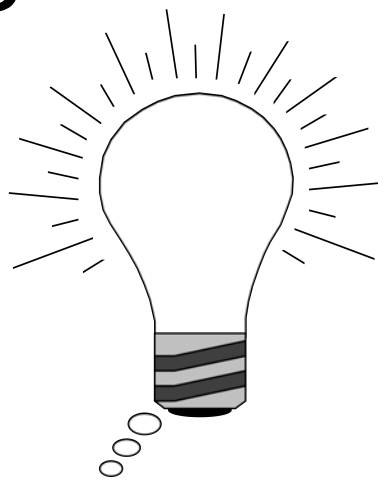
LFA for KATOS

Logical Framework Analysis

a quality tool for

Project Cycle Management



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Tentative PROGRAMME
2 two-hour sessions online PCM - LFA Training

- **1st session:**
  - **Aid triangle**
  - **the Project Cycle and its phases**
  - **Various basic concepts**
    - **Concept of 'absent solutions'**
    - **'Forking' concept**
  - **Initiation of 1st part of the LFA procedure**
- **2nd session:**
  - **From problems to objectives**
  - **2nd part of the LFA procedure (Logical Framework Matrix)**
  - **Applications construction LogFrame Matrix**

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Recap 1st session: QUALITY in Project Cycle Management

- **Concept of 'AID Triangle**: introduction of EVALUATION as Quality Concept in development
- **Introduction of the project cycle**: phases, characteristics of the phases, processes, documents, decision moments, role of LFA
- **Planning process**: 'Hidden agenda's' > Analysis phase and Planning phase
- **'Needs' versus 'Problems'**: emphasis on Analysis
- **How to identify problems? Exercise on case**: Highlighting **problems (past)** and **objectives (future)**
- **Establishing logic**: upwards and downwards ('FORKING')
- **'FORKING'**: to identify Assumptions and Risks
- **Steps in the LFA procedure**: WHO, WHY, WHAT, WHAT NOT, HOW

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Key messages 1st session: QUALITY in Results Based Management

- Assessment or appraisal (ex-ante) and Evaluation (ex-post) looks at **RELEVANCE**, FEASIBILITY AND SUSTAINABILITY

- Assess the RISKS of the project design: Quality Analysis process, **real existing problems of particular end-users** identified, placed in a logic hierarchy reading cause - effect (upwards) and effect - cause (downwards: "Forking" to identify Assumptions or RISKS).

- Planning starts with WHO: THE END-USERS as we need to ask them what problems they experience (the WHY).

- Assure a thorough IDENTIFICATION phase

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Programme 2nd session: ANALYSIS PHASE & PLANNING PHASE

- **From problems to objectives**
  - How to construct a problem / objectives tree
  - Concept ‘problems’ versus ‘objectives’
  - How to identify ‘problems’ of end-users?
  - Stakeholders: ‘End-users’ and ‘Suppliers’ in a Network diagram
  - Stakeholder management
- **2nd part of the LFA procedure (Logical Framework Matrix)**
  - From ‘diamond’ to LogFrame matrix
  - Format Logical Framework matrix

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The steps of LFA Planning

- WHO has the pain (end-users)?
- WHY involved (problems experienced)?
- Desired future: Problems transposed into Objectives
- WHAT should happen (Service plan)?
  And WHAT NOT? = ASSUMPTIONS & RISKS
- WHOM will / can implement? (Suppliers)
- HOW should it happen (Capacity plan)?
  - ASSUMPTIONS & RISKS (process)?
- COSTS (budgets)?
- WHEN (time schedule / deadlines)?

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Differences of 'PROBLEMS' versus 'OBJECTIVES'

PROBLEMS are	OBJECTIVES
- Negative real existing - Pain, frustration, emotion - Owners are affected - Difficult, knowledge! - See, verify! - Who is at the gate shouting? = ANCHOR of PROJECT = RELEVANCE	- Positive future state - Wish, desire, - DREAMS / ILLUSIONS - Solutions - Easy to formulate as they have not happened yet… - Hidden agenda's?

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So … how to find the real existing problems

- Check reports and studies, but then additionally:

- - Identify end-users
- - Invite them in a workshop
- - Ask them to write the problems they experience
- - Treat all the cards **ANONYMOUSLY**
- - Discuss to understand the problems
- - Place them in a cause - effect relationship
- - Check effect - cause alternatives (FORKING)
- - Build the ‘tree’ with logic going upwards

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Stakeholders ...

‘a minefield of forces’

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Are Stakeholders to blame?

Some projects, e.g.:

- fail to deliver
- deliver wrong results
- get paralized and delayed
- frustrates partners and end-users
- waste public funds

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Why are Stakeholders important?

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Challenges of Stakeholders

- Unclear and different vision and objectives
- Poor communication among Stakeholders
- Difficulties to collaborate
- Different administrative procedures
- Cultural clashes (organizational)
- Fear
- Change of political objectives
- Lack of initiatives
- ‘Selling’ initiatives of some partners
- (tunnel vision, hobby horsing & poor listening)
- Hidden agenda’s
- SABOTAGE!

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Stakeholders:

"Individuals and organizations who are actively involved in the project, or whose interests may be positively or negatively affected as a result of project execution or successful project completion."

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Types of Stakeholders?

Each stakeholder has a balance of both types of ‘stakes’:

End-User focused and

Self focused (what is in it for us)

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What is the technique?

1. Identify all stakeholders affected
2. Separate ‘End-Users’ from ‘Suppliers’
3. Identify expected role and position in the Network diagram
4. (+++; ++; +; -; --; --- = potential saboteurs)

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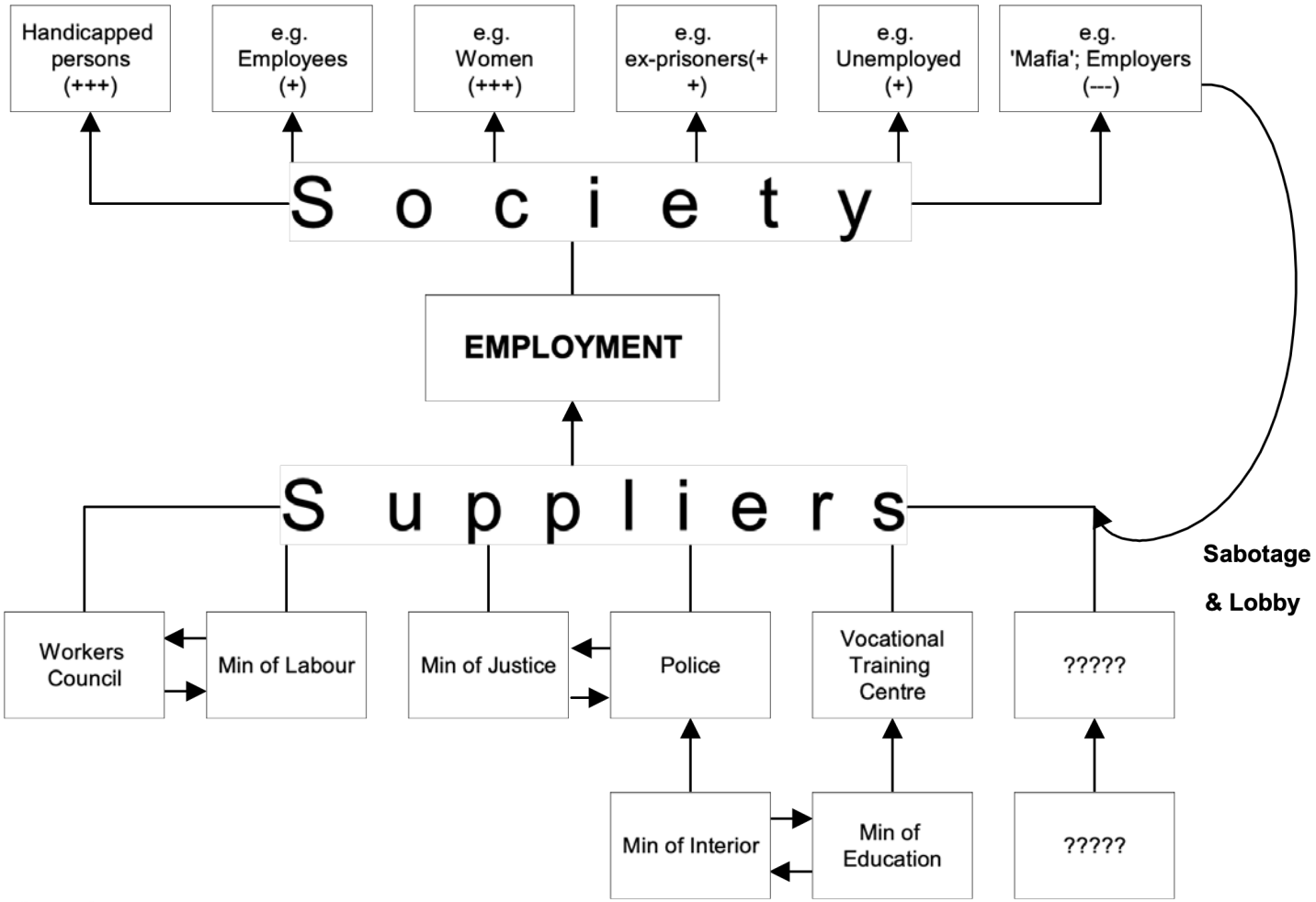
Network diagram …



