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**DEFINING OBJECTIVES AND  
MEASURING PERFORMANCE  
IN AID PROJECTS AND PROGRAMMES**

**B E CRACKNELL AND J E REDNALL**

**EVALUATION DEPARTMENT  
OVERSEAS DEVELOPMENT ADMINISTRATION  
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## FOREWORD

During 1985 Dr Basil Cracknell, then Head of Evaluation Department, and Mr John Rednall, a recently retired Assistant Secretary, were commissioned by the Overseas Development Administration (ODA) to examine how the ODA could improve the effectiveness of its bilateral aid projects and programmes by strengthening the setting of objectives and by more widespread use of performance targets and output measures.

After reviewing ODA practice and the experience of other donors, Dr Cracknell and Mr Rednall recommended that the ODA should adopt a version of the Logical Framework Approach to project appraisal, design and management.

In November 1985 it was decided to apply the Project Framework Approach as it was to be known in the ODA substantially along the lines recommended, to all major new project proposals with effect from 1 February 1986.

Each year ODA commissions a number of evaluation studies with two aims in mind; firstly, to assess the effectiveness of its aid activities and secondly, to learn lessons for improving the effectiveness of future aid activities.

This evaluation is one such study. In all cases the reports and conclusions are attributable to the authors, who are finally responsible for their contents, and not to ODA.

We are pleased to make available the report by Dr Cracknell and Mr Rednall as a contribution to wider debate on how to make aid more effective.

Evaluation Department  
Overseas Development Administration  
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## **CONTENTS**

### **PREFACE**

### **SUMMARY OF CONCLUSIONS AND RECOMMENDATIONS**

- 1. THE BASIC CONCEPTS: A REVIEW OF RELEVANT EXPERIENCE TO DATE**
- 2. REVIEW OF PEC SUBMISSIONS**
- 3. THE EXPERIENCE OF OTHER DONORS**
- 4. THE LOGICAL FRAMEWORK**
- 5. PROPOSALS FOR THE INTRODUCTION OF A "PROJECT FRAMEWORK" SYSTEM IN THE ODA**
- 6. PRACTICAL PROBLEMS OF SETTING TARGETS OR INDICATORS AND PERFORMANCE MEASURES**

### **APPENDICES**

- 1. TERMS OF REFERENCE**
- 2. PROGRAMME OF VISITS TO OVERSEAS AID AGENCIES**
- 3. NOTES ON DISCUSSIONS WITH OVERSEAS AID AGENCIES**
- 4. DEPARTMENTS AND ADVISERS CONSULTED IN ODA**
- 5. RECOMMENDED FORM OF PROJECT FRAMEWORK**
- 6. EXAMPLES OF PROJECT FRAMEWORKS CONSTRUCTED FROM PEC SUBMISSIONS**
- 7. GLOSSARY OF TERMS**
- 8. BIBLIOGRAPHY**

**[References in ( ) in the text are to items in the Bibliography at Appendix 8]**

## **PREFACE**

1. We were appointed in February 1985 to consider how ODA can improve the effectiveness of bilateral aid projects and programmes by clearer definition of objectives and by developing the use of performance targets to measure output and impact. A copy of our terms of reference is at Appendix 1.
2. We reviewed some 50 submissions to the Projects and Evaluation Committee extending over the past 18 months and covering all significant sectors of aid. The results of this review are summarised in Chapter 2.
3. We had discussions with a number of other aid donors - the Swedish International Development Agency, the Federal German Ministry for Economic Co-operation, the Canadian International Development Agency, the United States Agency for International Development and the World Bank. Notes on these discussions are at Appendix 3. We also consulted the International Planned Parenthood Federation.
4. Written comments were received from the Australian Development Assistance Bureau, the Belgian Ministry of Development Co-operation, the German Agency for Technical Co-operation, the Finnish International Development Agency, the European Commission, the Asian Development Bank, the Inter-American Development Bank and the Project Planning Centre (University of Bradford).
5. We consulted widely Departments and Advisers in ODA. A list is at Appendix 4.
6. We received ready and constructive co-operation from all whom we consulted and are particularly grateful for the warm welcome and generous hospitality which we received during our visits to SIDA, BMZ, CIDA, USAID, the World Bank and IPPF. We have learnt much from their advice and experience and hope that this will prove of benefit to ODA.

## **SUMMARY OF CONCLUSIONS AND RECOMMENDATIONS**

### **A. CONCLUSIONS**

#### **REVIEW OF PROJECTS AND PROGRAMMES SUBMITTED TO PEC**

1. Inputs were well quantified and measured in terms of expenditure in two thirds of projects and in terms of time and activity by bar charts and work plans in just over half (para 2.6).
2. Outputs were also well described in two thirds of projects and performance measurement was satisfactory in over half (para 2.7).
3. Immediate objectives were well specified in three out of five projects and performance measurement was satisfactory in just over half (para 2.8).
4. Wider (ie sectoral or national) objectives were well specified in two out of five projects but performance measurement was satisfactory in only one quarter (para 2.9).
5. The quality of PEC submissions has improved over the last 18 months, but objectives and performance measures, though present, were often poorly set out and articulated (para 2.11 and 2.12).
6. About half the submissions made satisfactory provision for monitoring arrangements (para 2.15).

#### **THE EXPERIENCE OF OTHER DONORS**

7. The USA and many other aid donors use, or are proposing to use, the Logical Framework approach to project appraisal and design (para 3.5).
  8. Training is essential to the proper use of the Logical Framework (para 3.14).
  9. The Logical Framework does not supplant any aspects of project appraisal, but does provide a framework within which different disciplines can be
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brought to bear on a project, seeing it as more than a package of inputs and outputs, and which helps to make explicit its key elements (para 3.15).

#### PROPOSALS FOR THE INTRODUCTION OF A "PROJECT FRAMEWORK" SYSTEM IN THE ODA

10. Discussion of the Logical Framework approach to project planning and its advantages and disadvantages (para 5.1 to 5.16) leads to the conclusion that such a system should be introduced into ODA (see Recommendations below).

#### PRACTICAL PROBLEMS OF SETTING TARGETS AND PERFORMANCE MEASURES

11. There is scope for quantification even when it seems difficult (paras 6.1 and 6.2); but there are pitfalls (para 6.3 and 6.4).
12. Lists of performance measures are of limited value; usually the measures are unique to each project and must be identified by project designers (para 6.5).
13. Need to distinguish between using targets in the context of project management and using them to judge personal performance. The Project Framework should be regarded, for the time being, as an internal ODA tool and the indicators should relate to the estimates in the PEC submission (paras 6.7 to 6.9).
14. Importance of avoiding expensive and over-elaborate data collection systems (para 6.12).
15. Value of rapid rural appraisal methods (para 6.14).
16. Importance of qualitative as well as quantitative assessment of performance (para 6.16).

**B. RECOMMENDATIONS**

**PROPOSALS FOR THE INTRODUCTION OF A "PROJECT FRAMEWORK" SYSTEM IN THE ODA**

17. A system based on the Logical Framework approach should be introduced into the ODA (para 5.17).
18. This should incorporate a matrix, to be known as the Project Framework (paras 5.17 and 5.18 and Appendix 5).
19. The system should be mandatory, and the Project Framework completed, for all projects approved at Under-Secretary level and above. Its use for smaller projects, including Technical Co-operation, should be encouraged (para 5.20).
20. Project Frameworks should be kept under review and revised when necessary (para 5.20).
21. New arrangements should be introduced for custody of key project papers, including the Project Framework, in a central location in each Geographical Department (para 5.21).
22. The data in Column 1 of the Planning Framework should be put into the MIS as a matter of course and key findings from monitoring and evaluation missions added (para 5.23).
23. There should be two-day training courses for ODA staff in the Project Framework approach to be given by mixed teams from ODA and an outside consultancy (paras 5.24 and 5.26).

## **1. THE BASIC CONCEPTS: A REVIEW OF RELEVANT EXPERIENCE TO DATE**

1.1 The two basic concepts of this study, the setting of clear objectives and the development of targets and output measures, are not new: both have been important elements in management training in the Civil Service for two decades or more, but until now they have not been widely incorporated into ODA's operational procedures.

### **MANAGEMENT BY OBJECTIVES**

1.2 The setting of clear objectives was recommended in the Fulton Report (para 360 "A New Management System"), and it was the cornerstone of the "Management by Objectives" (MbO) approach that was introduced into Civil Service training courses during the 1960s. (1 and 2) MbO however was linked more to an individual's or a Department's own work programmes than to the management of a Government-funded project or programme. The result was that although the flavour of the general message was probably absorbed, it had little practical effect on how tasks were actually performed in ODA because the ideas were never incorporated into procedures which everyone was obliged to implement. No doubt a few people conscientiously tried to apply the basic concepts to their own work programmes for a while, but then lapsed back into the traditional way of doing things in which only the more or less obvious objectives were clearly defined, and criteria of success were never established unless (an unlikely event) someone specifically asked for them.

### **PROGRAMME ANALYSIS AND REVIEW**

1.3 A less immediately relevant management technique, but one which for a time had a considerable impact because it became an integral part of the Civil Service machinery, was Programme Analysis and Review (PAR). This concept tended to be operated only at the macro programme level (eg ODA's Technical Cooperation Programme, Research, Consultancies). The emphasis was very much on overall policy aspects rather than on efficiency at the operational level. It had very little impact on ODA's procedures at the project or small programme level and eventually it was superseded by the activities of the Central Policy Review Staff which again concentrated on broad policy issues.

## SOCIAL COST BENEFIT ANALYSIS

1.4 During the 1960s and 1970s a number of other aid administration techniques were introduced, with a varying measure of success, all of which bore some relationship to the setting of objectives and targets. The most effective and long-lasting has been Social Cost-Benefit Analysis (CBA) which is still a very important element in ODA's project appraisal system and that of most other donors. CBA can be applied ex-post, as the World Bank for instance tries to do whenever it can, and the World Bank argue that the realised rate of return can be regarded as encapsulating virtually all of the important objectives and targets of a project (although of course the individual components are lost through the concentration on one measure). The relevance of CBA to the theme of this study is discussed later (Paras 5.15 and 5.16).

## OTHER MANAGEMENT TECHNIQUES

1.5 Other management techniques developed during this period, such as Systems Analysis, Network Analysis, Critical Path Analysis, Operational Research, Time and Motion Study, and Decision Trees, had some relevance to objectives and targets but they were really more related to improving efficiency in the detailed implementation of a project than to improving the initial project design. Since the ODA seldom has direct responsibility for the detailed implementation of projects these techniques had only limited application to our work.

## FINANCIAL MANAGEMENT INITIATIVE (FMI)

1.6 There has been a marked resurgence of interest in quantified and time-bound targets in recent years as a result in particular of the Financial Management Initiative (FMI). The basis of FMI thinking is that people are more likely to carry out their tasks effectively if they have a clear idea of what their tasks are, and full personal responsibility for carrying them out, including financial responsibility for the expenditure. Thus the FMI approach depends upon a clear identification of tasks for individuals and for groups or departments, and the setting of time-bound and quantified targets for the achievement of those tasks.

1.7 Arising out of the FMI, the Financial Management Unit of the MPO/Treasury undertook a case study of ODA's management of country aid programmes (3) taking

the Bangladesh programme as an example. The study concluded that the objectives of individual aid allocations within programmes were not always set out sufficiently specifically and that financial monitoring needed to be limited more closely to physical monitoring. This conclusion led directly to our appointment, and we have therefore seen it as our task to review more extensively the extent to which ODA is already using FMI techniques in its project and programme activities (see Chapter 2), and to assess the scope for incorporating FMI ideas in a more systematic and coordinated way.

## THE LOGICAL FRAMEWORK

1.8 This review of British experience to date has shown that although there has been lively discussion of the role of objective-setting and targets/performance measures for the last two decades, and these ideas have been part of training courses run by the Civil Service College, they seem to have had limited effect, mainly because (apart from cost-benefit analysis) they were never thoroughly incorporated in ODA's appraisal, monitoring and evaluation procedures.

