well as studying health care units

(Responsibility: Habilitation experts, trainers)

1:11 Disseminating information of results of training measures to relevant stakeholders including decision-makers in order to ensure continued training inputs, arranging of a result presentation seminar and have decision-makers making a study visit

(Responsibility: Steering group in collaboration with the Training group)

Annex 4. A LOGICAL QUESTION LIST FOR A PROJECT ANALYSIS¹

A project/programme plan, which has been elaborated by the project team in close co-operation with stakeholders including the beneficiaries, should preferably clarify the answers to the following questions. The use of the question list should not be regarded as a formal exercise, but as a way to inspire logical analysis and a good dialogue between cooperating partners.

The questions - or those which are relevant to the issue - should be applied flexibly and with common sense during and after the process of developing a project plan. The questions are based on the Logical Framework Approach, the LFA-method, the nine steps in the LFA-method, hence, the steps in a project planning procedure.

1. BACKGROUND: COUNTRY AND SECTOR, (LFA step 1)

- a. What are the country's basic development problems? (Study e.g. the country's development policy, the Global Monitoring Report (World Bank) and UN studies, Sida's country analysis and development strategies).

Is the proposed project/programme relevant in this context? Are the problems to be solved by the project/programme related to existing major problems in the country?

- b. Which are the main challenges in the particular sector? (Study country sector policy, any available sector analyses, evaluation reports and results analyses)

2. ANALYSIS OF STAKEHOLDERS, (LFA step 2)

- a. Which agencies, organisations, groups and people will influence/be influenced by the project/programme, directly or indirectly? Define their roles in relation to each other (Target groups including beneficiaries, decision-makers, financing partners, experts etc.)
- b. In what way have/will the beneficiaries and other stakeholders participate in the planning, implementation and monitoring, of the project/programme? To what extent does the project team own the project, the planning and the implementation process?
- c. How will the project, if it successfully achieves its objectives, contribute to help weak/poor people or groups in the society?
- d. How are men, women and children affected by the situation which will be solved through the project? Are they differently affected by the project? Have women's, men's and children's different needs been taken into consideration by the project group? Are LGBT issues taken into account during the planning and implementation process? Has the situation of disabled people been considered?
- e. Might any groups be affected negatively by the project and its' results?

¹. This list has been modified from the original version of "The Logical Question List" was published in Sida's Guideline for the Application of LFA in Project Cycle Management, 1996 by The Unit for Planning, Monitoring and Evaluation (PME).

3. PROBLEM ANALYSIS, (LFA step 3)²

- a. What is the main problem the project/programme aims to solve? (Find a common definition of the main problem, have a discussion with local stakeholders)
- b. What are the causes and the effects of this main problem according to the local stakeholders? (See question 2c above)
- c. Why is it not possible for the country/the target group to solve the problem on its own? Why is development cooperation necessary?
- d. Are there any relevant and recent studies that have analysed the problem area? If so, what are they and what main conclusions did they reach?

4. ANALYSIS OF OBJECTIVES, (LFA step 4)³

Stipulate in concrete terms the objectives at different levels:

Development objectives/Overall objectives or sector objectives, Project objectives/purpose, Intermediate objectives. The project objective and intermediate objectives should be “SMART” (Specific, Measurable, Agreed on, Realistic and limited in Time).

- a. What are the long-term development objectives that this project can contribute to, the overall objectives? These objectives explain why the planned project is important for the target group, the region and the country in a long-term perspective.
- b. What is the specific project objective, the main objective that the project aims to achieve within the time frame of the project?
- c. What concrete intermediate objectives (immediate objectives, short term) are the project activities expected to lead to?
- d. Does the sum of the intermediate objectives (short-term) of the project lead to the fulfilment of the project objective? Is there a logical connection?

5. PLAN of OPERATION (ACTIVITIES, (LFA step 5)

- a. Does each intermediate objective have an activity plan?
- b. Are the activity plans specific and logically connected to the intermediate objective?
- c. How was the activity plan developed?
- d. Are clear roles and responsibilities specified, as well as an overall time-frame connected to each activity? (Please, note that it is difficult, and not even very smart, to specify all activities for a project at once, if the project will last e.g. for three years. Specification of activities is usually made on a yearly basis, to be able to adapt the project as it proceeds, but an overall draft activity plan is usually made initially for all three years).

² Experienced LFA users can apply a technique to make a problem analysis, known as “the Problem Tree”, a way to make a situation analysis together with local stakeholders by putting notes in a structured and logical way on a wall. Initiate the analysis by discussing the main problem and then its causes and its effects.