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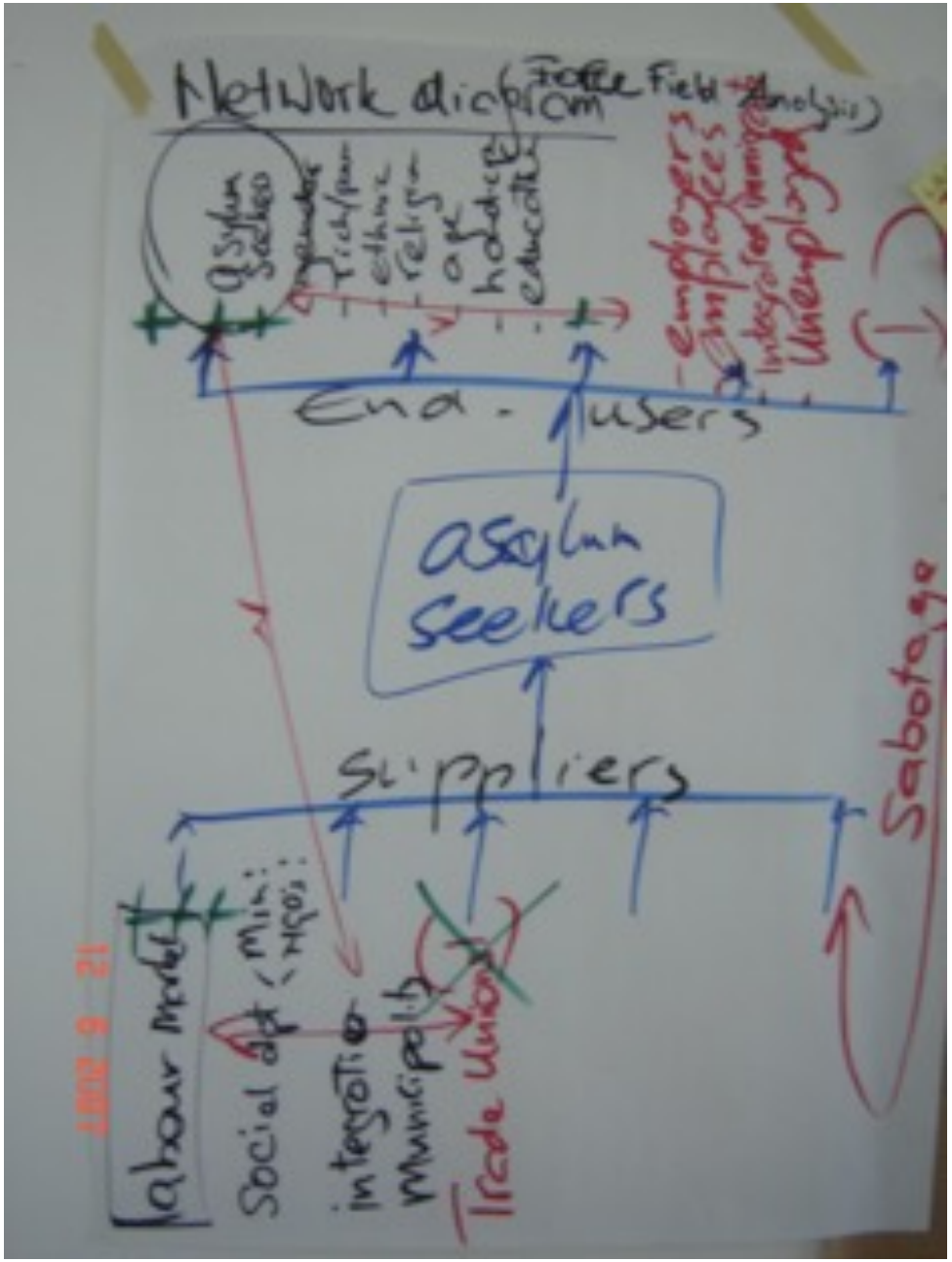

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How ‘buy in’ may happen?

- Understanding of interdependency
- Emotional bonding through understanding of problems = ‘feel the pain’ (story telling)
- Social control through peers
- Agreements on results (= mirrored problems)

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How to keep them on board?

- Make them (emotionally) understand their relevance and importance through self-discovery in a workshop with equals.
- Make their positions publicly knows (in and after a workshop)
- Remind them on Results (Results Oriented Monitoring – ROM and Results-Based Accountability - RBA)

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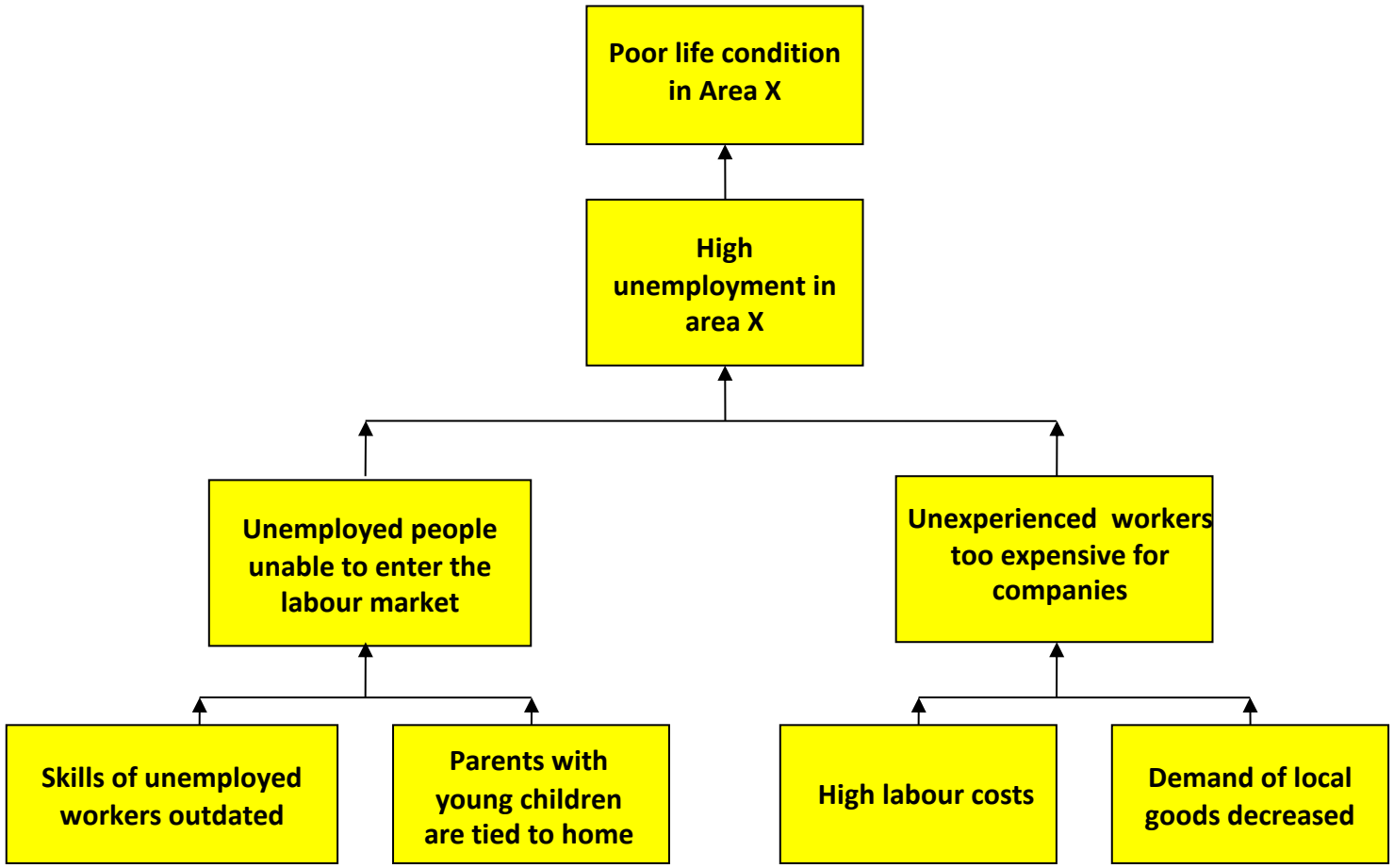
WHY involved? Feel the pain!



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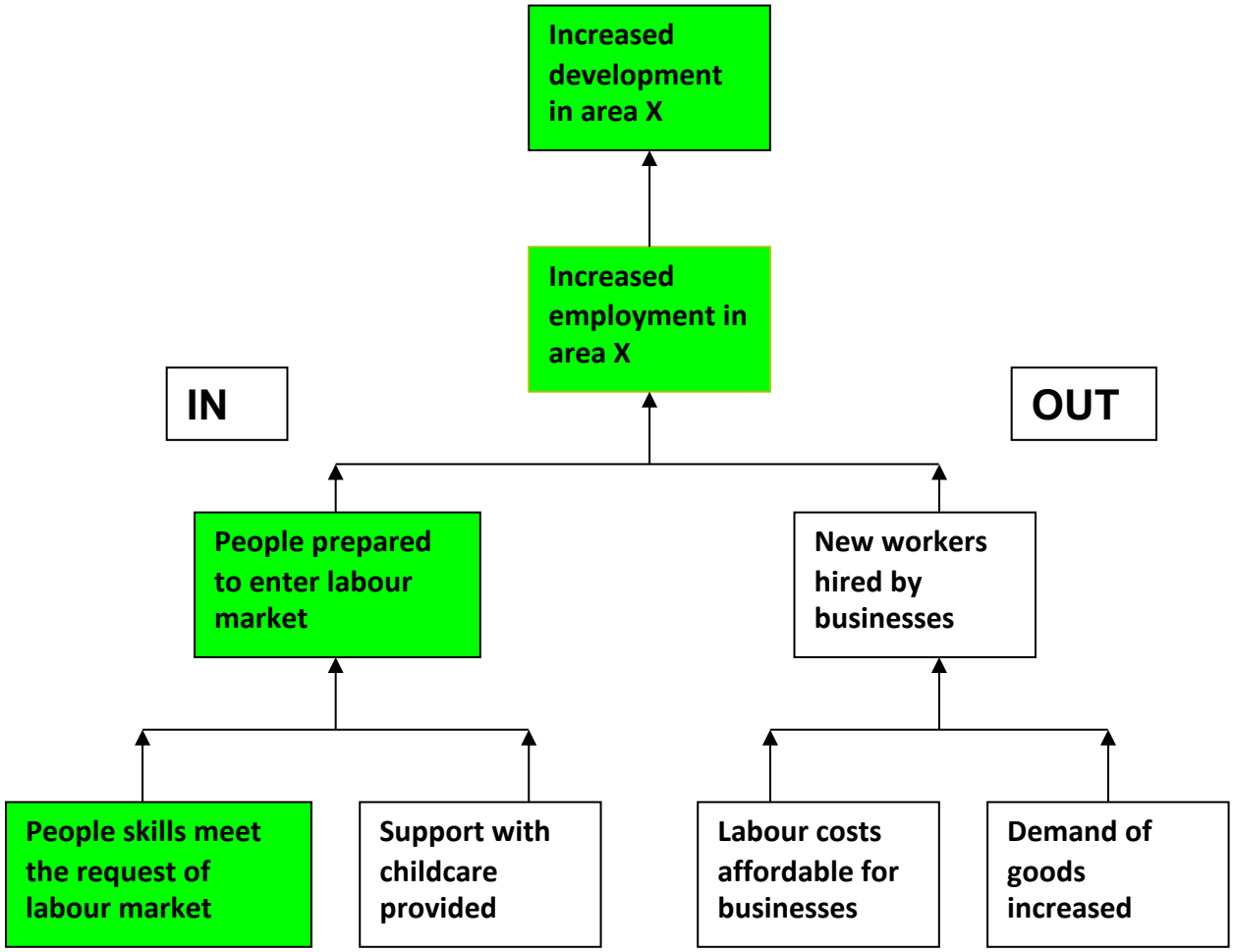
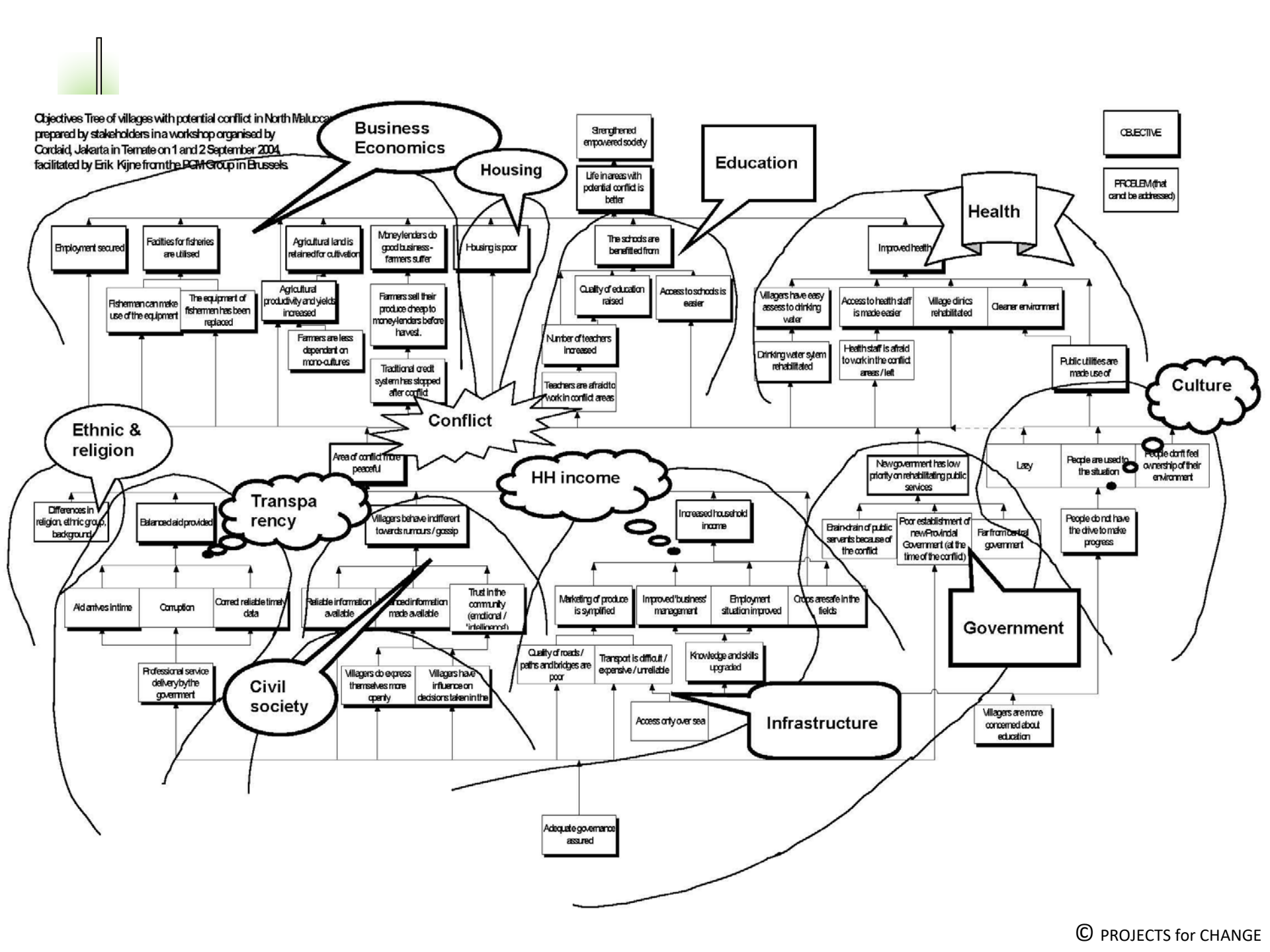
WHAT should be achieved?