1.9 Elsewhere however that was not the case. As early as 1970 USAID had developed an approach to objective-setting, combined with indicators of success and the identification of important assumptions, which was called the "Logical Framework" (see Chapter 4). This became a mandatory part of USAID's project appraisal, monitoring and evaluation procedures, for TC projects only at first, but after 1974 for capital aid projects as well. Training courses in the Logical Framework were run in Washington, and one of the authors attended one such course in 1974. The Logical Framework was also adopted by CIDA and later by most of the UN agencies (but not IBRD), some of the development banks, and several bilateral donors, including most recently the Federal German Aid Ministry (BMZ).

1.10 Some of these agencies have therefore had a number of years of experience in operating a mandatory objectives/targets management system, and one of our first tasks was to visit them and to find out what their experience had been. Chapter 3 presents the results of this review, and it is in the light of their experience that we set out our proposals for the introduction of a similar system into the ODA (Chapter 5).

## 2. REVIEW OF PROJECTS AND PROGRAMMES SUBMITTED TO PEC

### CASE STUDY BY FMU

2.1. The Case Study of Bilateral Aid by the Financial Management Unit concluded:

1. ODA does generally state objectives both for its country programmes and for individual aid allocations within these programmes, but the objectives of the latter are not always set out sufficiently specifically so as to facilitate the most effective monitoring and subsequent evaluation;
  - ii. financial monitoring at project and programme level is satisfactory but needs to be linked more closely to physical monitoring which in turn could be improved by (i);
  - iii. in extremely heterogeneous programmes it is impossible to quantify specific overall objectives. These should be sought at a more disaggregated level. Even then, in the case of ODA programmes, it is very difficult to establish pure objectives. Nevertheless it is very desirable to set intermediate ones, such as
    - allocate aid to [X] so as to increase the value of UK exports from £a to £b;
    - increase teaching hours per week in a Bangladesh primary school from [c] to [d].

2.2. The FMU report took as an example of bilateral aid the programme in Bangladesh but examined only one project submission - a technical education project. The report found that the project submission gave a detailed account of the lack of and need for technical education and stated the objectives as being to:

- a. improve the quality of training at the engineering colleges and polytechnics; and
- b. improve the management of the technical education programme.

2.3. The report noted that the project was one that lent itself to some quantitative statement of expected achievements and that the submission did contain details of numbers of students who would pass through the college in future years. It commented, however, that it might be helpful if such quantitative measures were made more explicit and were specifically identified for future monitoring - e.g. ensure that [X] students were receiving at least [Y] hours of teaching by [date].

#### REVIEW OF PROJECTS AND EVALUATION COMMITTEE SUBMISSIONS

2.4. We accordingly began our work by undertaking a more extensive study of projects and programmes approved by the Projects and Evaluation Committee over the last 18 months or so in order to assess:

- i. whether objectives were adequately specified;
- ii. whether quantified targets were, or could feasibly have been, identified;
- iii. arrangements for monitoring.

We looked at some 40 project submissions covering a wide range of sectors and about a dozen programme and sector aid submissions.

2.5. For this purpose we looked at each of the four elements of the hierarchy of elements in a project's design and objectives which are recognised by most aid donors as necessary for effective identification, appraisal, monitoring and evaluation. These elements are:

- i. inputs into the project - e.g. equipment, materials, TCOs, training;
- ii. outputs - e.g. a road, an irrigation system, a training institution;
- iii. the immediate objectives of the project itself;
- iv. the wider objectives - sectoral or national - of the project.

We roughly classified as good, fair or poor for the extent to which the requirements in para 2.4 above were met.

## FINDINGS

2.6. Inputs. At this level, as is to be expected, quantification and measurement were most satisfactory. The simplest measure is an expenditure plan by financial years. In about two-thirds of project submissions this was good - well set out and categorised in some detail; in about a quarter fair; and poor in only three cases. The other simple measure is a Bar Chart or Work Plan by which physical progress over time can be measured. Just over half we judged to be good, the remainder poor. However this impression may be misleading because for some projects a bar chart is inappropriate while a work plan may more suitably be drawn up after a project has been approved.

2.7 Outputs. We thought that similarly the description of the nature of the output was good in about two-thirds of the project submissions and, bar two poor examples, fair in the remaining ones. Measurement of achievement seemed somewhat less satisfactory - over half were good, but nearly a fifth were poor.

2.8 Immediate Objectives. We found these well defined in about three-fifths of submissions, the rest were fair. Measurement was slightly less satisfactory.

2.9 Wider Objectives. We judged these to be well specified in about two out of five cases, the rest being fair or poor in roughly similar proportions. Measurement was good in only a quarter of the submissions; over half of them we thought poor in this respect.

2.10 We have three main comments on this broad classification. The first is that it is much easier to define outputs and objectives, and to measure achievement of targets, in some kinds of projects than in others. Construction and public utility projects lend themselves to target setting and measurement; renewable natural resources projects are more difficult; and "people centred" - eg integrated rural development - projects present severe problems.

2.11 Secondly, we discerned a marked improvement in the quality of PEC submissions over the past 18 months. This should be reinforced by amendments

made to VOL IIIA of Office Procedure in recent months. Some Departments have made a very creditable effort to tackle what are quite difficult issues and, although it may be invidious to single any out, we should like to mention the three Kenya education sector projects submitted earlier this year.

2.12 There is however much room for improvement. Our findings above relate to the extent to which material could be found in PEC submissions, but all too often it was poorly set out and articulated and was scattered throughout up to 40 pages of a submission and its annexes. We thought that objectives were better described, and indicators and measures better defined, when a project was a joint one with the IBRD and their material was being utilised.

2.13 The sample of programme and sector aid projects was too small for valid conclusions to be drawn. Since most projects cover only one financial year at a time measurement of inputs does not normally arise. This would however be possible at a disaggregated level where the Geographical Department or the Development Division approves specific uses of programme aid. Outputs and immediate objectives were normally well defined and measured for sector aid. Both immediate and wider objectives of programme aid were often well-defined, particularly where projects were in support of IBRD and IMF assistance and measurement could be set in terms of IMF targets, though such conditionality was not always considered appropriate.

#### ARRANGEMENTS FOR MONITORING

2.14 Office Procedure (Vol IIIA 3.04.8c) provides that requirements and procedures for monitoring should be covered in the PEC submission. We again roughly classified as good, fair or poor, arrangements for monitoring described in submissions, according to the extent to which they combined:

- i. periodical reporting by project management and visits or reviews (mid-term or other) by the Development Division or ODA with
- ii. adequacy of the description and timing of intended project inputs (physical and financial) and outputs.

For some larger rural development projects monitoring and evaluation units were set up as part of the project.

2.15 On this basis monitoring arrangements in about half the project submissions could be classified as good, and fair in most of the others. If only arrangements for reporting and review were considered, and adequacy of description and timing of inputs and outputs were excluded, the picture was rather better.

### 3. THE EXPERIENCE OF OTHER DONORS

#### DONORS' AID POLICY OBJECTIVES AS THE CONTEXT FOR PROJECT PLANNING

3.1 The appraisal and preparation of a development project needs to be consistent with the donor's policy objectives as well as the recipient's needs. In Sweden and the USA, for example, legislators have set general aims for the aid agencies to follow. In Sweden these are:

- Economic growth;
- Social and economic equality;
- National independence;
- Development towards democracy.

In the USA they are:

- Institution building;
- Technology transfer;
- Support for the private sector;
- Policy dialogue.

3.2 Virtually all the aid donors we consulted prepare country programmes which usually look three to five years ahead. In USAID this is known as the Country Development Strategy Statement. Country programming is always the responsibility of a geographical division but once a project has been identified and agreed in principle its preparation and execution may be handed over to a functional division - eg Sweden - or to an outside agency - eg Germany where TC projects are undertaken by GTZ and capital aid projects by KfW.

#### ATTITUDES TO THE LOGICAL FRAMEWORK APPROACH

3.3 All aid agencies would now agree on the need to go behind and beyond a project or a programme. It is not enough to put it in a policy framework. It is also important to see a project as more than a package of inputs and outputs and to begin identifying the problem that has to be solved and its causes before considering what are the most effective means of tackling them.

3.4 The Logical Framework approach (LFA) - described briefly in Chapter 4 - has been adopted in whole or in part by most of the aid donors we consulted. Its two distinctive elements are the hierarchy of objectives - goal, purpose, outputs, inputs in American parlance - and the "matrix" in four horizontal rows by four columns for presenting an analysis of the means and ends which go to form a project. A particularly valuable feature is its versatility: its basic principles can be used to analyse almost any problem whether aid policy towards a country, large capital aid projects or small technical co-operation projects.

3.5 LFA was introduced by USAID at the beginning of the 1970s. It is now firmly established there and in Canada (CIDA). It has spread to the whole of the UN development system. It is used by IPPF, (located in London, who regard it as a very important part of their management system) and Australia. In Germany it has been used for three years by GTZ (the technical co-operation agency). The Evaluation and Inspection Division of the Ministry of Economic Co-operation (BMZ) has been following its principles for some years and the Ministry is now moving towards its formal adoption following a series of training courses in "Target-Oriented Planning" for all senior staff. Sweden (SIDA) uses the hierarchy of objectives but not the matrix. The Finnish International Development Agency has recently adopted LFA. In Belgium, the Evaluation Department of the Overseas Development Ministry recently proposed a unified system of project appraisal and monitoring based on the Logical Framework (including the matrix) but this has not yet been adopted.

3.6 Aid agencies which have modelled themselves on the World Bank - including KfW (the capital aid agency) in Germany - have hitherto not adopted LFA in a formal sense (although KfW may shortly be required to do so by BMZ). The World Bank takes the view that the logic of the hierarchy of objectives underlies its way of thinking, particularly since the scale of its operations means that the impact of its projects up to at least the sectoral level is always in the mind of project designers. The Bank however is reluctant to adopt what it would regard as a "recipe" style of approach which could easily become an intellectual straight-jacket. It also regards the Internal Rate of Return as being the most effective measure of a project's overall achievements (whilst recognising that it cannot embrace all aspects). The Asian Development Bank does use the matrix where it considers it helpful - particularly for agriculture and rural development projects.

3.7 American and Canadian experience underlines the fact that the Logical Framework approach is at its most effective when it is used right at the start of the project's life ie when it is being formulated as well as at the design stage. It helps to "open up" the thinking process. The Germans and Canadians use the Logical Framework as a background to what they call "Brainstorming" ie they get together a group of people with experience and relevant skills to thrash out the nature of the problem, and out of that process the project begins to evolve.

3.8 The matrix lies at the heart of LFA, though the extent to which it is used positively and constructively, as distinct from being filled up mechanically towards the end of project preparation, varies within aid agencies. Many officers now in senior management positions in CIDA and USAID were trained in LFA some years ago and are now in a position to insist on its use. Experienced users may have a mental vision and understanding of the matrix which enables them to defer completion to the end and then use it to identify gaps in their thinking; others will construct it as they go along. It is easier to use, but less necessary, for simple straightforward projects. It is more difficult to use, but of much greater benefit, for complex projects where objectives, indeed inputs and outputs, may be less clear. It can help to highlight competing or inconsistent objectives of projects.

3.9 The matrix can be presented as a narrative - as is sometimes done by USAID - but it is normally shown as a table. Numerous variants exist. IPPF and UNIDO, for example, introduce a row for "Activities" to link "Inputs" to "Outputs" but omit the "Goal" level. Some people in USAID feel that more is going on at the "Purpose" and "Goal" levels than the matrix can conveniently capture and see a need for an additional row to make room for intermediate objectives.

3.10 Both CIDA and USAID emphasised the importance of keeping the matrix under review during the progress of a project and of preparing revised and updated versions as needs and circumstances changed. They admitted however that this was by no means always done.

3.11 We were told by both CIDA and USAID that the matrix has to form part of the paper seeking final approval of a project but that the importance which top management attached to it varied according to individual inclination. Some used it positively to analyse a project presented to them and to question the authors;

others preferred to rely on the "Executive Summary", and others to read all the documents. SIDA (Sweden) does not use the matrix but it does incorporate the hierarchy of objectives and relevant targets, together with project "performance ratings" in annual project summaries known as "Project-Programme Follow-up". (See Annex 1 to Appendix 3.)