³ If a “Problem Tree” has been developed, it should be used as the starting point for the Analysis of Objectives, objectives at three levels Overall objectives, Project Objective and Intermediate objectives.

6. PLAN OF RESOURCES (Staff, Budget, Time, Equipment, LFA step 6)

Is there a clear and efficient resource plan for the project?

- a. **Project staff:** Do we have enough capacity/competence in our project team to implement our project? Which resources (human) have been allocated to ensure that the project can be implemented? What is the situation in the project team with respect to skills and capacity for project planning and monitoring (RBM)? What are skills and capacity of the project team with respect to organizing and administering the project, and with respect to overseeing gender and environmental aspects of the project?
- b. **Roles:** Are there clear roles and responsibilities in the project? (Within the project team, among the partner organisations and within the steering group, if we have a steering group? Is a MoU needed?)
- c. **Financing/Budget:** Are there sufficient financial means to implement the project and achieve the objectives? Is there a specified budget developed for the project? How is the cooperating country participating in the financing of the project, is there any cost-sharing? Are there other financing agencies in the same project? Have anti-corruption measures been discussed and planned?
- d. **Time-schedule:** Is there an overall time schedule for the project? Is the time-schedule realistic, can it be revised if needed?
- e. **Equipment:** Is any equipment required to implement the project? Is the equipment adapted to local conditions, and have maintenance needs been planned for, are spare parts available in the region/country?
- f. **Financial aspects:** What measures have been planned for to finance continuous operations (salaries, equipment, rents etc.) and maintenance costs locally when the project has ended?

7. INDICATORS and SOURCES OF VERIFICATION – BEING ABLE TO MONITOR RESULTS, (LFA step 7)

- a. Is it possible to monitor results in the project, do we have SMART objectives with indicators and sources of verification for each objective?
- b. Have we made a monitoring plan? (Did we make a separate Monitoring and Evaluation Plan (M & E plan) or are the monitoring activities included in our project plan under each intermediate objective, such as interviews with the target groups, questionnaires, studies?)
- c. Will the project's results be monitored continuously?
- d. Does the project plan for the appointment of particular persons to be responsible for monitoring the project and analysing data?
- e. How will the monitoring of results be communicated and disseminated to important stakeholders?

8. RISK ANALYSIS AND RISK MANAGEMENT, (LFA step 8)

- a. What factors, risks, both internal and external, could potentially prevent, constrain, or delay the implementation of the project? How and to what extent might these factors affect the project?
- b. Can these risks be handled by the project? How can we mitigate these risks (a risk management plan)?
- c. Is there any one factor that is a precondition for the success of the project, or, conversely, a “killing factor”? What are the plans of the cooperating country to deal with any such factors?
- d. Might the project lead to any negative side-effects?
- e. Are continuous risk analysis and risk management an integrated part of the project design? Is the plan flexible enough and are those involved willing to make revisions in the plan, such as changing planned activities, if necessary?

9. ANALYSIS of ASSUMPTIONS, (LFA step 9)

- a. What is the project’s relationship with other development efforts being made in the sector? What other relevant projects/operations are being implemented in the sector by the Government, by NGOs (non-governmental organisations) and other projects? Is there any danger of duplication or conflict?
- b. Are the project’s results dependent on other projects or external actors’ actions? Are there any decisive assumptions, external actions needed, for the project’s success, such as a new legislation or regulations, financial support, staff assignments etc. from e.g. a local Government?
- b. Can the project team monitor the assumptions, actions/ problems/situations which other stakeholders are assumed to be responsible to solve?

10. ANALYSIS OF PRECONDITIONS FOR ECONOMICALLY SOUND AND SUSTAINABLE DEVELOPMENT, AN EXIT STRATEGY

Below are some additional reflections which are useful to make when planning, implementing and ending a project, it is an additional risk analysis to reach sustainable results. These issues should be considered by the project team as early as possible in the project cycle:

- a. Is there policy and legislation to back up the project? Is there political will to take responsibility for future operations?
- b. Is there sufficient management, personnel and institutional capacity, to keep the activity, the project’s results, running in the long-term? Is there a plan for continuous staff development/ trainings/ capacity building?
- c. Is the project adapted to the local and cultural conditions in the country?
- d. Has an environmental impact assessment been made and has the environmental aspects of the project been considered?
- e. Are there sufficient financial resources to continue the operation? What measures have been planned to finance operation and maintenance costs locally when development cooperation, the project/ program has ended?

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