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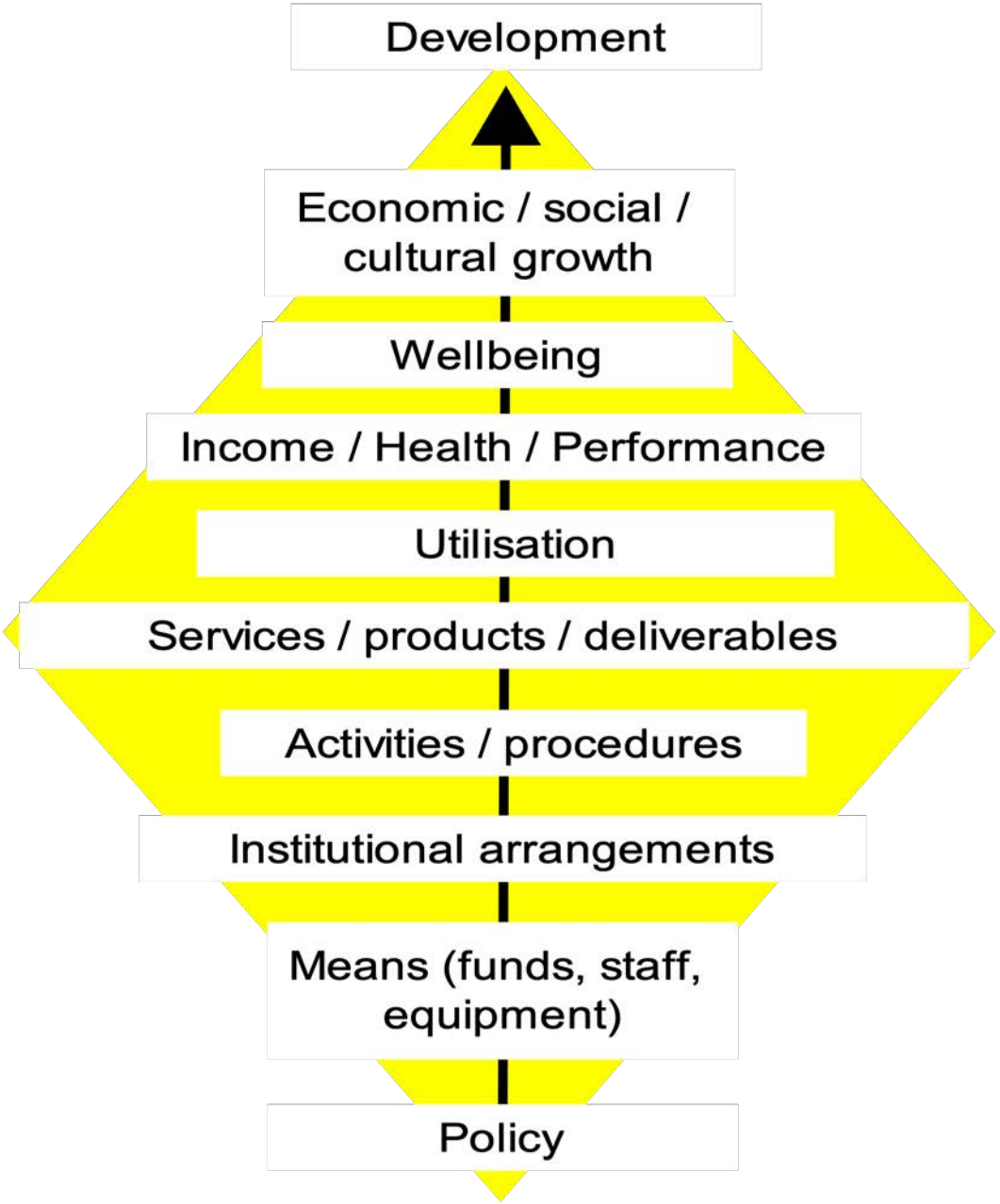
MODEL STRUCTURE OBJECTIVE TREE



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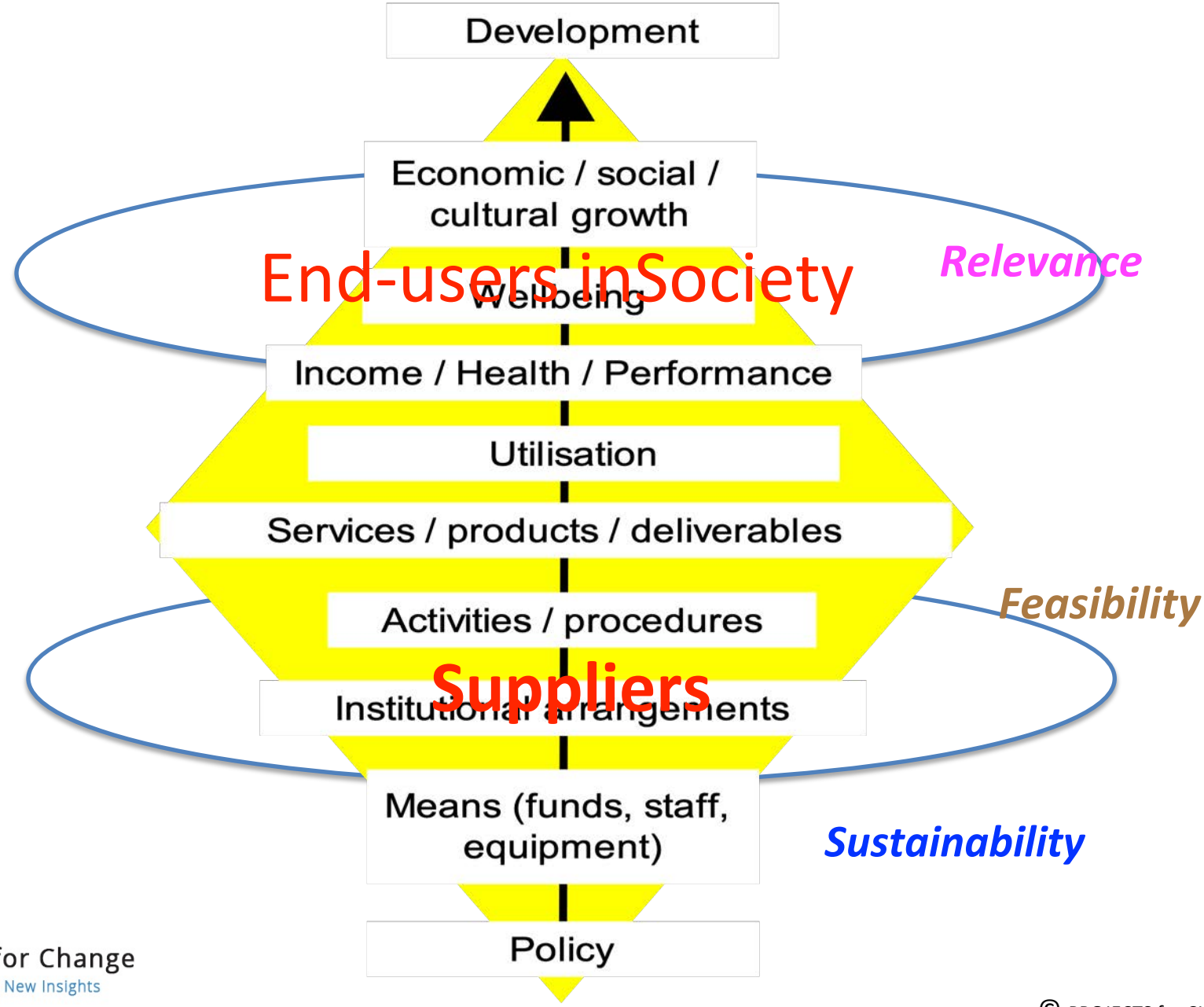
MODEL STRUCTURE OBJECTIVE TREE