3.12 One of LFA's main uses is in the monitoring and evaluation of a project; indeed the impulse for its adoption by an aid agency has usually come from the department carrying general responsibility for monitoring and evaluation policy. An incidental advantage is that it can readily be used for computerising information. Both CIDA and USAID store the information in the hierarchy of objectives on computer together with (in the case of CIDA) outturn information and lessons learned on evaluation and (in the case of USAID) summaries of successive monitoring and evaluation reports.

#### PERFORMANCE TARGETS

3.13 There is general agreement that measurement of performance presents no problems at the input and output levels but that it becomes more difficult at the immediate and the wider objective levels. The main points on which all donors appear to be agreed regarding performance targets and indicators at these levels are:

- i. weight should be given to qualitative as well as quantitative factors;
- ii. particularly in social or "people orientated" projects, quantitative targets that take no account of qualitative factors may be inappropriate or even misleading;
- iii. it is wrong to try to quantify what cannot be quantified sensibly or economically;
- iv. expensive monitoring and evaluation (M and E) operations are increasingly discredited; simpler and more straightforward approaches are needed in which proxy measures and rapid rural appraisal techniques have a useful part to play;

- v. Although lists of performance indicators for different sectors have been produced by both CIDA and USAID there are no ready-made solutions for measurement or data-collection which can easily be adapted from one project and applied to another. It is the responsibility of professional staff to identify for each project verifiable performance indicators.
- vi. Target setting can be counter-productive - eg if project staff think that set targets must be achieved even if circumstances change. The Swedes quoted to us a disastrous example of a soil erosion project in Ethiopia where targets had been set for the number of trees to be planted, with the result that the staff had merely planted the maximum number of trees regardless of whether they survived or not! Setting targets that can take adequate account of qualitative factors is by no means easy. Even if targets can be easily quantified staff may be tempted to set them at excessively low levels if they know their performance is to be judged by them. The Swedes also pointed out that it is inappropriate to set quantified targets in cases where the optimum mix of products to be produced has to depend upon relative factor or market prices.
- vii. The internal rate of return (IRR) is an important measure of project achievement, though in itself it does not indicate who were the main beneficiaries of the project; nor is it feasible to calculate it for all projects. The IRR bears little relationship to such objectives as institution building or policy reform.
- viii. Targets relating to policy and legislative changes, institutional reform and such matters as improvements in tariff structure can be as significant as production targets.

## TRAINING

3.14 Training is essential to the proper use of LFA and the matrix. Many officers now at middle and senior management level in CIDA and USAID were trained in its techniques in the early 1970s. In both agencies, in the late 1970s and early 1980s training became neglected and the quality of LFA use deteriorated. Now in both agencies training has been resumed. In USAID it has returned as an element in a one-week Basic Project Design and Implementation Course designed to

cover all administrative and professional staff with three years or less service. In CIDA all new entrants have to take a course in LFA and there is strong demand for refresher courses for existing staff. We were given the detailed participants' papers for their two-day course.

## CONCLUSION

3.15 It is important therefore to recognise the limitations of the LFA methodology. In itself it gives no guidance on many essential aspects of project appraisal and design. It does not supplant, for example, cost benefit analysis or technical, financial and institutional appraisal. The experience of a growing number of other aid agencies however is that it does provide a consistent and logical framework within which different disciplines can be brought to bear on a project, seeing it as more than a package of inputs and outputs, and which helps to make explicit its key elements as conceived by the project's designers.

#### **4. THE LOGICAL FRAMEWORK APPROACH**

4.1. The Logical Framework Approach (LFA) can be defined as a set of interlocking concepts which can be used together in a dynamic fashion to develop a well-designed, objectively-described and evaluable project.

4.2. LFA expresses the cause-effects linkage between the various levels of a project's objectives, and sets out the means of achieving them. Nomenclature varies, but this hierarchy can be most simply expressed as - Inputs - Outputs - Immediate Objectives - Wider (sectoral or national) Objectives\*.

4.3. This in itself is no more than should be looked for in any well-designed project, but LFA adds two significant elements. One is the important assumptions about conditions and actions external to the project which must hold true if the planned linkages between Inputs and Outputs and Objectives are to occur. The other is the setting of quantified and time-bound targets, and measures of performance, by which the degree of success in achieving the objectives can be measured or judged.

4.4 The main results can be summarised in narrative form but, for convenience and clarity, are shown most effectively in a four row by four column "matrix". An example of a typical "matrix" used by USAID is attached.

4.5 In the early stages of a project, planners would concentrate on the "Project Structure" and "Important Assumptions" columns. As the details of the project were worked out the second and third columns would be filled in and the completed matrix would form part of the final submission. The matrix should remain a tool of management and should be revised and if need be a new one prepared at later stages in the course of monitoring and review.

4.6 To summarise, LFA:

- i. describes a project in a systematic, concise and coherent way;
- ii. provides a closely-related hierarchy of causes and expected effects;

- iii. alerts planners and managers to external factors over which they have no direct control but which are crucial for good progress;
- iv. provides a foundation for subsequent monitoring and evaluation by requiring identification of criteria of success and of ways to measure or judge it.

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\* The American terms are "Inputs, Outputs, Purpose and Goal"

**PROJECT DESIGN SUMMARY  
LOGICAL FRAMEWORK**

Life of Project:  
From FY \_\_\_\_\_ to FY \_\_\_\_\_  
Total U. S. Funding \_\_\_\_\_  
Date Prepared: \_\_\_\_\_

Project Title & Number: \_\_\_\_\_

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
<p>Program or Sector Goal: The broader objective to which this project contributes:</p>	<p>Measures of Goal Achievement:</p> <p>a. Progress/Benefit</p> <p>b. Benefit Incidence/Beneficiary</p>		<p>Assumptions for achieving goal targets:</p>
<p>Project Purpose:</p>	<p>Conditions Expected at End of Project</p> <p>a. Progress/Benefit</p> <p>b. Benefit Incidence/Beneficiary</p>		<p>Assumptions for achieving purpose:</p>
<p>Outputs:</p>	<p>Magnitudes of Outputs</p> <p>a. Progress/Benefit</p> <p>b. Benefit Incidence/Beneficiary</p>		<p>Assumptions for achieving outputs:</p>
<p>Inputs:</p>	<p>Implementation Target (Type and Quantity)</p>		<p>Assumptions for providing inputs:</p>

## 5. PROPOSALS FOR THE INTRODUCTION OF A "PROJECT FRAMEWORK" SYSTEM IN THE ODA

5.1 Our review of the experience of other donors in the use of the Logical Framework leads us to conclude that the main advantages and disadvantages of such a system are as follows:

### ADVANTAGES

5.2 (a) It brings coherence and discipline to project formulation and project design. The process of completing the Logical Framework matrix forces a project analyst to view a project as more than a package of inputs and outputs; thus he is obliged to define the hierarchy of objectives (not all of which may be mutually consistent), identify the important assumptions (which can all too easily be overlooked), and work out suitable time-bound and quantified (or if quantification is impossible or inappropriate, then assessable in qualitative terms) targets. The best project analysts may already be doing most of these things, but the Logical Framework approach would help to bring the others up to the level of the best as well as to promote a team approach. No doubt an informal process of discussion does go on in ODA at the project formulation stage, but advisers expressed the view that at present (particularly outside Development Divisions) there is too little cross-fertilisation of ideas at this stage and people tend to work in isolation. They thought that the process of completing the logical framework matrix, at least in outline at that stage, would help to encourage more mutual consultation.

5.3 (b) The matrix encapsulates the key elements of a project on just one or two sides of paper. This could be very helpful to senior management in giving them a pen-picture which they can assimilate in a few minutes. Our review of ODA Project Submissions in Chapter 2 has indicated that most of the components of the Logical Framework are there somewhere, but they are scattered over say 40 pages of text plus several annexes, and it is very difficult for a hard-pressed senior official to check that all the important aspects have been covered. If the components of the Logical Framework could be cross-referenced to the paragraphs of the main project submission that would make the matrix even more useful.

5.4 The Logical Framework is also very useful as a basic record of the project structure, for instance when there is a changeover of ODA staff on a geographical

desk: through the matrix the incoming officer would obtain an instant picture of the main elements of all the projects currently under way, without, as at present, having to wade through a mass of files. The advisers too would find these brief project summaries very useful, especially if, as we suggest later, they could be put into the MIS and were available for each sector.

5.5 (c) It is a valuable base for subsequent monitoring and evaluation. The clear statement of objectives, and especially the listing of important assumptions, and the identification of targets and performance measures, are all ready-made elements in the terms of reference for monitoring and evaluation missions.

#### DISADVANTAGES

5.6 (a) There is always the danger that the Logical Framework matrix may be used in a merely mechanical way ie people may simply fill in the boxes at the last moment because it is a "hoop to be jumped through" without seriously thinking through the problems.

5.7 (b) The setting of targets can lead to complications if they are not regularly reviewed and revised as the circumstances of the project or programme change. For example auditors may find it convenient to use them as criteria of success in project implementation and if they are not kept under regular review the auditors could be badly misled.

5.8 (c) Because of the seemingly precise and "set" arrangement of the Logical Framework matrix it may well lead to undesirable rigidity and inflexibility. Those with long experience in the operation of the system stress that it is only one tool among many and it must never be allowed to become a straight-jacket. The Logical Framework must always be a servant of good project management and never become the master. For instance if project managers believed they were going to be judged according to whether or not they achieved a given set of targets they might stick rigidly to achieving those targets rather than to exercising their proper function of being flexible and adaptive to changing circumstances and needs which meant that the targets were no longer appropriate and needed to be adjusted.

Project Framework). It would seem unjust for one's own performance to be judged on the basis of a measure that depends upon the contribution of a third party (especially if that third party is a developing country with a poor track record of project achievement). In short a distinction has to be drawn between targets used for aid administration purposes and targets used for personal performance.

6.8 A further problem associated with the use of targets for assessing personal performance is that if staff set their own targets they are liable to set them on the low side because of the risk of being criticised if they fail to attain them.

6.9 Paras 6.3 to 6.7 raise some rather fundamental questions about the nature of targets. Are they intended to be synonymous with "best estimates" of what is likely to happen in the light of all the known factors? (If so, the figures used for the technical economic appraisal would be the appropriate ones). Or are they meant to include an element of "incentive" ie "if things go reasonably well this is what you should be able to achieve"? The choice may hinge on who will see the targets. If they are to be seen only by ODA they can be simply "best estimates" but if they are to be seen by the developing country staff or by the contractors responsible for implementing the project one may wish to build in an incentive element. Our preference for the time being would be to use the Project Framework as an internal ODA tool, and in that case the targets should be related directly to the estimates in the appraisal.

6.10 It is possible that part of the present coolness towards the FMI may be due to inexperience with targets and performance measures. It has occurred to us that it might enhance the prospects of the successful implementation of the FMI if ODA staff were first given the opportunity of becoming familiar with the use of targets and performance measures in the less threatening context of aid administration generally.

#### FEED-IN TO MONITORING AND EVALUATION

6.11 An important benefit of setting targets and performance measures in the Project Framework matrix is that it focusses the attention of the project analyst on the data requirements for monitoring and evaluation. Thus it may become obvious that a base-line survey is necessary (usually a requirement with people-centred projects), or it may indicate that steps need to be taken now, rather

than later, to ensure that the data required for eventual monitoring and evaluation will in fact be available when the time comes eg some kind of survey or data collection system may have to be built into the design of the project. A well-constructed Project Framework should quickly highlight such needs.

6.12 On the other hand the World Bank, and other aid agencies, admitted to us that they were worried that past attempts at quantification through the setting up of Monitoring and Evaluation (M & E) Units as part of project management had often led to vast and expensive data collection systems that had had no practical effect on the quality of projects. This was usually because they seldom had the skill, time or resources to process the mass of data into a form that would make it useful to management.

6.13 We certainly do not wish to encourage repetition of these mistakes through over-eagerness in introducing quantified targets and performance measures, and we have given some thought to possible ways of avoiding the pitfalls. The first and most important need is to review the experience over past years and to try to gear data collection systems directly to supplying just the essential information that management needs and in the most timely manner.