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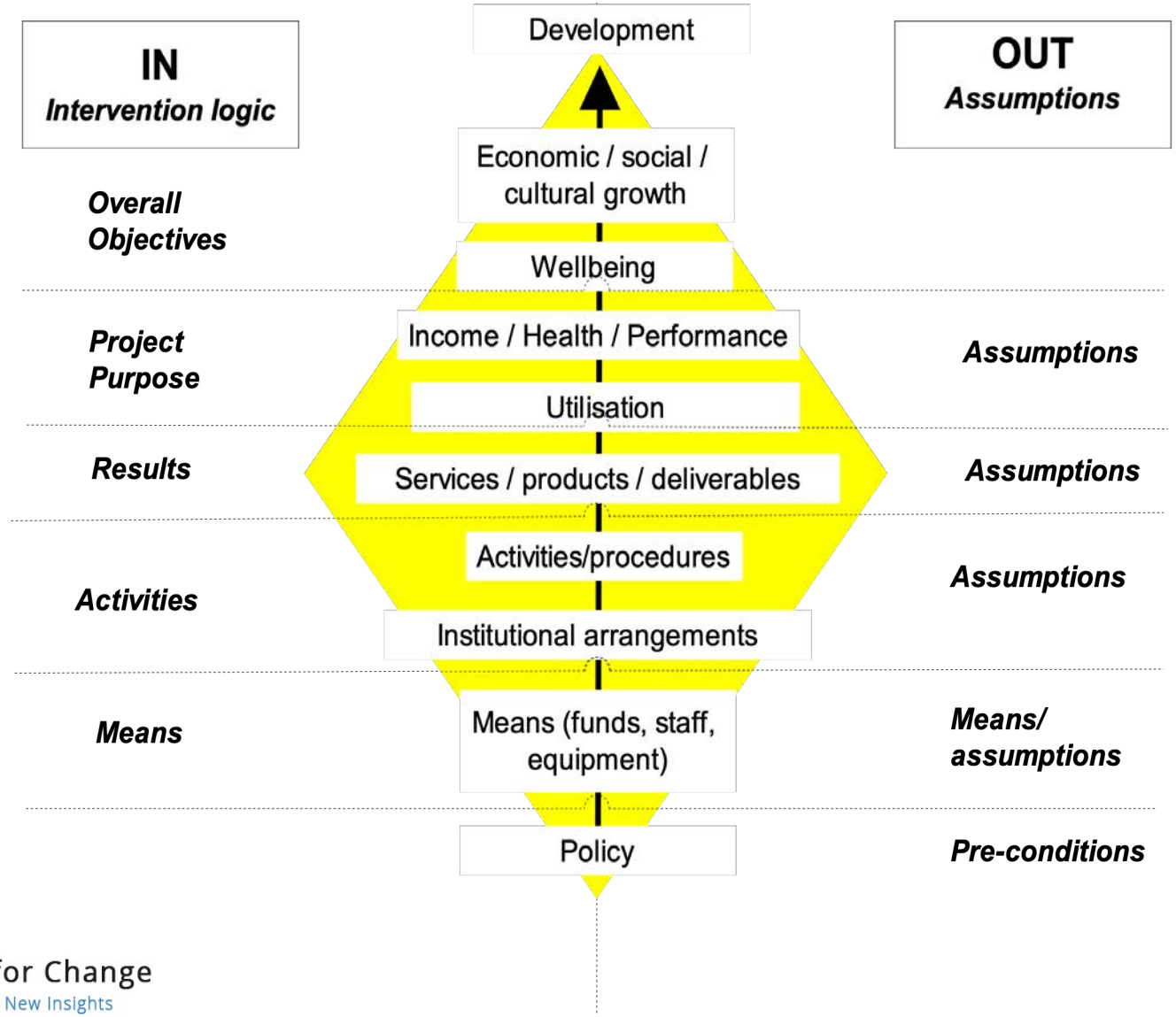
FROM OBJECTIVE TREE TO PLANNING



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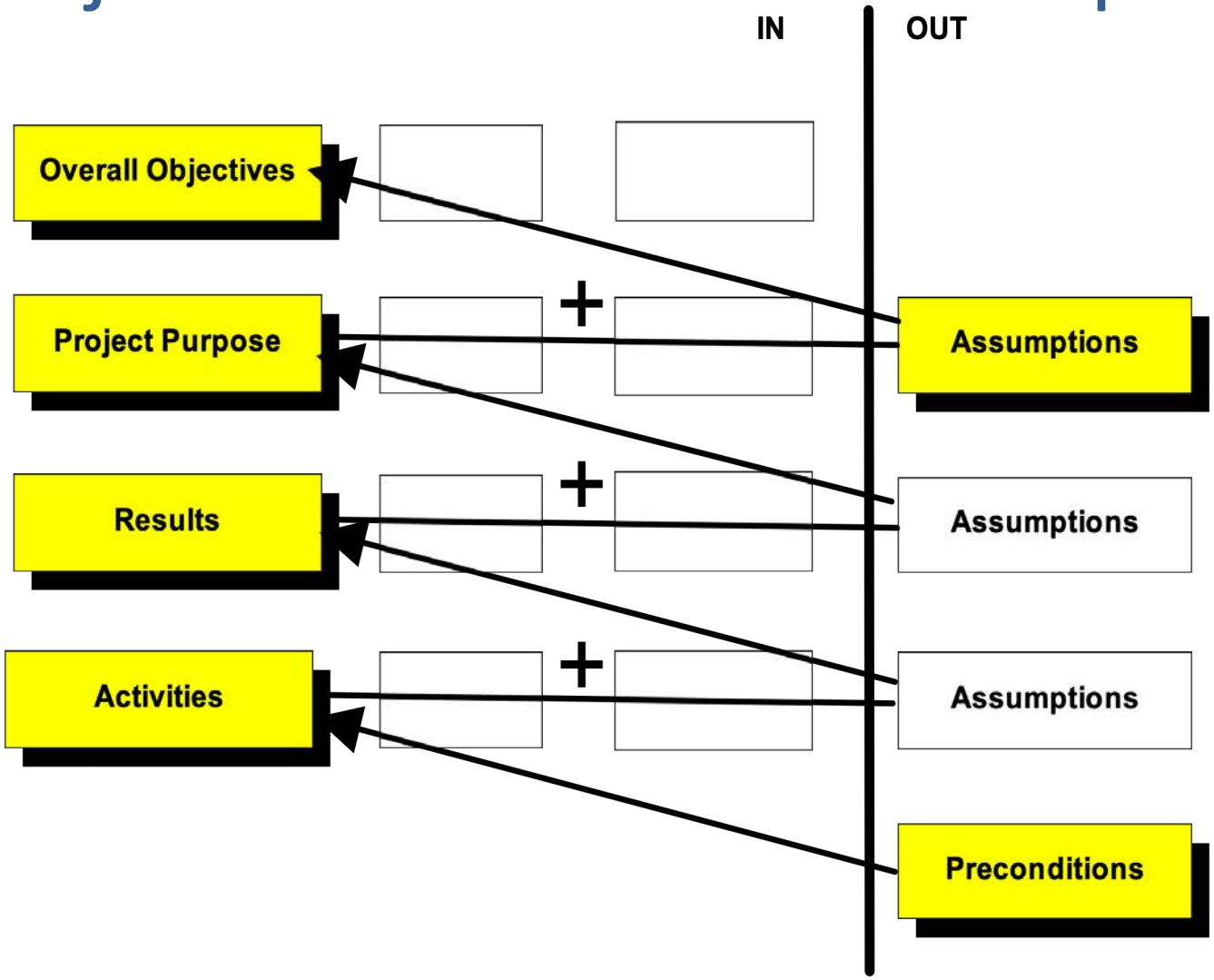
Project intervention + Assumptions



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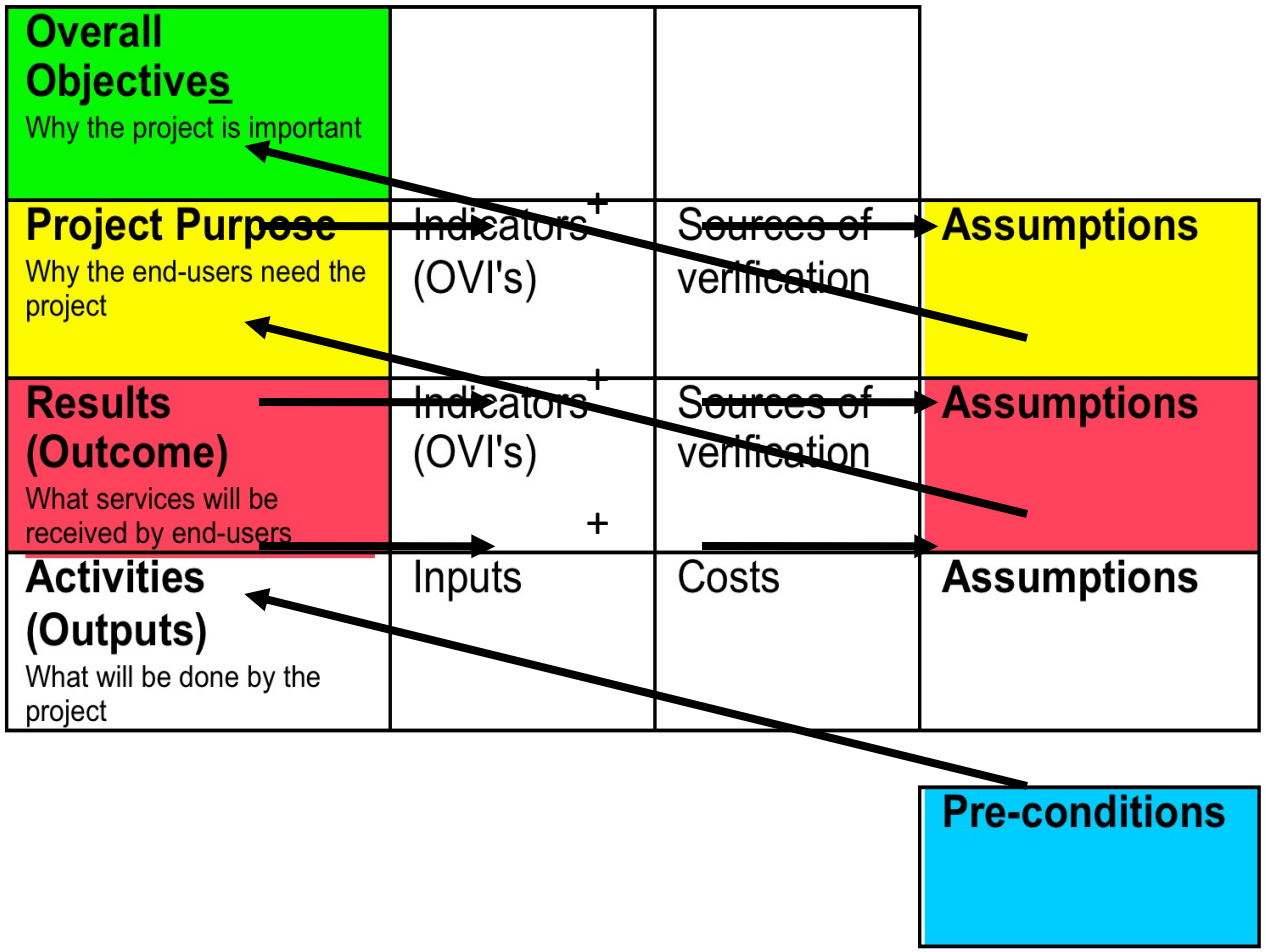
Logical Framework Matrix

Planning Matrix and ZIG ZAG Logic



How to start with PLANNING?

Either with a problem situation or with an idea?

What is the difference?

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The idea … should be ‘sold’!

(e.g. Universities or Companies)

Develop X

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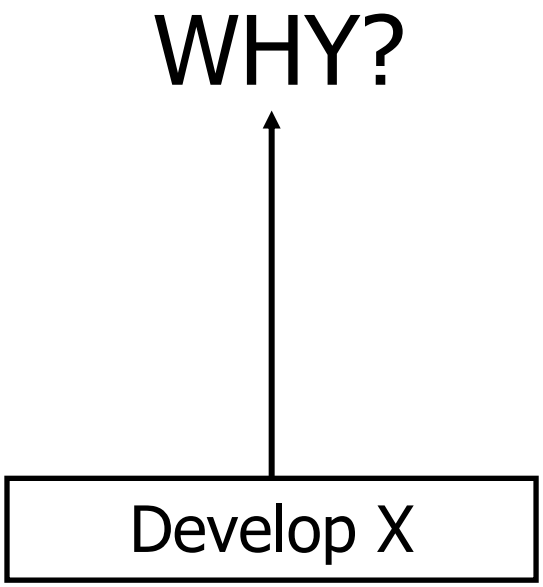
Establish the relevance!



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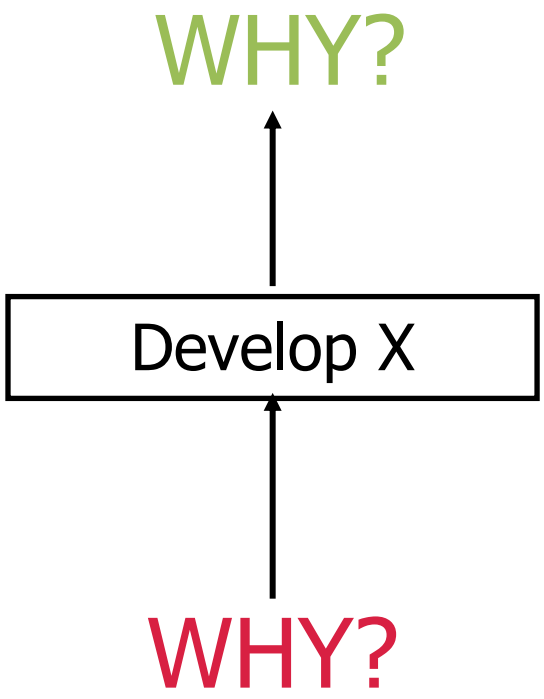
Beware! There are 2 WHYs



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Possible answers to the red WHY?

- **This is our expertise, sorry ….**
- **My boss told me to go ahead**
- **It is in our interest**
- **Political agenda**
- **Hidden Agenda?**

- **We call that a supplier-oriented WHY!**
- **RISK OF SABOTAGE THE PROJECT!**

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Possible answers to the green WHY?

- **an effect of the project will happen**
- **It contributes to higher (overall) objectives**
- **End-users will be happy**
- **Indicate RELEVANCE!**

- **We call that an End-user-oriented WHY**

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How to ‘sell’ the idea ?

1. Demonstrate its relevance!
2. Help to solve specific problems of key beneficiaries
3. Match with the funders’ strategy!
4. Present its feasibility!
   Under which assumptions will it be successful?
5. Elaborate the capacity of the implementing partners …

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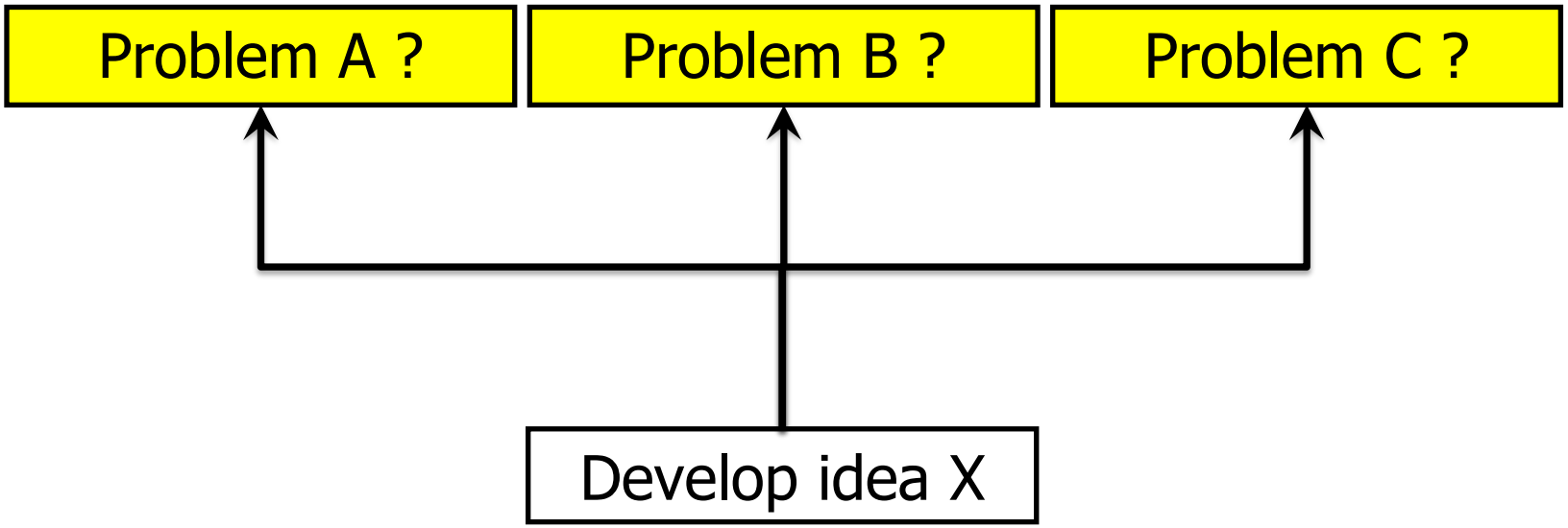
1. Establish the relevance!



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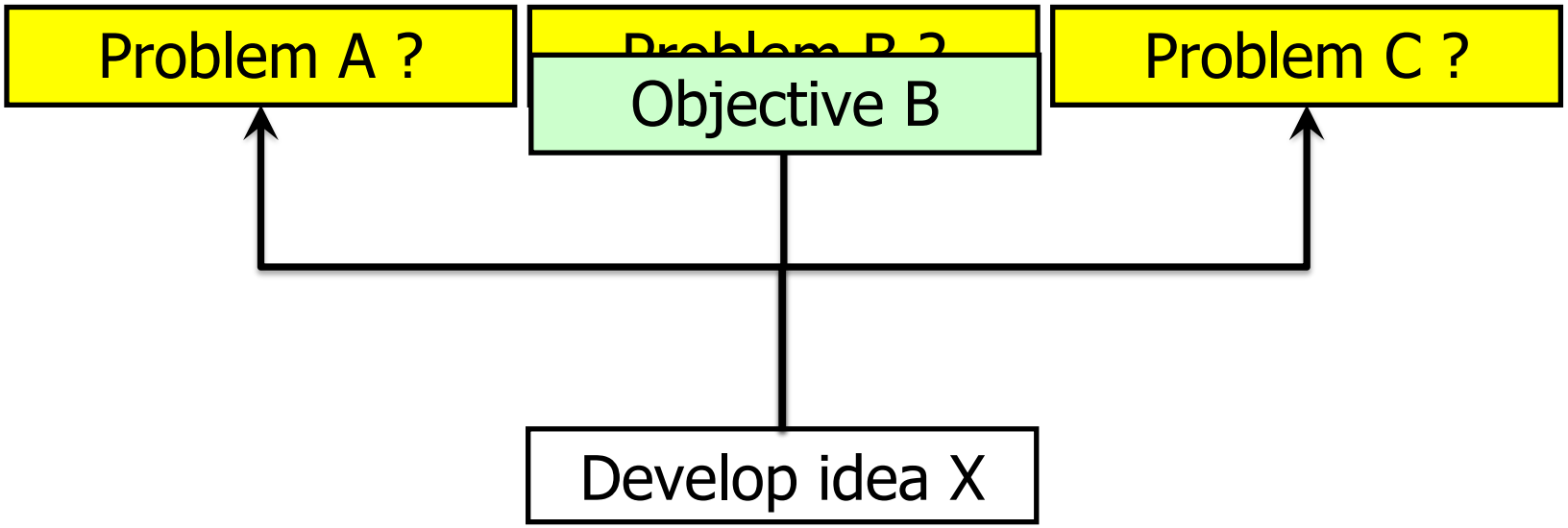
2. Match with funder interest!