#### RAPID RURAL APPRAISAL

6.14 A second approach would be to explore more fully what Robert Chambers in his work on Rapid Rural Appraisal (25) has called "Fairly-quick-and-fairly-clean" methods. These may not always be statistically perfect but they are at least cost-effective and can yield quick and timely results of direct value to management. Of course we recognise that there are dangers associated with their use, as pointed out by ODA statisticians. If they yield results that tally with one's expectations they are accepted as valid, but if not one tends to blame the statistics! What is needed is more experience in what is acceptable and what is not. (It is interesting that USAID now insists on a Data Collection Plan being drawn up for each Logical Framework matrix). We are not making a special bid for these rapid rural appraisal methods to be widely adopted. But we are wanting to emphasise the heavy responsibility that lies upon the project analyst when he writes targets and performance measures into the Project Framework to consider carefully the implications in terms of data collection and to weigh up the cost-effectiveness of what he is proposing.

5.9 This is of great importance so far as social or "people-centred" projects are concerned. These are projects which depend for their success on the responses of a large number of individuals who are intimately involved in their own change eg rural development, village water supplies, extension, rural credit, feeder roads etc. Flexibility in management is essential for the success of these projects. This implies that the objectives and targets need to be kept under review with the possible need for the Logical Framework matrix to be revised from time to time.

5.10 The ODA Social Development Advisers were generally supportive of the Logical Framework approach, but they insisted on the need for maximum flexibility in its operation. Experience has shown that social development projects cannot be planned ahead with any precision; what is needed is what is called in the literature the "disjointed incremental approach" ie a project is seen as a series of almost experimental interventions, each successive one of which is designed in the light of the experience derived from the previous one. This is sometimes described as "Rolling Planning". There is some danger that the Logical Framework approach, if applied in too rigid a manner, can promote the idea that a project in the social development sector can be planned and implemented in the form of a precise and determined pattern of inputs and outputs. To quote Hans H Lembke:<sup>(24)</sup> "Wrongly interpreted, and then supported by its formal logical structure, the Logical Framework can generate or reinforce the notion of a mechanism of social change and thereby apparently justify anew the concept of total planability".

5.11 (d) There are potential dangers with quantified targets if they are wrongly used. Quantitative targets may lead to over-emphasis on physical output without regard to quality. There is also the risk that quantified targets may be set when they are not appropriate or may be wrongly linked to personal performance (see Chapter 6, paras 6.6 to 6.8).

5.12 (e) Increased Workload. Fears have been expressed that the Logical Framework approach, particularly completion of the matrix, is time-consuming and would impose an unacceptable burden on already hard-pressed staff. We understand this, but believe the fear to be misplaced. If the Logical Framework is properly used through the preparation of a project the constituents of the separate "boxes" in the matrix will fall naturally into place, and the final filling-up of the matrix should take no more than an hour, or two at the most.

## THE CASE FOR A MATRIX

5.13 We have considered the question of whether the pattern of logical thinking enshrined in the Logical Framework approach is in itself adequate or whether there is also added advantage in using the specific Logical Framework matrix as illustrated in the Annexes to Appendix 3. Our conclusion is that the matrix is a valuable part of the whole process and that it would not be adequate merely to teach the virtues of logical thinking. Human nature being what it is it is probably only when one is confronted with the need to translate the Logical Framework pattern of ideas into the matrix that the more difficult issues are squarely addressed eg What is the "Output" of the project as compared with the immediate or wider "Objectives"? What are the really critical assumptions on which the success of the project depends but which may be beyond our control? What would be reasonable targets or indicators and where is the information to be obtained for checking whether they have been achieved?

5.14 The matrix is also useful because it provides what an American official called "a common language" both across an aid agency as a whole and, particularly, within a project appraisal team.

## RELATIONSHIP WITH COST BENEFIT ANALYSIS

5.15 In our discussions with members of the Economic Service we found that they were generally supportive of the Logical Framework approach, but they emphasised that it would in no way diminish the importance of cost-benefit analysis, and the realised internal rate of return (where it was feasible to calculate it) would still be the most effective single measure of a project's success even though it cannot capture the more qualitative aspects of development such as institution-building or the transference of skills. They suggested that the linkages between the Logical Framework matrix and the cost-benefit analysis should be clearly indicated. Thus the inputs and outputs in the matrix would be significant components in the CBA, the hierarchy of objectives should relate to the social weights used (if any) in the analysis of social costs and benefits, and there was an obvious linkage between the "Important Assumptions" and any potential bottlenecks identified as part of the sensitivity analysis.

5.16 Like CBA, the Logical Framework matrix works best on straightforward capital aid projects, but it is most needed, and most likely to have beneficial results in terms of improved project design, in relation to socially oriented projects where the objectives tend to be rather fuzzy, suitable indicators difficult to quantify, and the assumptions often overwhelmingly important. On this same tack, the economists suggested that the Project Framework approach might be particularly useful in connection with Programme Aid eg in ensuring a better definition of objectives and criteria of success. Other ODA colleagues have suggested that it might be particularly useful in connection with projects where the commercial and political objectives vie strongly with the developmental ones since it would force into the open the problem of competing, and sometimes inconsistent, objectives.

#### INTRODUCING THE NEW SYSTEM INTO THE ODA

5.17. Following our discussion of the considerations in paras 5.1 to 5.16 with a wide cross-section of colleagues in ODA (see Appendix 4), and in the light of our findings in Chapter 2 that there is room for improvement in the definition of objectives and of performance measures, we have no hesitation in concluding that the advantages of the Logical Framework approach outweigh the disadvantages. We were glad to find that these ideas for the better management of ODA's projects and programmes were warmly, and on occasion enthusiastically, welcomed by most of our colleagues, especially by most of the advisers, because they see them as an aid to better project design and monitoring. We therefore recommend that a system of project planning based on the Logical Framework should be introduced into the ODA. We also recommend that the matrix, to which we would give the simpler title of Project Framework, should be an essential part of the process.

5.18 Our recommended matrix, using a terminology which we consider would be more appropriate to ODA use, is at Appendix 5. Some organisations using the Logical Framework matrix have interposed an additional box between "Inputs" and "Outputs" for "Activities". Thus in the case of an agricultural extension project the inputs would be the staff, the outputs would be the trained farmers, and the activities would be represented by the work of the extension officers. If such an extra box is felt to be necessary it can easily be added. The need can also be found for more boxes to cover intermediate-level objectives. They too can easily be added but it must be remembered that clarity can be lost the more cumbersome the matrix becomes.

5.19 We have carefully considered the question of tactics ie is it prudent to arrange for the new system to be tried out on a pilot basis or would it be better for it to be introduced across the board? It is not easy to decide, but our preference would be for the latter since it is really only by doing that people are going to learn how to get the best out of the system. If it were to be introduced in this way it would be important to build in provision for careful monitoring of how the new system was working and to feed back the findings both into the on-going training and into improvements in the design of the system.

5.20 We therefore recommend that the proposed matrix should be completed for every project or programme, down to the level of approval by Under-Secretaries, as a mandatory requirement. We would also wish to encourage the use of the matrix for smaller projects, including teams of TCOs or even individual TCO appointments, but it would be "overkill" to make this mandatory at least until it had proved effective and acceptable for larger projects. The matrix would be attached to every project submission. It would be reviewed at intervals and certainly after every monitoring mission or whenever there was a change in substance to the design of the project. We regard this as a very important requirement and we would expect to see more than one matrix prepared for most ODA projects.

5.21 It is clearly important, if this process of regular review and updating is to be implemented successfully, that the Project Framework matrix should not be allowed to become buried among subsequent papers on the file but is kept in the forefront and regarded as an on-going aid to good project management. In our view this objective is unlikely to be achieved simply by placing the matrix on the top of the file with the words "Keep on top". Such papers usually get buried very quickly, and if not they are regarded as a great nuisance. Our preference would be to see a new system of project documentation set up in ODA, and the introduction of the Project Framework matrices could be the occasion for implementing this wider proposal. Such a system would involve photocopying of key documents in the project's life in an ordered sequence, and placing the copies on a separate binder bearing the name of the project. This would be kept in a central location in each geographical department (the World Bank operates a similar system, although they are known by the rather unfortunate title of "Black Books"). The initial Project Framework would be an important document in this binder, and any subsequent revisions would naturally be placed on it, together

with the monitoring mission reports, the PCR, and any evaluation reports. This idea has been recommended many times, in evaluation report after evaluation report, but as yet no action has been taken save a very modest proposal for the main project documents to be referenced onto a "key sheet" to be placed at the front of each project file. In our view this would not be adequate and we recommend that the introduction of the Project Framework system be made the opportunity for a really determined attempt to improve ODA's project documentation systems.

#### RELATIONSHIP WITH THE MIS

5.22 We have also considered the desirability of keying the Project Framework matrix into the MIS. The Canadians and Americans already put their Logical Framework data into their computerised information system and this enables any geographical desk officer or adviser to have virtually immediate access to all the key facts about every project funded over the last 15 years. Both even put into the computer memory bank the results of all monitoring and evaluation missions (in summary form of course) so that the lessons learned from past projects can be instantly recalled.

5.23 We discussed these ideas with the MIS and Leasco staff, and they said there would be no technical difficulty in ODA doing likewise. However we are by no means convinced that the benefits would justify the considerable costs of putting such data into summary form and then putting it into the computer system. How often would it be used in fact? The Americans have found that the Logical Framework data for past projects are virtually never consulted in relation to new projects. This suggests that it would be a great mistake to try to put too much data into the computer. On the other hand we can see great merit in putting just the essential basic facts about each project into the MIS system, and in fact we were told that provision already exists for this in that allowance has been made for up to one page of physical information about each project to accompany the financial data. This could be of great assistance to incoming desk officers, and also to advisers as it could be made available on a sector basis. We therefore recommend that the data in column 1 of the Planning Framework matrix should be put into the MIS as a matter of course. We also recommend that any key findings from monitoring and evaluation missions should be added as appropriate. The latter would supplement, but not supersede, the existing EVSUM system.

## TRAINING

5.24 The Project Framework system could not be effectively introduced into ODA without a carefully planned in-house training programme. We recommend that a 2-day training course would be needed, with the first day devoted to the basic concepts and techniques, and the second day to working through case studies. We have ourselves attempted to put three contrasting PEC submissions, drawn from those submitted during the past 18 months (including the Bangladesh Technical Education project looked at in the FMU case study) into the Project Framework format (see Appendix 6), and these might well form suitable case studies, supplemented by American and Canadian examples.

5.25 Training in FMI techniques of targets and performance measures is scheduled to start in ODA in the next 6 months, and it would make obvious sense to dovetail such training with that on the Project Framework Approach.

5.26 As to who should be responsible for the training we recommend that it should be given by a mixed team comprising one or two people from the ODA (probably from the Economic Service) plus one or two from an outside consultancy such as the Project Planning Centre at Bradford University (which already teaches the Logical Framework) or Cranfield Institute of Technology (where Professor Malcolm Harper has close contacts with the consultancy that carries out the USAID teaching). The aim would be that all the more senior members of staff would attend one of these training sessions, including (to the extent that this is feasible) members of the Development Divisions.

## **6. PRACTICAL PROBLEMS OF SETTING TARGETS OR INDICATORS AND PERFORMANCE MEASURES**

### **SCOPE FOR QUANTIFICATION**

6.1 Our Terms of Reference refer specifically to "quantified and/or time-bound performance targets and performance measures", and we accept that an integral and essential part of the Project Framework approach is quantification whenever possible.

6.2 We have seen many examples of imaginative attempts to quantify where at first sight this would seem to be difficult or impossible. One of the most stimulating ODA examples of an enterprising attempt to quantify performance measures was the Kenya Primary School Teachers Project approved by the PEC in 1985. A direct assessment of the economic costs and benefits was impossible, but in its place the appraisal contained an estimate of the number of children whose education would be affected by the project and the cost per child, which worked out at such a low figure that the project would seem to be well justified. Our expectation is that as ODA gains experience in the quantification of objectives and performance measures so the scope for this approach will be seen to be much greater than may seem to be the case at present.

### **PROBLEMS OF QUANTIFICATION**

6.3 There are a number of problems associated with quantification and brief reference was made to these in Chapter 5. An obvious problem is that in many cases it will only be possible to quantify part of an objective, yet because a checkable target has been identified that part of the objective may attract more attention than the rest which may well be as important or more so. There is also the very similar risk that when quantified targets have been set project management may give excess emphasis to the achievement of those targets without regard to quality factors (eg a training institute may become more concerned to turn out the targetted number of trainees than to achieve an improvement in their quality). It is vital to stress that qualitative targets are as important as quantitative ones (see para 6.16 below).

6.4 There is always the risk that emphasis on the setting of targets or indicators in the Project Framework may result in inappropriate targets being set. For instance in the case of an agricultural project it would be quite wrong to set medium to long-term individual crop production targets (except for a monocropping project) since it is the task of the farmer or project manager to choose such a mix of crops or livestock as will maximise profits. Even in such circumstances however there will usually be appropriate targets that can be devised.

6.5 The experience of other aid agencies is that producing manuals containing examples of suitable performance measures sector by sector is liable to be counter-productive in that the less conscientious members of staff may simply select the measures from the manual in a mechanical fashion. Usually the most appropriate measures are to some extent unique to each project, and it is better that the project analyst should think the problem through for himself case by case. There can be no harm however in using illustrations for training purposes, and to encourage innovation and experimentation in the thinking up of suitable measures.

#### PERSONAL PERFORMANCE TARGETS AND THE FMI

6.6 The setting of quantified personal performance targets is a basic element in the Financial Management Initiative (FMI). We found that in contrast to the generally favourable reception given by ODA colleagues (especially most of the advisers) to our proposals, the FMI ideas seemed to be regarded with considerable reserve. We attribute this to the fact that people recognised the difficulties inherent in the process of target setting and performance measurement, but they considered these to be acceptable in the context of aid administration generally. However when a very similar approach is applied to personal performance through the FMI it is seen as threatening, and the inherent difficulties assume a much greater significance.

6.7 One of the basic problems of any system of target setting and performance measurement is that the achievement of the targets may not depend only upon the project staff themselves but may depend also upon the contributions required from third parties or on outside events over which the project staff may have no control (these are covered in the column headed "Important Assumptions" in the

6.15 Often these short-cut methods will involve the use of "proxies" ie information that is fairly readily obtainable that can give some indirect guide to the likely magnitude of a statistic that would be either impossible or very expensive to obtain directly. For example rather than making a direct attempt to measure the income of small peasant producers, which is notoriously difficult and expensive to do, one might resort to the use of proxies such as the ownership of bicycles, expenditure on food or houses, purchases of cattle etc. As with most short-cuts such proxies require an intimate knowledge of the local scene and are certainly not easy options. We suggest that the Economic Service, along with the Social Development Advisers, might be asked to look at rapid rural appraisal methods to establish to what extent they can safely be used.

#### QUALITATIVE ASSESSMENT

6.16 Whilst we are optimistic about the potential for quantification, one of the main lessons we learned from the experience of other donors in operating the Logical Framework system was that it would be a mistake to assume that quantification is a sine qua non and that without it the Logical Framework approach collapses. That is certainly not the case. Even if quantification is not feasible that does not rule out the setting of targets and performance assessment. To quote the USAID's Evaluation Handbook 2nd Edition, 1976 (26): "The central issue in evaluation is not so much one of quantitative versus qualitative measures, but rather that indicators of change should be objectively verifiable, whether they be quantitative or qualitative". ODA advisers stressed that often an adviser is forced in the course of his work to make qualitative judgements. He is already well accustomed to doing this, and in a sense his ability to make sound judgements in the absence of quantified data is a measure of his maturity and experience. We should not therefore be afraid of making qualitative judgements and these may well be better than unreliable or inappropriate quantified measures.

**DEVELOPMENT OF OUTPUT AND PERFORMANCE MEASURES: TERMS OF REFERENCE****TERMS OF REFERENCE**

The team will consider, and make recommendations on, how the ODA can improve the effectiveness of its bilateral aid by:

- (a) strengthening the process of defining the objectives of aid projects and programmes, and
- (b) developing the use of quantified and/or time-bound performance targets and output measures.

The team will consider the approaches by other aid agencies in this area. It will begin its work in February 1985 and will aim to report by the end of the first week in May 1985 or earlier.

**NOTES**

It is expected that the team's approach to its task will include the following:

- (a) Carry out a review of projects or programmes approved by the PEC during the last 12 months with a view to assessing:
  - (i) Whether the objectives were adequately specified.
  - (ii) Whether quantified targets were, or could feasibly have been, identified.
  - (iii) Arrangements for monitoring in the light of (i) and (ii).
- (b) Have consultations on the subject with a wide selection of ODA Geographical Departments, Functional Departments and Advisers.
- (c) Visit selected bilateral aid agencies, notably USAID, CIDA, SIDA and possibly Germany, to find out what their experience has been in the use of quantified performance targets and output measures.

PROGRAMME OF VISITS TO OVERSEAS AID AGENCIESSTOCKHOLM (SIDA)Monday, March 4

Karlis Goppers, (Head of Section, Policy Development and Evaluation Division)

Klas Markensten (Head of Division, Finance Division)

Mr Anders Ostman (Finance Division)

Lunch: Bo Karlstrom (Head of Division) and Karlis Goppers (Policy Development and Evaluation Division)

Lennart Wohlgenuth (Head of Division, Education Division)

Inge Gerremo (Deputy Head of Division, Agriculture Division)

Mr Goran Bergman (Agriculture Division)

Tuesday, 5 March

Krister Eduards (Deputy Head of Division, Area Division)

Bo Dan Bergman (Deputy Head of Division, Industry Division)

Agneta Danielsson (Industry Division - Tanzania)

Olof Murelius (Senior Adviser)

Ruth Jacoby (Ministry of Foreign Affairs)

Carl Wahren (Head of Division, Health and Nutrition Division)

Kim Forss (Stockholm School of Economics)

BONN (Federal Ministry for Economic Cooperation - BMZ)Thursday, March 7

Dr Bohnet (Head of Evaluation Department, BMZ)

Mr Lembke (German Development Institute)

Mr H Strizek (Evaluation Department, BMZ)

Mr Huber (Deputy Head, Bilateral Policy Department, BMZ)

Lunch hosted by Dr Bohnet (Bonn Press Club)

Mr H Neufeldt (West Africa Division, BMZ)



Miss N Vreeland (PPC/CDIE)

Mr J Rosenthal (PPC/CDIE/PPE)

Mr J Britan

Mr Cohen

Mr Hermann

Mr Steinberg

Lunch at IMF hosted by Mr R Manning UK Alternate Director, IBRD) attended by:

Mr H North	(USAID)
Mr Bob Berg	(Overseas Development Council)
Mr P C Garg	(Project Policy Adviser, IBRD)
Mr D Casley	(Monitoring and Evaluation Unit, IBRD)
Mr A Wood	(Assistant to UK Executive Director)

Mr M K Gelabert (Head of Training Division, USAID)

Mr L S Cooley (President, Management Systems International)

Tuesday March 19

Mr M Krackiewicz (Near East Bureau Group)

Mr T Tift (Near East Bureau Group)

Mr T Chapman (Near East Bureau Group)

Miss J Wills (Near East Bureau Group)

Miss M Norton (Office of Development Planning, Bureau for Asia)

Lunch hosted by Mr H North and Allison Herrick (Deputy Assistant Administrator, Bureau for Program and Policy Coordination)

Meeting with the AID Program Evaluation Committee. Short presentation by Dr Cracknell on UK evaluation system followed by discussion on the Logical Framework.

WASHINGTON (IBRD)

Wednesday March 20

Mr V Rajagopalan (Director, Projects Policy)

Mr A Israel (Chief, PSMU, Projects Policy)

Mr Richard Johansen (Senior Adviser, Education & Training)

Mr Romain (Education and Training)

Mr Rene Costa (Senior Adviser, Operations Water Supply & Urban)

Lunch hosted by Mr Yukinori Watanabe (Director, OED) and attended by:

Mr Otto Maiss )  
Mr Alexander Kirk ) (Division Chiefs, OED)

Mr Yukinori Watanabe (Director, OED)

Mr Powrie (OED)

Mr Donald Pickering (Assistant Director, Agriculture & Rural Development)

LONDON (INTERNATIONAL PLANNED PARENTHOOD FEDERATION)

Friday April 12

Mrs Catherine Howell (Head of Evaluation and Management Audit Department)

Mr John Fell (Assistant Evaluation Officer)

## NOTES ON DISCUSSIONS WITH OVERSEAS AID AGENCIES

## TEAM VISIT TO SWEDEN, 4-6 MARCH 1985

## BACKGROUND

1. The Swedish aid programme has a number of distinctive features which have a bearing on its project appraisal, monitoring and evaluation procedures. These are:

- a. Concentration on only 17 countries (selection based on ideological factors eg Vietnam, Laos, Mozambique, Angola, Tanzania, Nicaragua, also ANC, SWAPO and SADCC).
- b. Specialisation by sectors eg Rural Development, Health and Population, Education and Industry.
- c. Decentralisation to field offices (15 of these).
- d. SIDA tends to stay with projects/programmes for many years - it has only terminated about 30 projects over the last 15 years! It is holding an internal seminar shortly on "How to disengage from Projects/Programmes".
- e. Until recently SIDA has tended to adopt a very passive or responsive role - now however it tends to favour policy dialogue. Until recently SIDA tended not to set its own objectives for aid projects or programmes since it assumed that if the ldc's wanted the projects they must have their own reasons and it was not the donor's responsibility to question these.
- f. No clear distinction is made between monitoring and evaluation - most evaluations take place during the life of the project rather than ex-post.
- g. SIDA only has a small staff: 500 people handle £1,000 million of aid (about one-third is multilateral).
- h. Parliament has set 4 macro targets for Swedish aid to ldc's:
  - i. Economic growth.
  - ii. Social and economic equality.
  - iii. National independence.
  - iv. Development towards democracy.

The Area Division of SIDA prepares every two years for each recipient a Country Programme which analyses development needs in the light of those overall objectives.

- i. There is a strong poverty focus.

## SETTING OF OBJECTIVES AND TARGETS

2. The "Manual of Support Preparation" (4) written about 12 years ago sets out the following hierarchy of objectives:

Main Goal or Objective  
Intermediate Goal  
Production Target  
Activities

These have been more or less repeated in the recently issued "Project Handbook" or "Metod Handboken" (5).

3. Neither of these manuals has anything to say about specific quantifiable targets or performance measures. They say that appropriate targets should be identified but give no further guidance. An informal attempt is now being made by some of the Sector staff to introduce targets and performance measures - but this has run into problems because so many of SIDA's projects and programmes have "soft" (ie unquantifiable) targets.

4. One senior official castigated over-emphasis on targets - he called it "Targetitis", and also spoke of the disease of "Verticalitis" ie a syndrome where no-one is prepared to take responsibility for the sideways effects of his "vertical decisions". He quoted Koestler: "Principles can turn into straight-jackets". Some divisions consider that target-setting can be counter-productive eg in an Ethiopian anti soil-erosion project targets were set, but as a result staff simply tried to plant as many trees as possible regardless of whether they survived! Another problem with macro and sectoral objectives is that it is usually impossible to say to what extent a specific input of Swedish aid has contributed directly to the achievement of such objectives ie one is not in a "controlled experiment" situation. Therefore SIDA normally considers that performance in relation to objectives has to be measured in qualitative as well as quantitative terms. The Industry Sector staff pointed out that the setting of precise quantitative targets would be inappropriate in circumstances where market demand had to be considered. For example SIDA had supported an agricultural implements factory in Tanzania, but it could not have set production targets for each item of equipment since the "product mix" would have to be responsive to market demand. On the other hand with a cement factory, ie a one-product enterprise, it might be appropriate to set product output targets. The Industry Sector staff did not consider that the internal rate of return in itself was an adequate measure of success - it needed to be supplemented by other (social) criteria.