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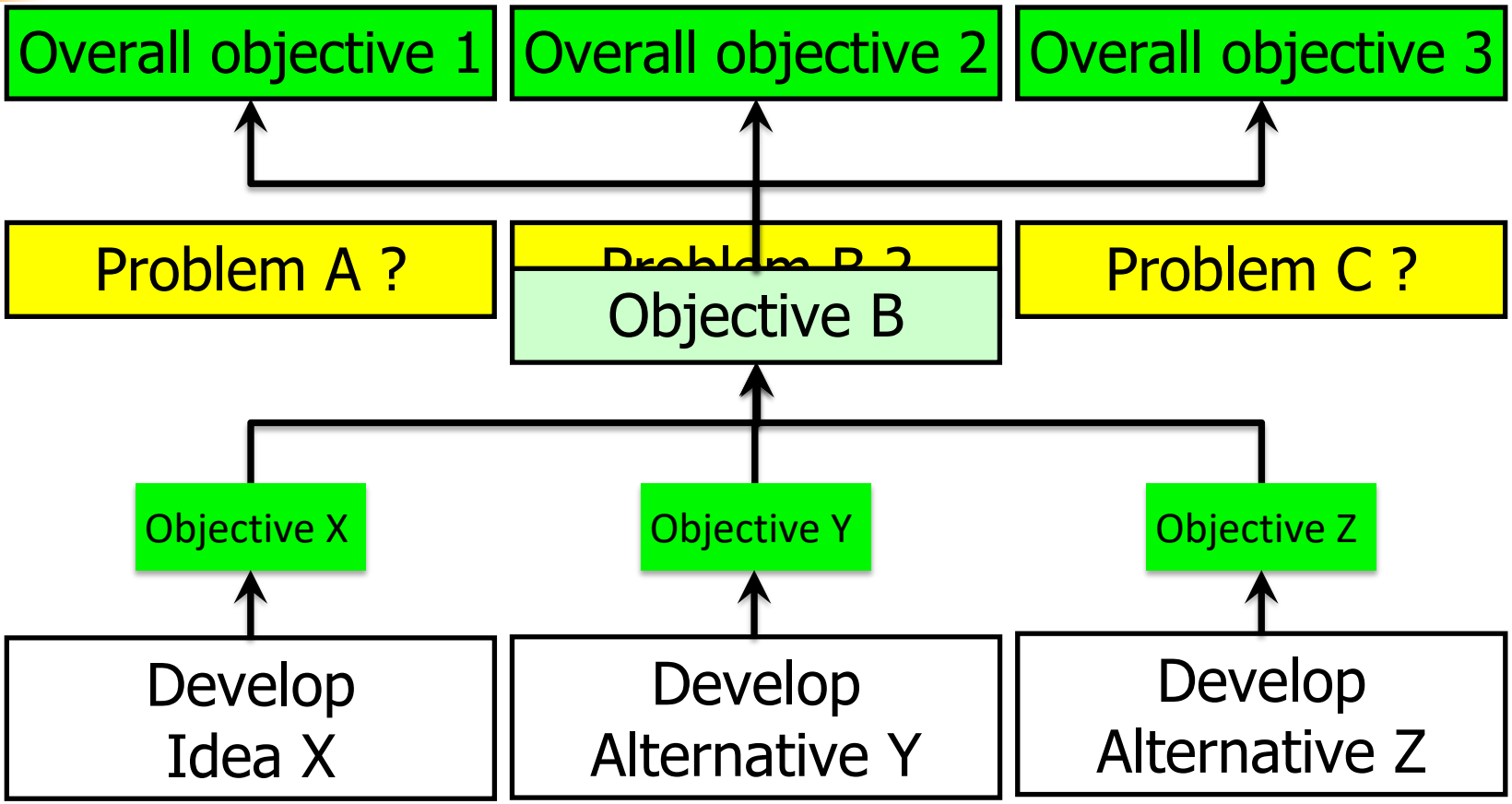
3. Design comprehensive package!



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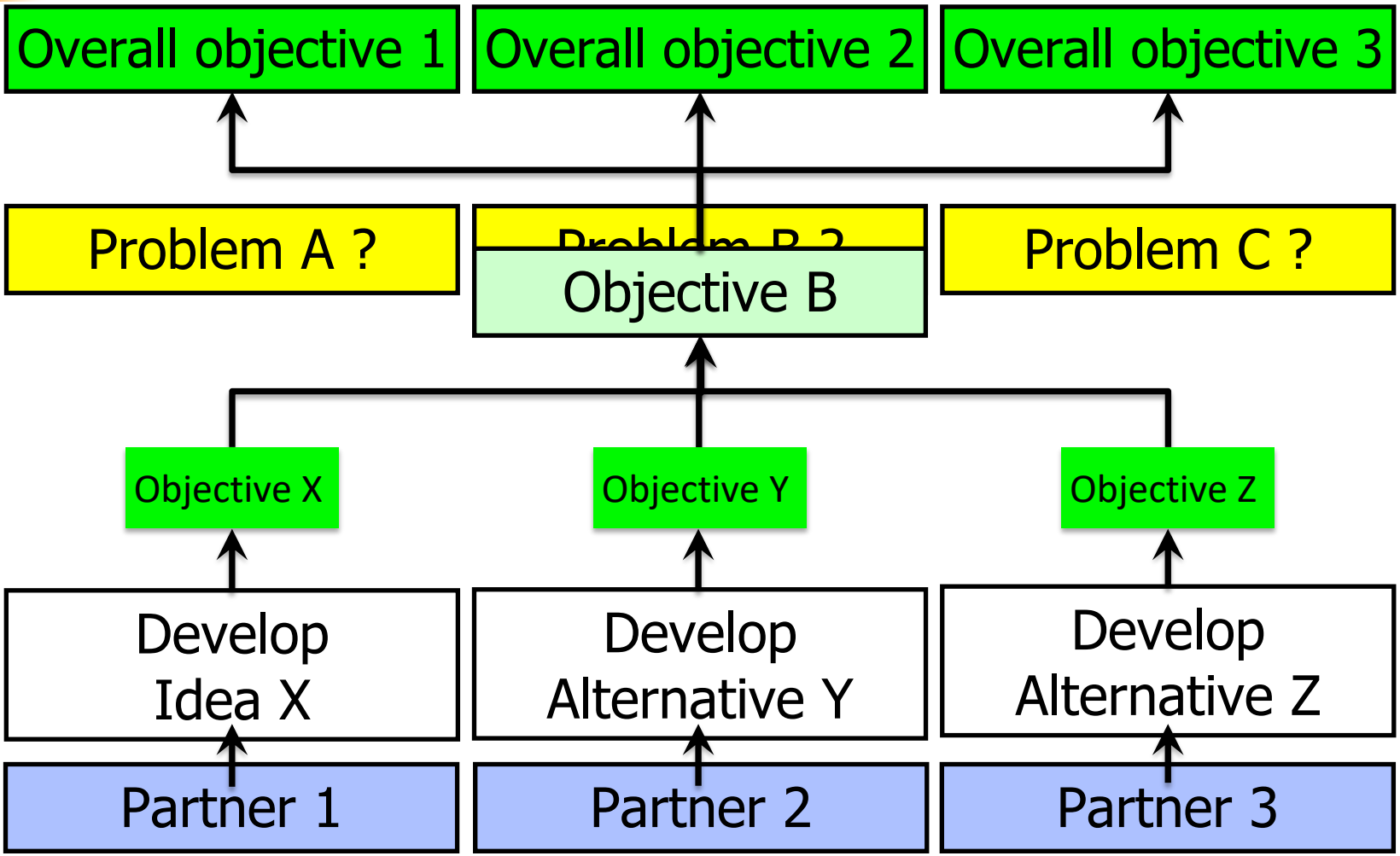
4. Identify partners!



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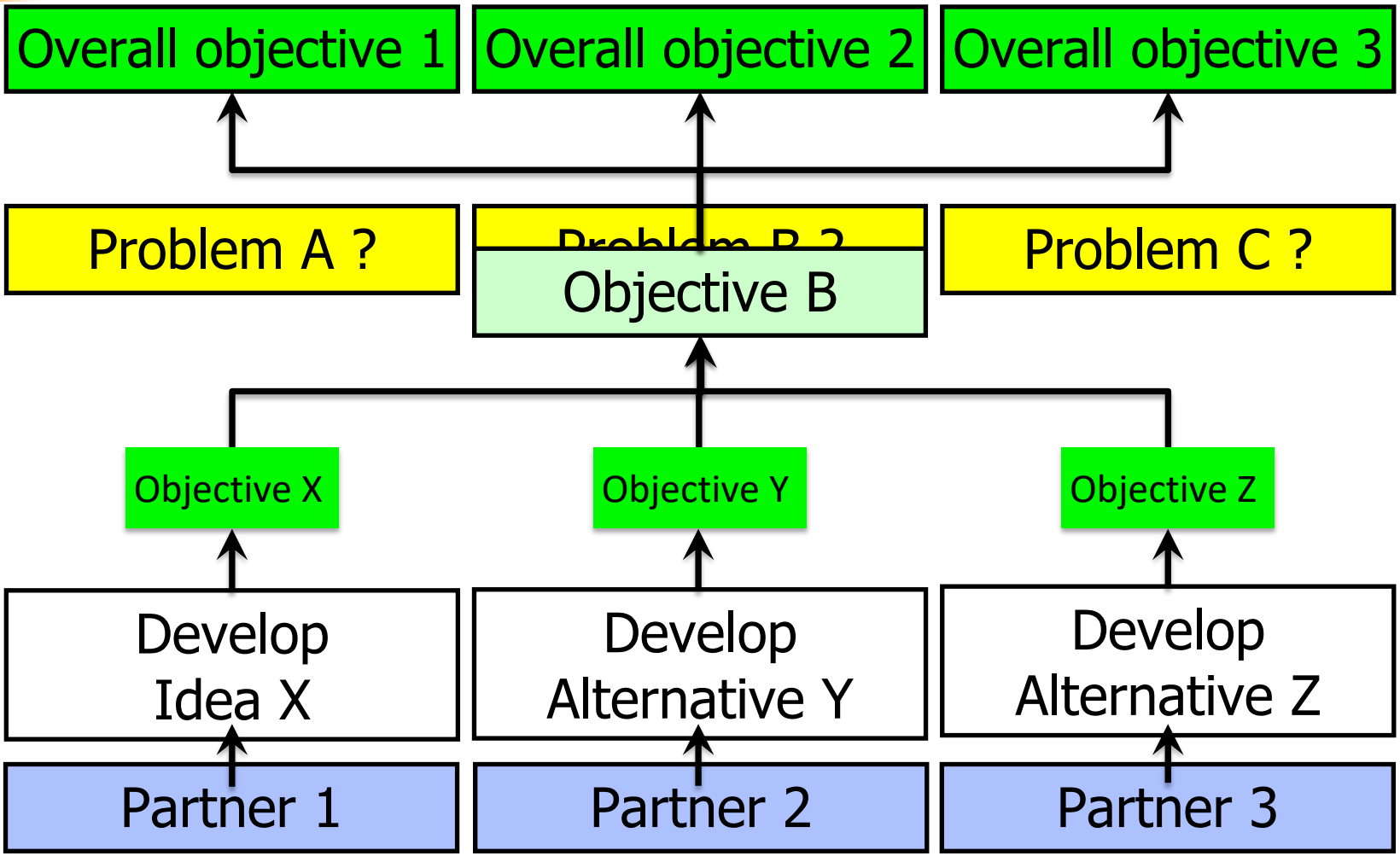
5. Arrange partnership agreement!



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Analyse the capacity of the implementing agencies

- **Assess the capacity of implementing Agencies to implement their identified Actions**
- **by determining whether they have (see checklist in Guide):**
- **1. The required planning capacity**
- **2. Adequate & sufficient manpower available**
- **3. Effective relationships with Stakeholders**
- **4. A reliable track record**
- **5. Organizational flexibility to add those actions to their current assignments**
- **6. Financial strength**
- **7. Monitoring and Quality Control system**

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The steps of LFA Planning

ANALYSIS:

- WHO has the pain (End-users)?
- WHY involved (problems experienced)?
- Desired future: Problems transposed into Objectives

PLANNING:

- WHAT should happen (Service plan) - IN? And WHAT NOT - OUT? ASSUMPTIONS & RISKS (content)?
- WHOM will implement? (Suppliers)
- Will they be able to implement? (Capacity?)

- ANALYSIS of problems or obstacles!
- HOW should it happen (Capacity plan)?
  - ASSUMPTIONS & RISKS (process)?

- COSTS (budgets)?
- WHEN (time schedule / deadlines)?

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Conceptualization of a Logical Framework Matrix

- 1. Consider END-USERS (FOR WHO?)
- 2. Select the PROJECT PURPOSE and formulate as an objective (WHY the End-users NEED the project?)
- 3. Identify OVERALL OBJECTIVES (effects / impacts) (WHY is the project IMPORTANT to society?)
- 4. Formulate RESULTS (WHAT will be received by End-users - IN)
- 5. Identify ASSUMPTIONS (WHAT NOT - OUT)
- 6. ASSESS THE PRECONDITIONS
- (CAPACITY OF IMPLEMENTING AGENCIES?)
- 7. Include a "HOW will it happen matrix"
- (CAPACITY BUILDING MATRIX)

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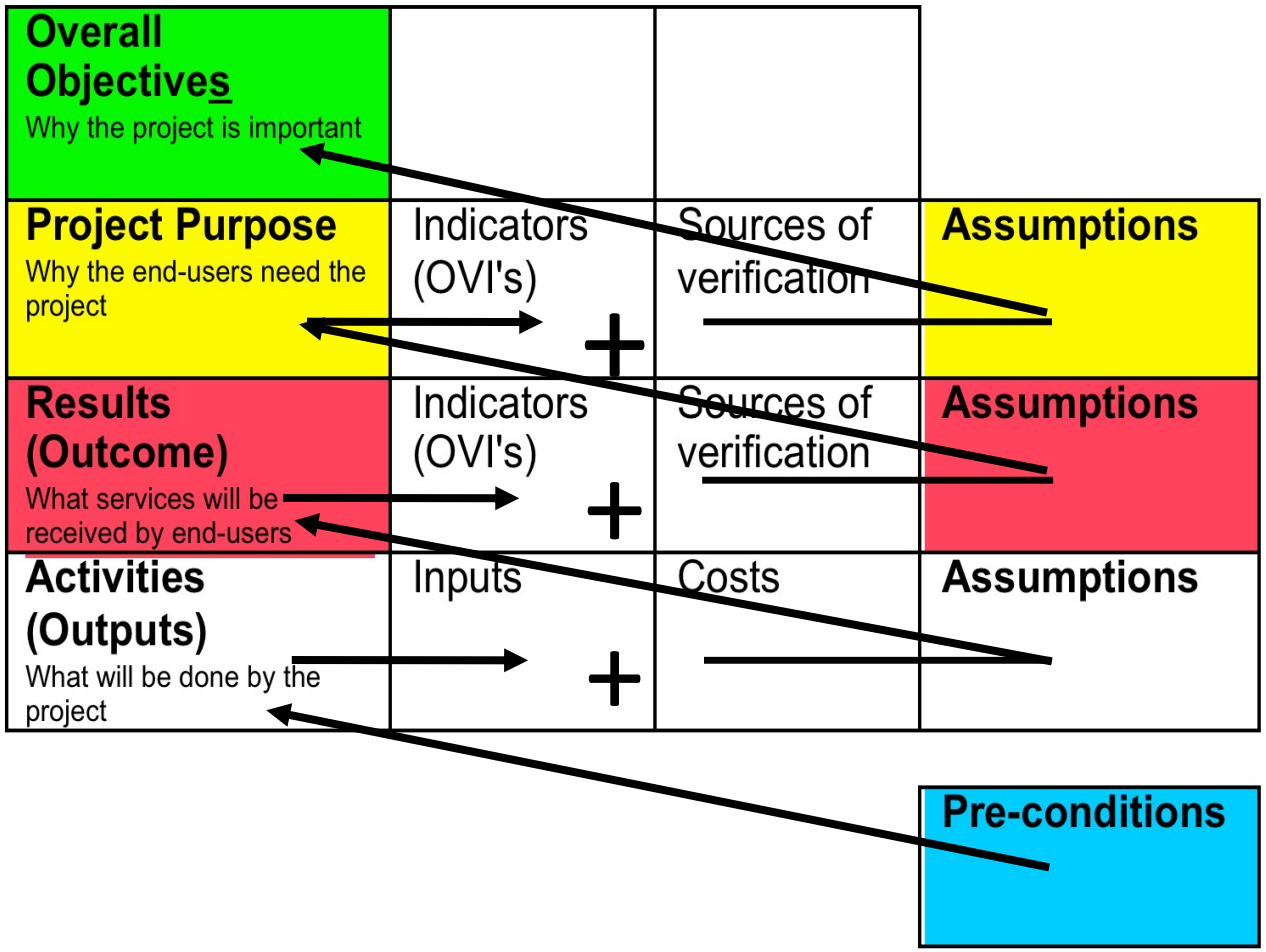
Logical Framework Matrix

Planning Matrix and ZIG ZAG Logic



Logical Framework matrix: Rwandese National Police (WHAT SERVICE DELIVERY should happen in society)

As was prepared by participants of a workshop organised by Swedish Police Board in Kibuye 28 - 31 May 2002 moderated by Erik Kijne

Overall Objectives Why the project is important to society?	**Enhanced image and confidence of the police**	**Raised prosperity**	**Safer society**	**Raised foreign investments?**	**Rule of law strengthened**	**Democracy enhanced**

Project Purpose Why the beneficiaries need the project?	**SECURITY and LAW & ORDER ASSURED**	Objectively Verifiable Indicators of the Project Purpose:	**ASSUMPTIONS (Problems identified)**

Note: figure in brackets ( ) show the priority by the expatriate team

Results What 'services' will be received by the beneficiaries?	**1 (2) Improved criminal investigations**	**2 (5) Response to crime accelerated**	**3 (3) Community policing more effective**	**4 (6) Reduced child abuse**	**5 (4) Harmonised society**	**6 (8) Road safety**	**7 (1) Confidence with public on police**	**8 (9) Presence of illegal arms reduced**	**9 (7) Reduced domestic violence**	**10 (10) Response to disasters improved**	**11 (11) Environmental crime reduced**	Most people don't understand their . . .
Objectively Verifiable Indicators (O.V.I.'s)	change of nr of cases successfully prosecuted; -nr of requests to prosecutor to extend detention; time between reporing of cases requiring scientific proof & transmission of file to prosecutor; change in nr of reported cases, presented cases and rejected cases specified by type of case	Deviation from the 'acceptable' time span' concept as determined by urgency by type of crime (robbery, dom. violence, accident), distance and time elapsed since event.	Change in rate of public confidence - change in nr of crimes reported Nr of police posts established	change in nr of reported cases in related to nrs. brought to court and nrs. of convictions.	nr of reported cases of ethnic, religious, race, regional and sexual discrimination Cases of domestic violence; suicide cases?; Flow of investment into Rwanda; Success of Gacaca - willingness to testify; reduced social harms - reduction in street children, poligamous tendensies, spread of aids; willingness of community to provide evidence.	Change in number of pedestrians hit by traffic; nr of cases of poor tires; (mechanical state of vehicles)						Increase of crime
Responsible Dir / Unit / Dev	***Directorate of Judicial Police***	***Directorate of Operations***	***Division of Community Policing & H.R..***	***Directorate of Judicial Police*** ***Operations***	***Directorate of Judicial Police*** ***(Min of Justice)***	***Specialised Unit for Traffic Police***	***Commissioner General Public Relations***	***Directorate of Judicial Police***	***Directorate of Judicial Police*** ***Com. Policing & HR***	***Operations***	***Directorate of Judicial Police***	
Activities **bold = support requested** **box = support considered**	1.1 Community sensitisation / awareness programmes on provision of crime information	**2.1 Advice on town planning in partnership with local councils (roads, buildings, street lighting)**	**3.1 Carry out seminars in the communities on community policing**	4.1 Enforce the existing regislation on children (criminal law)	5.1 Special monitoring programme for genocide convicts released through Gacaca courts	6.1 Tighten checking certificate of car inspections (Min of Public Transport)	**7.1 Strengthen the internal investigation capacity**	**8.1 Improve capacity of border police**	9.1 Propose amendment of legislation on domestic violence	**10.1 Draft strategic plan for disaster management**	**11.1 Design a strategy to prevent damage to the environment in partnership with concerned institutions**	The community being conservative
	1.2 Establish quick communication channels between Police and other institutions to receive information	**2.2 Increase number of patrol vehicles (e.g. motorbikes, bicycles, cars)**	3.2 Increase and improve patrols (visibility)	**4.2 Develop specific investigation techniques**	5.2 Special monitoring programme for genocide convicts sentences to community service	6.2 Provide regular statistics to the public	**7.2 Promote and respect human rights**	**8.2 Organise training in counter smuggling**	9.2 Appropriate treatment of offenders by community / judge	**10.2 Secure equipment & train personnel**		Law is in conflict with cultural norms
	1.3 Initiate crime watch programmes for the communities	**2.3 Procure communication equipment**	3.3 Establish & develop police liaison officer to the lower level	**4.3 Educate police personnel on child abuse**	5.3 Special police programmes to prevent potential for repeated offending	6.3 Strengthen education in schools on road safety	7.3 Decisively fight all corrupt tendencies	8.3 Improve cross border co-operation with neighbouring countries (Arms!)	9.3 Enforce the existing law			Illiteracy in the public
	1.4 Enhance informants networks	2.4 Train personnel on usage of communication equipment	**3.4 Train police officers and deploy for Community Policing**	4.4 Increase female police officers in the child & family protection Unit	5.4 Checks and balances in police performance and accountability to the public	6.4 Advice to road contractors (warning signs)	7.4 Make mechanism of internal investigation visible and understandable to public	8.4 Introduce a national arms register + license	**9.4 Strengthen the child & family protection units (officers)**			Poverty may cause crime

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LOGICAL FRAMEWORK MATRIX : EU programme by XXX to improve the capacity of IDPs, returnees, highly vulnerable groups, affected communities and the local government to meet basic needs while promoting peace and reconciliation.