5. The 5-fold hierarchy of objectives was found rather cumbersome and in the recent publication "Project Programme Follow-up 1984" (6) (intended to appear at regular intervals of a year or two) they were telescoped into three viz:-

Main Objectives (intended target groups: what has been achieved to date: impact on target group)

Production Goals (planned and achieved)

Activities and inputs (planned and achieved)

This publication is not considered by the project staff to be of much value in their own work as it is too general or out of date, but it is found very useful by senior management and the press/information people. It is also needed to meet the requests from Parliament and its watchdog committees. It analyses in a very convenient form the key elements of every SIDA project or programme, including an assessment of the progress being made, and the extent to which the project or programme is giving rise to problems. A typical entry is at Annex 1.

#### USE OF PROFORMAS

6. There have been attempts in the past to introduce proformas eg to analyse the time spent on projects, but these have been resisted by the project staff. They dislike the data collection system that is involved in the preparation of the "Project Programme Follow-up" document as it adds to the burden of their work without yielding them any benefits. They would prefer the IBRD's system of "Black Books" (these contain copies of the key project documents in chronological sequence).

#### PROCESS PLANNING v "BLUEPRINT" PLANNING

7. The Team interviewed a PhD Fellow of the Stockholm School of Economics who has just completed a Doctoral Thesis (7) on this topic. He contrasts SIDA's flexible approach to planning "from the bottom up" (ie trying to find out what the ldc's really want in the field and matching the aid to felt needs), with the UNDP's "Blueprint" approach (ie the aid agency determining in a fixed and black and white way what project it is prepared to finance and forcing it through - "top down" planning). He said that when the UNDP had experimented with more flexible, ldc-oriented, projects these had been proved to be far more successful than the "blueprint" projects. His final conclusion was that SIDA's rolling programmes, deliberately kept as flexible and responsive as possible, are more successful than donor-centred "blueprint" projects.

**S I D A**  
Country  
**BOISWANA**

Year  
**1984**

**PROJECT/PROGRAMME  
FOLLOW-UP**  
Date  
**1984-02-27**

Account No.

5201 20 012-7

File

2.4.2.6

All figures in million SEK

Project/Programme/Sector		Project/Programme Performance Rating				
Village & Rural Wtr Suppl Progr (phase IV)		STATUS <input type="checkbox"/> Problem-free/Minor Problems <input checked="" type="checkbox"/> Moderate Problems <input type="checkbox"/> Major Problems				
Agreement signed/renewed	Covering the period	TREND <input checked="" type="checkbox"/> Improving <input type="checkbox"/> Stationary <input type="checkbox"/> Deteriorating				
April 29, 1981	1981/82 - 1984/85					
Total allocation	of which Swedish					
146	71,0					
Officer responsible at DCO		Responsible Division at SIDA Head Office				
Hans Wettergren		Rolf Winberg				
Swedish obligations Financial Assistance		Implementing agency Ministry of Mineral Resources and Water Affairs				
		Responsible at Implementing agency Permanent Secretary				
Agreed disbursement system						
Quartely advance payments						
Agreed reporting system						
Yearly consultations not later than March 31 Yearly reporting not later than June 30						
When has this project been evaluated?						
Not yet. March 1984						
Brief project description. Background of project. Relation to other or earlier activities in the sector						
<p>Department of Water affairs is a department within the Ministry of Mineral resources and Water Affairs. DWA is in charge of the implemtaion and construction of water supplies in major and rural villages.</p> <p>SIDA has supported this programme since 1971 by providing financial assistance. At the end of 1982/83 an amount of SEK 105 million has been disbursed. SIDA is alos providing Technical Assistance through 20 expatriates for Department of Water Affairs. The Agreement on phase IV aims at providing 86 villages with potable water.</p>						
Allocation according to Agreement/ Project Document		Revised I	Revised II	Revised III	Actually disbursed	Balance SEK
Budget year	Amount					
1981/82	71.1				10,6	60.5
1982/83					27.1	33.4
1983/84						
1984/85						

Account No.  
5201 20 012-7

Main objectives of project. Intended target group(s). What has been achieved to date? Impact on target group?

The ultimate objectives are to supply most inhabitants in villages with water within a reasonable walking distance (400 m) and of acceptable quality.

Through the Village and Rural Water Supply Programme 70% (350.000) of the village people have got access to piped water supply according to the ultimate goal. What this really means to the people concerned will be evaluated by SIDA in March 1984.

Production goals: planned and achieved

Planned and achieved results from this table

Category	Plans		Achievements					
	Number of villages	Population (1981)'000	%	Supplied villages	Population	%	Remaining villages	Population '000
Large Villages	17	183	20	17	183	20	0	0
Small Villages	337	311	33	173	170	18	164	141
Hamades	-	67	7	-	0	0	-	67

Activities, Inputs: planned and implemented

There will be a new Agreement 1984/85 - 1989/90, which will finalise the programme. A new two year development cooperation programme will be negotiated in March 1984 between the two Governments.

The Technical Assistance component today consisting of 20 expatriates at the Department of Water Affairs will gradually be phased out until 1990.

## TEAM VISIT TO GERMANY (BMZ), 7 MARCH 1985

### AID POLICY AND MANAGEMENT

1. The Federal German Ministry for Economic Co-operation (BMZ) is responsible for general aid policy including the country allocation of financial resources. It undertakes initial consideration of bilateral requests for assistance but delegates project preparation, appraisal and implementation to GTZ (German Company for Technical Cooperation) for technical cooperation projects and to KfW (Kreditanstalt für Wiederaufbau) for capital aid projects. Final approval of projects rests with BMZ.

### MONITORING AND EVALUATION ARRANGEMENTS

2. BMZ set up a Central Evaluation and Inspection Section in 1970 as an independent unit outside the normal hierarchy with direct access to the political management of the Ministry. It coordinates all evaluation activities within BMZ, formulates methods and guidelines, prepares an annual programme and is responsible for feedback. "Evaluation" covers both ex post evaluation in the ODA sense and (more frequently) what ODA would regard as monitoring of existing projects.

3. The Section's 1985 programme will cover some 60 reports falling into the following main categories:

- i. Conventional project evaluation.
- ii. Evaluation of BMZ supported institutions in Germany dealing with aid and development.
- iii. Cross-section analysis of projects in specific sectors - eg water supplies, roads, the role of experts - from which general policy conclusions can be drawn.
- iv. The impact of German aid on a single country covering a 10-year period.
- v. Cross-sectional analysis of all reports in one year.

### USE OF THE "LOGICAL FRAMEWORK" IN EVALUATION

4. The Inspection Section's approach to evaluation (9) has been based for some 10 years on the general concept of the "Logical Framework", introduced by USAID in the early 1970s, though without using the tabular matrix. A similar approach to the appraisal and design of TC projects was adopted by GTZ a few years ago following advice from American consultants. This uses the Logical Framework matrix in a manner very closely based on USAID's practice - see example at Annex 2.

5. KfW's approach is much closer to that of the World Bank, using conventional cost-benefit analysis.

## ITS ADOPTION FOR PROJECT PLANNING PURPOSES

6. The Inspection Section has found for some time that the lack of adequate definition of objectives and targets in project selection and planning has hampered subsequent evaluation with the result that full value has not been obtained from the process either for the effective management of individual projects or for wider policy conclusions. The Section has also found it necessary to "keep up with" GTZ. It has therefore now secured high level agreement in principle within BMZ for the introduction of what is known as Target Oriented Planning of Projects (TOPP) based on the Logical Framework. This is now being explained to all BMZ staff in weekly 3-day seminars for 20 staff at a time in which GTZ and KfW also participate. Key features of the approach are:

- i. the need to identify the problem before firming up the objectives of a project;
- ii. the need to set realistic targets by which impact can be measured;
- iii. what is described as a "brain-storming" session at an early stage of consideration of a project at which BMZ, GTZ and/or KfW representatives can enter into a free and open discussion.

7. At the end of this exploration and learning process BMZ will take a final decision on the introduction of TOPP within the Ministry. The general reaction appears to be that the more systematic approach envisaged is good in principle but that it may prove difficult and time consuming in practice. On the other hand, the Logical Framework approach in its full rigour appears to have been adopted with enthusiasm in GTZ.

GTZ-Form 21-3

 <p>Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ) GmbH Postfach 1015 D-6256 Eschborn 1</p>	<p><b>PROJECT PLANNING CHART</b></p>	<p><b>Project:</b> Instructor Training for Construction Sector <b>GTZ-Project No.:</b> 81.2141.0-01.200 <b>Expected Duration:</b> 9/83 - 7/87</p>	<p><b>Country:</b> Egypt <b>Date of preparing this chart:</b> 27.01.1983</p>															
<p><b>SUMMARIZING DESCRIPTION</b></p> <p><u>General aim, to which the project contributes</u></p> <p>Training of skilled construction (building) workers improved</p>	<p><b>OBJECTIVELY VERIFIABLE INDICATORS</b></p> <p><u>Indicators to prove the general aim</u></p> <ul style="list-style-type: none"> <li>- examination results show an increasing level of training</li> <li>- the comparison between the target group and a control group shows an improvement from 30% - 70%</li> </ul>	<p><b>SOURCES OF VERIFICATION</b></p> <p><u>DOCUMENTS for the proof of the Super Aim</u></p> <ul style="list-style-type: none"> <li>- statistics of examinations</li> </ul>	<p><b>IMPORTANT ASSUMPTIONS</b></p> <p><u>for the longterm securing of the general aim</u></p> <ul style="list-style-type: none"> <li>- modification of the short term training into long term training</li> <li>- a national committee for the "vocational training in the building sector" has to be established</li> <li>- the "vocational training - the building sector" is integrated into the national training and education system</li> </ul>															
<p><u>Project aim</u></p> <p>Qualified building instructors for training centres employed</p>	<p><u>Indicators to prove the project aim</u></p> <table border="1" data-bbox="851 579 1094 630"> <tr> <td>1984</td> <td>1985</td> <td>1986</td> <td>1987</td> </tr> <tr> <td>30</td> <td>130</td> <td>230</td> <td>330</td> </tr> </table> <ul style="list-style-type: none"> <li>- 300 graduated instructors employed in TC's</li> <li>- results of final examination of the instructors are on higher level</li> <li>- comparison 1. target group - control group 2. entrance test - final test</li> </ul>	1984	1985	1986	1987	30	130	230	330	<p><u>DOCUMENTS for the proof of the Project Aims</u></p> <ul style="list-style-type: none"> <li>- personnel documents</li> <li>- statistics of examinations</li> </ul>	<p><u>for the achievement of the general aim</u></p> <ul style="list-style-type: none"> <li>- administration and training of the individual centres work efficient</li> <li>- training concept "skilled building workers" is realized by the instructors</li> <li>- trainees accept the practical orientation of the training concept</li> <li>- demand for fully trained skilled building workers increases</li> <li>- upgrading-training for instructors is secured</li> </ul>							
1984	1985	1986	1987															
30	130	230	330															
<p><u>Results</u></p> <ul style="list-style-type: none"> <li>- ITC's functioning</li> <li>- Trainers for instructors provided</li> <li>- Qualified building instructors trained</li> <li>- All partners concerned coordinated</li> <li>- Monitoring and evaluations carried out</li> </ul>	<p><u>Indicators to prove the results</u></p> <ul style="list-style-type: none"> <li>- review of buildings and equipment until 30.02.1984</li> <li>- ITC-stable in budget approved until 31.12.1984</li> <li>- 1 Director, 1 head of administration employed until 31.12.1983</li> <li>- training regulations developed until 30.02.84</li> <li>- 1 Egyptian Director of Training, 1 German Teamleader employed by 01.01.1984</li> <li>- employed by 01.01.1984 (for 3 trades): 3 Egyptian Instructor Trainers, 2 German Instructors, 1 Egyptian Theory Teacher (each section)</li> <li>- employed in addition by 01.01.1985 (for 2 more trades): 2 Egyptian Trainers, 2 German Instructors, 1 Egyptian Theory Teacher (each section)</li> </ul> <table border="1" data-bbox="851 999 1094 1050"> <tr> <td>1984</td> <td>1985</td> <td>1986</td> <td>1987</td> <td>1988</td> </tr> <tr> <td>10</td> <td>200</td> <td>200</td> <td>200</td> <td>200</td> </tr> <tr> <td>1</td> <td>1</td> <td>1</td> <td>1</td> <td>1</td> </tr> </table> <ul style="list-style-type: none"> <li>- regular meetings of coordinating committee</li> <li>- periodical reports of ITC accepted by TOMOHAR</li> </ul>	1984	1985	1986	1987	1988	10	200	200	200	200	1	1	1	1	1	<p><u>DOCUMENTS for the proof of Results</u></p> <ul style="list-style-type: none"> <li>- minutes of review of building and equipment</li> <li>- budget</li> <li>- employment contracts</li> <li>- collection of regulations</li> <li>- personnel plan</li> <li>- final certificates</li> <li>- minutes of meetings</li> <li>- reports to and statements by TOMOHAR</li> </ul>	<p><u>for the achievement of the project aim</u></p> <ul style="list-style-type: none"> <li>- sufficient number of budgeted posts for instructors at the TC is provided</li> <li>- instructors are movable</li> <li>- instructors do not migrate</li> <li>- administration of the individual TC's is efficient</li> </ul>
1984	1985	1986	1987	1988														
10	200	200	200	200														
1	1	1	1	1														
<p><u>Activities</u></p> <ol style="list-style-type: none"> <li>1.1 organize project administration</li> <li>1.2 set up posts, equipment, etc.</li> <li>1.3 set up equipment</li> <li>1.4 equip rooms, etc.</li> <li>1.5 integrate ITC and TC</li> <li>1.6 organize ITC-administration and administration</li> <li>2.1 ITC-members participate when selecting the applicants</li> <li>2.2 upgrade skills and knowledge of instructor trainers</li> <li>2.3 provide teaching-learning material</li> <li>2.4 found working group "INSTRUCTOR TRAINER"</li> <li>3.1 carry out public information campaign</li> <li>3.2 promote the concept of skilled building workers training</li> <li>3.3 develop the concept of instructor training</li> <li>3.4 work out the curricula</li> <li>3.5 carry out the instructor training</li> <li>3.6 interests, skills training/upgrading</li> <li>4.1 form coordinating committee</li> <li>4.2 intensify public relations work</li> <li>5.1 monitor/evaluate/adjust continuously the instructor training</li> <li>5.2 evaluate continuously the institutionalization of the instructor training system within TOMOHAR</li> </ol>	<p><u>List of quantities / Costs for every individual activity</u></p> <p><b>FRAME DATAS</b> Personnel, materials, equipment, buildings, administration activities, etc.</p> <p><b>COSTS</b></p>	<p><u>Assumptions for the execution of activities (= project conditions)</u></p> <ul style="list-style-type: none"> <li>- Buildings are provided</li> <li>- accommodation for instructor trainees and trainees is provided</li> <li>- supply of equipment is secured</li> <li>- the actual responsible leadership of the project goes more over to the Egyptian counterpart</li> <li>- TOMOHAR provides personnel and takes the running costs</li> <li>- personnel-policy secure motivation and prevents migration of instructor trainers and the later instructors</li> <li>- training materials are provided</li> <li>- plan of operations is made and agreed upon by GTZ and TOMOHAR</li> </ul>	<p><u>for the achievement of the results</u></p> <ul style="list-style-type: none"> <li>- good cooperation between Egyptian and German colleagues</li> <li>- TOMOHAR accepts the cooperation of the German experts who secure the selection criteria for trainees</li> <li>- instructor trainer remain with TOMOHAR after being upgraded</li> <li>- TOMOHAR supports the instructors of working group "Instructor Trainer"</li> <li>- qualified applicants are available</li> <li>- the overall support of TOMOHAR for the project is secured</li> <li>- cooperation between ITC and TC is established and secured</li> <li>- within TOMOHAR a Department/section "ITC-affairs" is established</li> <li>- TOMOHAR agrees with the curricula</li> <li>- the role of instructor training within the training system is defined</li> <li>- the various partners concerned are ready for cooperation</li> </ul>															

anticipated device  
 if project aim - then general aim  
 if result - then project aim  
 if result - then results  
 continuity factors  
 if activities - then results

## **TEAM VISIT TO CANADA, 13-15 MARCH 1985**

### **HISTORY OF THE "LOGICAL FRAMEWORK" IN CIDA**

CIDA decided to adopt the Logical Framework (Log Frame for short) in the early 1970s, and trainers were brought up from Washington (USAID) to train all staff including senior management. The new technique was successfully introduced and came into common use. But in the late 1970s CIDA came under strong attack on the ground of alleged wastage of public funds and the emphasis switched heavily to audit-type control systems. The Internal Audit Department grew from a small group to 35 people. Training in the log frame lapsed and although the techniques continued to be used the quality fell; accountability was all that mattered. Eventually CIDA re-established itself as an effective and responsible agency and in recent years interest in the log frame approach has been renewed and it has been much improved. It is now regarded as an important part of the Canadian aid management system and the advent of a new computerised information system has enhanced its importance because it has vastly increased the capacity of the agency to disseminate the results of evaluations based on the log frames. All new entrants to CIDA are now trained in its use and refresher courses are held.

### **ROLE OF CONSULTANTS IN CIDA**

2. Consultants play a vital role as "support staff" to CIDA: they carry out feasibility studies for most projects, help implement projects and carry out most of the evaluation work. They work so regularly with CIDA that they are regarded almost as honorary members of staff. Thus the effectiveness of the log frame is determined very much by the extent to which the consultants understand the concepts and have been trained to use them.

### **HOW THE LOG FRAME FITS INTO THE PROJECT CYCLE**

3. Projects begin with a Project Identification Memorandum ("PIM"), to which the CIDA project officer often attaches an outline log frame, although this is not mandatory at this stage. The act of preparing this focuses his attention on the gaps in knowledge that need to be filled before the project can be appraised. Usually a reconnaissance mission and/or feasibility study will be carried out, on the basis of which the Project Appraisal Memorandum (PAM) will be prepared. The log frame is a mandatory annex to every PAM. The PAM then goes to the Project Review Committee (PRC) for approval. During implementation the project may change in a significant way and if so a revised log frame should be drawn up. (In actual practice this is apparently quite often overlooked). At the PCR stage, and at eventual evaluation, the log frame is reviewed in the light of experience with the project, and the extent to which the objectives were achieved is assessed. The various log frames plus the results of the PCR and evaluation, are fed into the information system so that anyone in the Agency can find out virtually instantly what happened to every CIDA project and what evaluation lessons were learned. A typical example of a CIDA log frame matrix is at Annex 3.

### **DOES THE LOG FRAME HELP SENIOR MANAGEMENT?**

4. Some officials the team interviewed stated that the log frames are very seldom used by senior management. Every PAM is accompanied by an executive summary of a few pages and that is regarded as the key document. However others

said they were used by senior management - especially those with personal experience of doing log frames.

#### DOES IT HELP THE GEOGRAPHICAL AND PROJECT STAFF?

5. The Team gained the impression that at first the log frame was regarded very much as "yet another piece of paper" and it was completed in a mechanical way and simply because CIDA required it. That is still how some project staff regard it. But increasingly project staff are coming to appreciate its value as a means of preparing and appraising projects in a logical manner, ie it forces you to analyse the objectives; and the need to identify quantifiable indicators of success is an important element in project design as well as a basis for monitoring and evaluation. Moreover some of the project staff who have been using the system, and have come to appreciate its merits, are now moving into senior management positions and they are beginning to insist on the log frames being prepared carefully. The project officers know that in due course they will be responsible for preparing the Project Completion Report and assisting with evaluation and the relevance of the log frame to these activities is self-evident. There are signs that the quality of the log frames is rising.

#### DOES IT HELP THE EVALUTION DEPARTMENT?

6. It is undoubtedly of considerable importance for evaluation because it sets out in a clear and logical way the basic objectives of the project, together with output targets and performance measures. It is also of great importance for feed-back since it lends itself so readily to a comparison of outturn against objectives. It has given an impetus to the collection of baseline data, particularly in socially oriented projects (eg social forestry) and in the context of Women in Development (a topic now taken very seriously in CIDA).

#### THE QUALITY OF THE LOG FRAMES

7. The log frames vary a lot in quality. Those for socially oriented projects are the most difficult to prepare but are probably the most useful (ie because important aspects can easily be overlooked). A common weakness is that the broad objectives are often stated in such a qualitative all-embracing way (eg "to help the poor") that it is impossible to check whether such an objective can be achieved. A lot depends on the extent to which the project officer seriously thinks through the problem of identifying targets and performance measures (sometimes they just put down the first indicators that come into their head, often ones which cannot conceivably be applied in practice). Like USAID, CIDA has provided lists of typical indicators sector by sector but it emphasises that none are useful as they stand; it is for project officers using their commonsense and experience to identify suitable measures for particular projects. Proxy measures (eg ownership of transistor radios as a proxy for family income) do not seem to be widely used. Qualitative measures are acceptable if quantification is impossible. (It takes on average a couple of hours to complete a log frame, and they never exceed one page.)

#### IS THERE ANY CONFLICT BETWEEN THE LOG FRAME AND THE NEED FOR FLEXIBILITY IN IMPLEMENTING PROJECTS?

8. The general impression the Team gained was that no-one saw this as a serious problem. The need for flexibility was widely accepted ("The only constant in the Aid business is change!") but no-one felt that the act of

completing a log frame need in any way diminish the importance to be attached to flexibility. Rather, the log frame can be even more useful in that it provides the mechanism whereby objectives and targets can be revised in a systematic manner.

#### THE LOG FRAME AS A USEFUL TOOL

9. A feature of the log frame system in CIDA is that there is little or no "policing" of the system. If staff do not take it seriously there are no penalties imposed. CIDA (and this is also true for USAID) has never attempted to institutionalise the log frame on a standard basis throughout the agency - it remains just a tool, used effectively by some but only in a mechanical way by others.

EXAMPLE OF LOGICAL FRAMEWORK USED BY CIDA

SECTION 3.0

Life of Projects  
 From FY 1985/86 To FY 1989/90  
 Total CIDA Funding \_\_\_\_\_  
 Date Prepared 10 January, 1985

Project Title & Number ST. LUCIA - FOREST MANAGEMENT & CONSERVATION PROJECT - 221/86/100