	Intervention logic			
Overall Objectives	1. Economic stability through a strengthened and diversified local economy, respecting the Human Resource potential and triggering employment and increasing Household income.	2. Strengthened civil society by enhanced social integration through raised tolerance, understanding, respect and appreciation of cultural differences	3. A more peaceful society through community empowerment and strengthened democracy based on freedom of choice and self-determination in line with the basic human rights	4. Enhanced awareness of Government on the importance and potential of the new Province facilitating an uninterrupted delivery of basic services
		Objectively verifiable indicators:	***Sources and means of***	***Assumptions:***
Specific objective	**Improved & secured living conditions of communities affected by the conflict**	Villages on XXX North: ± 40; Central: 10; South: ± 15 - **65** of target communities with effective governance, demonstrating skills in use of conflict management techniques - **65** of target communities with functioning community – managed improved community services - **65** of target communities with functioning economic groups showing increased resources / assets.	- KAP/evaluation survey - KAP/evaluation survey	***Assumptions influencing Overall Objectives:*** *- Economic and political stability in the province and country* *- Province is saved from natural disasters.*
Expected Results				***Assumptions influencing Purpose:***
Peace buidling components	**1a. Increased community resilience to conflict amongst groups** (N+C+S)	- 3 conflict related subjects discussed in community meetings. - 2 self-initiated 'mixed' events between groups per village. - 1 village role model collaborates with different groups per village - 30% reduction in segregation between markets	- Minutes of meetings - KAP survey (Focus group discussion) - minutes of interest group meetings - Camat records and baseline survey.	*- Other economic and social components are developing: like e.g. consumer shops, electricity, transport infrastructure, building industry.*
	1b. Increased mutual trust established among youth (C+S)	- A 30% reduction in reported inter-group fights amongst youth - A 30% increase in ethnic / religious mix in groups (gender)	- KAP survey (focus group discussion) - List of participants in groups	

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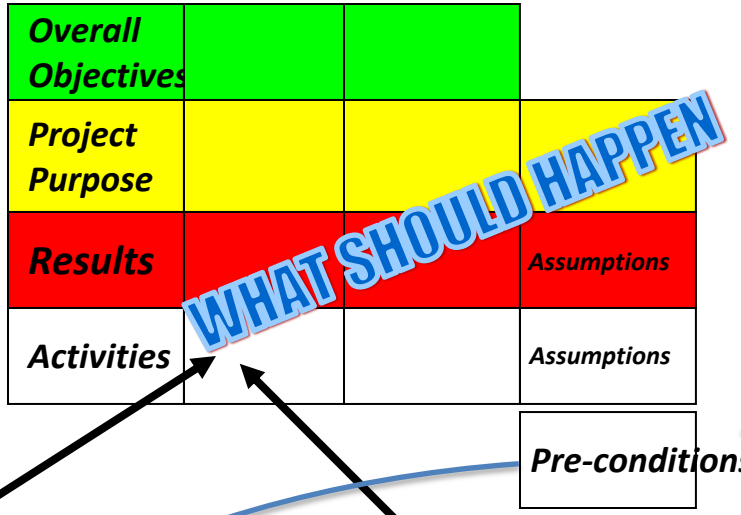
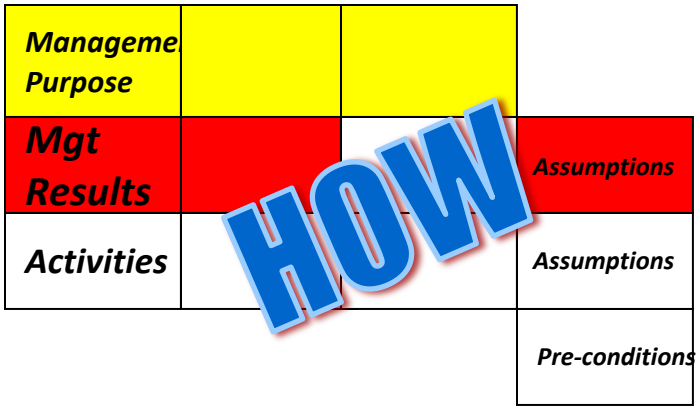
The MANAGEMENT matrixes



Weak implementing agency may need strengthening

Internal capacity building matrix

Capacity building agency X



Capacity building agency Y

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Planning starts at the

Project Purpose

Expresses improvements experienced by End-users

Why the End-users need the project,

the utilization of the services (results) provided by the project

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Examples of

Project Purpose

- **End-users:**
- **satisfied**
- **Performance improved**
- **Income increased**
- **Health / wellbeing enhanced**
- **creativity demonstrated**
- **expressing why the End-users need the project?**

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Examples of

Results

What ‘services’ will be

<u>received</u> by the End-users

***not only <u>delivered</u>* by the intervention / project (Outputs)**

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Examples of Results

- A specific end-user has:
- Enhanced access to water
- Capacity strengthened
- Security secured
- A presentation is understood
- Can only achieve a result; cannot do!

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Results are

- Objective, positive reached situation
- Refers to recipient (end-users) and
- is mentioned in the formulation
- Should be solving a ‘problem’ explaining the WHY
- Can both be ‘content’ as well as ‘process’
- Should be realistically feasible / achievable
- Should be measurable (Change of problem situation)

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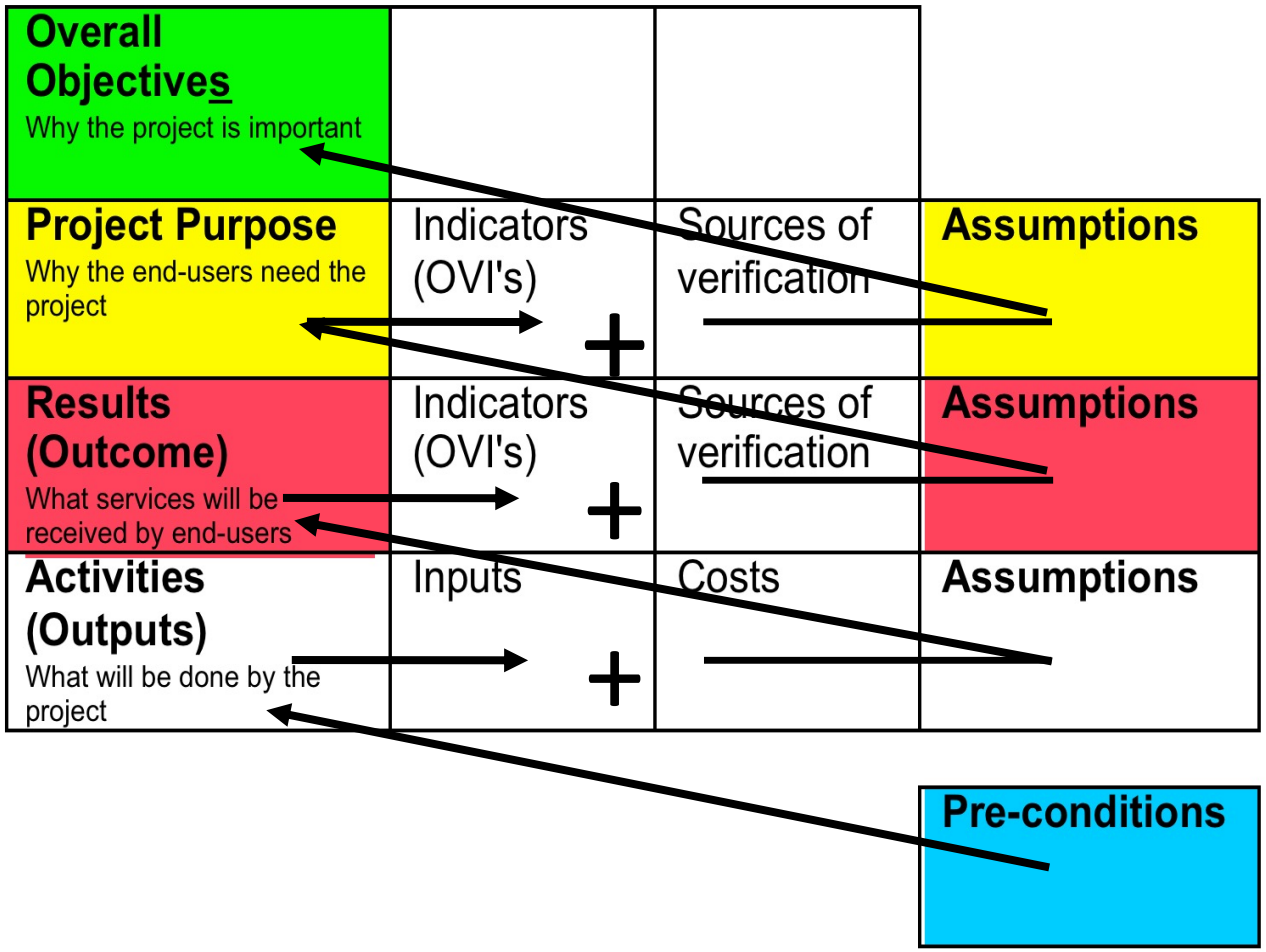
Logical Framework Matrix

Planning Matrix and ZIG ZAG Logic



ASSUMPTIONS ….
The zig-zag logic reads:

- **IF The RESULTS are reached**
- **AND the ASSUMPTIONS are met …**
- **THEN the PURPOSE will be achieved**

- **And for each Result …**
- **IF the ACTIVITIES will be implemented**
- **AND the (white) ASSUMPTIONS are met**
- **THEN the RESULTS will be achieved**

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ASSUMPTIONS

ASSUMPTIONS at red level affecting the **PURPOSE**
are **relevant for the**
design of the project (IN or OUT)

ASSUMPTIONS at white level affecting the
RESULTS (for which the project is responsible)
are **MOST important (= to be MONITORED)**

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The IMPORTANCE OF ASSUMPTIONS

- - Assumptions: if not met, these can kill the project
- - Other agencies, outside our control, are responsible to assure Assumptions
- - Assumptions place the project in a context
- - The more (relevant) Assumptions, the better the project design …
- They indicate proper planning!
- - The fewer Assumptions, the poorer the quality of the project ("ostridge approach")…. Actually if they are not identified, they are in reality there and can thus suddenly pop up and kill the project
- (Ad-hoc management)
- - A good project manager monitors particularly the assumptions, there is the risk
- The intervention logic will be achieved as the Experts are under his control.

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Key messages 2nd session:

- **Place emphasis on the Analysis Phase**
- Check particularly the suppliers WHY (red) to uncover possible RISKS (Hidden Agenda's)
- **Design a end-users based Logical Framework Matrix**
  - ***1. For WHO?; 2. Purpose (WHY?);***
  - ***3. Overall Objectives (Importance);***
  - ***4. RESULTS (WHAT);***
  - ***5. ASSUMPTIONS (WHAT NOT).***
- Two matrixes: What should happen and HOW will it happen (Capacity Building).

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Objectives of the training

- The **Purpose** of this training was raised confidence of participants in attaining better quality projects.
- **Results** of this training were:
  - ✓Raised understanding of factors that affect the quality of projects
  - ✓Raised understanding of tools that can influence the quality of projects
  - ✓Better insight in assumptions that affect the quality of projects

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Impression of the Training

Share in the chat a comment on the Training

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EVALUATION

- **PLEASE SPEND 10 MINUTES**
- **Today or tomorrow**
- **TO RESPOND TO THE FOLLOWING EVALUATION FORM:**
- **https://mail.google.com/mail/u/0/#inbox/FMfcgzGlkFqXGvXrflSJdbpZhJNgLvbc**

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Individual exercise

Do make the TEST again!

After you have done the TEST again you can contact me to discuss any issue arising.

- **erik@PROJECTSforCHANGE.eu**
- **Or WhatsApp: +31-6-11114271**

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SUCCESS!

Hopefully these concepts, tips & tools and your confidence will help you becoming even a better professional!

(= Overall Objective)

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Thank you

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