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS (OVI)	MEANS OF VERIFICATION (MOV)	IMPORTANT ASSUMPTIONS
<p><b>Project Goal (Program Purpose):</b>                      To assist in the support of forest conservation and environmental protection in St. Lucia.</p>	<p><b>Measures of Goal Achievements:</b>                      Sustained forest conservation and selective forest harvesting resulting in the protection of valuable natural resources in the context of a fragile natural environment in St-Lucia.</p>	<p><b>Sources of Information and Methods Used:</b>                      GOSL Statistics                      GOSL/CIDA joint evaluation report.</p>	<p><b>Assumptions for achieving Goal Targets:</b>                      St-Lucians recognize and support the long-term objectives and benefits of forest conservation and its direct implications for the protection of natural resources and environment of St-Lucia.</p>
<p><b>Project Purpose:</b>                      To manage and conserve forest resources in St. Lucia, based on the recommendations of the Forest Management Plan regarding forest-conservation.</p>	<p><b>Conditions that will indicate purpose has been achieved: End of project status:</b></p> <ol style="list-style-type: none"> <li>1. Forest cover increased and conserved; soil erosion and landslides reduced to low acceptable levels; quality of water and wildlife protected; boundaries of forest reserve enforced; and widespread public support for conservation measures.</li> <li>2. Forestry Dept. - Effectively managed by St-Lucians.</li> </ol>	<p><b>Forestry Department annual reports.</b>                      Forestry Department budgets.                      GOSL/CIDA joint evaluation report</p>	<p><b>Assumptions for achieving Purpose:</b></p> <ol style="list-style-type: none"> <li>1. Government of St. Lucia maintains political support and commitment for the activities of the Forestry Department, and for the CIDA project, including the enforcement of the boundaries of the Forest Reserve.</li> <li>2. Forestry counterpart trainees graduate and return to work in Forestry Department.</li> <li>3. Sustained public support is generated and maintained for forest conservation measures.</li> <li>4. Forest Management Plan implemented.</li> </ol>
<p><b>Outputs:</b></p> <ol style="list-style-type: none"> <li>1. Existing forest cover conserved</li> <li>2. New forests established for:                             <ol style="list-style-type: none"> <li>a) conservation purposes</li> <li>b) production of forest-products</li> </ol> </li> <li>3. Trained forestry personnel</li> <li>4. Union Nursery upgraded and operational</li> <li>5. Public support for forest conservation</li> <li>6. Forest management systems in use</li> </ol>	<p><b>Magnitude of Outputs: Approx. Comp. Dates:</b></p> <ol style="list-style-type: none"> <li>1. Conserved forest (total = 6770 ha)                             <ul style="list-style-type: none"> <li>Protection Unit - 4500 ha</li> <li>Protection/Production Unit - 1600 ha</li> <li>Exploitation Unit - 670 ha</li> </ul> </li> <li>2. New forests (total = 408 ha)                             <ul style="list-style-type: none"> <li>Degraded and/or non-productive 400 ha</li> <li>Production of charcoal 8 ha</li> </ul> </li> <li>3. Effective Forestry Dept. with trained personnel - Forester - 1                              - Technicians - 4</li> <li>4. Forest research building, research facilities and a small saw-mill.</li> <li>5. Forest conservation accepted by the population</li> <li>6. Operational manuals for nursery, plantation, stand improvement, extraction and social forestry systems.</li> </ol>	<p><b>Forestry Department Annual Reports</b>                      Quarterly reports by CFA                      Regular CIDA missions                      Quarterly project status reports                      Mid-term assessment                      Project monitor's reports                      Printed operational manuals</p>	<p><b>Assumptions for achieving Outputs:</b></p> <ol style="list-style-type: none"> <li>1. Adequate local funds are allocated by the GOSL for the activities of the Forestry Department.</li> <li>2. Suitable recruits for engineer and technician courses are available.</li> <li>3. Suitable courses can be found for St. Lucia's trainees.</li> <li>4. Canadian capability meets forestry needs of St. Lucia.</li> </ol>
<p><b>Inputs:</b></p> <p><u>CANADA</u></p> <p>Services (Experts in Forest Management and silviculture)                      Equipment &amp; materials                      Training (Forestry Eng. and Technicians)                      Construction (Union Nursery facilities)  <u>St. Lucia</u>                      Recurrent budgetary support for Forestry Department                      Personnel &amp; labour                      Land housing &amp; materials</p>	<p><b>Implementation Target (Type, Quantity, Cost, Timing):</b></p> <p><u>CANADA</u></p> <p>Services                      Equipment &amp; materials                      Training                      Construction</p> <p><u>ST. LUCIA</u></p> <p>Personnel                      Land, housing &amp; materials</p>	<p><b>Monthly billing and reports by CFA</b>                      Quarterly project status reports</p>	<p><b>Assumptions for providing Inputs:</b></p> <ol style="list-style-type: none"> <li>1. Timely project financing by both GOSL and CIDA</li> <li>2. CIDA recruits a qualified executing agency</li> <li>3. Forestry facilities made available by GOSL in a timely manner.</li> <li>4. GOSL provides qualified project team.</li> <li>5. Forest Management Plan approved and ratified by GOSL.</li> <li>6. Areas surveyed in previous CIDA project gazetted.</li> </ol>

## TEAM VISIT TO WASHINGTON 18-20 MARCH 1985

### USAID

#### FRAMEWORK FOR PROJECT PLANNING

1. The main elements in the project process are:
  - i. The Aid Mission prepares annually (for the next US financial year) a Country Development Strategy Statement (CDSS) covering a four-year period. This is submitted to the Regional Bureau in USAID. It describes the economic and social background of the host country and its development plan, the Mission's programme strategy and proposed assistance planning levels and allocations.
  - ii. A Project Identification Document (PID) (which may be preceded by a very brief "concept paper") prepared by the Mission describes (in about 15 pages) the rationale and expected cost of a new project consistent with the CDSS. It provides a "ballpark" estimate of cost and has to include a "Logical Framework" in which at that stage only the Narrative and Assumptions columns may be completed (see paras 2 and 3 below). Missions have a high level of delegated authority - up to \$20mn in some cases - but all PIDs are copied to the Regional Bureau.
  - iii. Following feasibility studies and detailed project preparation, the Mission prepares a Project Paper (PP) with a detailed analysis of the project and financial, implementation and evaluation plans. The final version of the "Logical Framework" is attached to the PP.

#### ROLE OF THE LOGICAL FRAMEWORK

2. The Logical Framework (LF) has to be appended to both the PID and the PP. Very large projects may have separate LFs for sub-projects. Since the early 1970s it has been regarded by USAID as a key element in both designing and evaluating AID projects, particularly as an instrument for project appraisal and planning. Analysis does not, however, begin with the LF but with the identification, and discussion in the PID, of the problem to be solved. The LF is regarded as a useful and essential tool for project analysis - but only one among several which include cost-benefit, technical and financial analysis. It is not used for accountability or control purposes.
3. A typical example of the most common LF matrix as used by USAID is attached at Annex 4. Its format may however be flexible. AID Missions have devised at least half-a-dozen variants and it is sometimes presented in narrative rather than tabular form in the PID or PP.
4. The extent to which the LF is a really effective tool varies. It can be applied from the early stages of a project; used at a later stage to identify gaps in thinking or design; or simply tagged on at the end of the PID or PP stage in order to comply with the requirement for it. The Near East and Asia Regional Bureaux are firmly committed to it and it forms a natural and automatic part of their approach to project analysis. The African and Latin American Bureaux are said to make less effective use of it.

5. The main advantages of the LF are seen as:-

- i. It brings discipline and consistency to project design.
- ii. It facilitates monitoring and evaluation.
- iii. It is useful to senior management in providing a quick overview of a project and assisting critical scrutiny of the linkages and causative effects between inputs, outputs, objectives and relevant assumptions; eg The Near East Advisory Committee (which advises the Assistant Administrator on whether to approve larger projects) uses it in considering a PP.

6. The main disadvantages are:

- i. Though not intended, it may be seen as a straight-jacket;
- ii. It can be treated as a mechanical chore, rather than as a process which informs and underlies project analysis;
- iii. The Assumptions column in the matrix is the most important but the least used;
- iv. The LF is weakest at the Goal Level, while there is much more going on at the Output and Purpose Levels than the matrix can capture;
- v. Effective use of the LF requires training and experience eg there can be difficulties in distinguishing between the different levels of the hierarchy of objectives;
- vi. It can imply more order and precision in a project than exists in practice;
- vii. Auditors tend to judge projects against the LF, when in practice it is not a static but should be a living and changing document.

7. It is therefore important to recognise the limitations of the LF methodology. In itself it gives no guidance on many essential aspects of project design. It is essentially a systematic tool for making explicit the key elements of the project as conceived by the project's designers.

#### PERFORMANCE MEASURES AND INDICATORS

8. Although an immense amount of work has been done both outside and inside AID in measuring project benefits and performance and they have struggled for years with the need for realistic, practicable and verifiable estimates, they have reached no firm and easily transmittable guidelines for their use. AID admit that measures and indicators become more difficult to identify and use the further up the hierarchy from the output level that one goes. Indicators can often seem ritualistic. Like other aid agencies, AID have moved away from complex and expensive monitoring and evaluation systems whose results too often are too late to influence decision making or which produce mounds of unused and unanalysed material. They are trying to use simpler sampling methods and more easily obtainable information. There is support for Dr Robert Chambers' approach to rapid rural appraisal.

9. The Asia Bureau has recently produced guidelines (16) for data collection, monitoring and evaluation plans which are required to be included in every project. The main conclusions of the guidelines are:

- i. Rigorous and complex multi-round surveys for the assessment of ultimate impact may not be the most useful data-gathering approach.
- ii. The need to limit data collected to the minimum amount needed for decision-making.
- iii. Conceptually complex and methodologically rigorous studies are not necessarily more accurate than simpler, more straightforward designs.
- iv. Experience to date with rapid appraisal techniques shows that they can contribute significantly to decision-making and improved implementation.
- v. Local individuals must be involved in collection and analysis of data.
- vi. Effective data collection, monitoring and evaluation plans should give equal emphasis to both quantitative and qualitative information.
- vii. There are no ready-made solutions for data-gathering which can be easily adapted from one project and applied to another.

#### TRAINING

10. Many officers now at middle management level in AID were trained in LF techniques when they were introduced in the early 1970's. From the late 1970s AID became "soft" on training, and there was a 5-year gap when the LF was not taught, but it has now returned as an element in a one-week Basic Project Design and Implementation Course designed to cover all administrative and professional staff with three years or less service. The course is run by consultants (incidentally, those responsible for introducing the LF in GTZ in Germany). AID regard training in LF techniques as essential to its proper use, and have also provided training in it for many developing countries.

EXAMPLE OF LOGICAL FRAMEWORK USED BY USAID

PROJECT DESIGN SUMMARY  
LOGICAL FRAMEWORK

Life of Project  
From FY 1966 to FY 1979  
Total U.S. Funding \_\_\_\_\_  
Date Prepared: March 1977

ANNEX 4

Project Title and Number: Rural Community Development (HACHO) 521-0061

Narrative Summary	Objectively Verifiable Indicators	Means of Verification	Important Assumptions																				
<p><u>Program or Sector Goal</u> (the broader objective to which this project contributes):</p> <p>To improve the quality of life of an estimated 150,000 inhabitants of Northwest Haiti.</p>	<p><u>Measures of Goal Achievement:</u></p> <table border="1"> <thead> <tr> <th></th> <th>FY 77</th> <th>FY 78</th> <th>FY 79</th> </tr> </thead> <tbody> <tr> <td>Decrease in Third-Degree Malnutrition</td> <td>10%</td> <td>20%</td> <td>30%</td> </tr> <tr> <td>Increase in Caloric Intake From 1,500 per Day in 1976</td> <td>6%</td> <td>12%</td> <td>20%</td> </tr> <tr> <td>Decrease in Number of Communicable Diseases From 4% of Cases Diagnosed in 1976</td> <td>10%</td> <td>20%</td> <td>30%</td> </tr> <tr> <td>Increase in Number of Women Participating in Family Planning Programs From 600 in 1976</td> <td>10%</td> <td>20%</td> <td>30%</td> </tr> </tbody> </table>		FY 77	FY 78	FY 79	Decrease in Third-Degree Malnutrition	10%	20%	30%	Increase in Caloric Intake From 1,500 per Day in 1976	6%	12%	20%	Decrease in Number of Communicable Diseases From 4% of Cases Diagnosed in 1976	10%	20%	30%	Increase in Number of Women Participating in Family Planning Programs From 600 in 1976	10%	20%	30%	<p>Hospital and clinic records</p> <p>HACHO staff surveys</p> <p>Annual evaluation</p>	<p><u>Assumptions for Achieving Goal Targets:</u></p> <p>Ministries agree to assume responsibility for some of HACHO's activities.</p> <p>People accept instruction on nutrition, health, new farming practices introduced by community councils and HACHO.</p> <p>Successful completion of community self-help projects motivate further participation when new projects are proposed.</p>
	FY 77	FY 78	FY 79																				
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<p><u>Project Purpose:</u></p> <p>To develop community councils that are practicing self-help techniques in implementing agricultural, health, community development, and road maintenance projects.</p>	<p><u>Conditions That Will Indicate Purpose Has Been Achieved</u> (end of project status):</p> <p>The community council contributes 50% of total project costs. Soil conservation completed on 1,500 ha.</p> <p>A minimum of 60% of council members regularly attend meetings, pay dues, and participate in projects.</p> <p>Community councils continue to maintain infrastructure projects that they have completed.</p> <p>At least 50% of community councils continue to seek further information on self-help community development techniques.</p> <p>A minimum of 20 community councils with \$100 in treasury.</p> <p>50% of community councils meet criteria of effectiveness described in Attachment 10.</p>	<p>Community councils' records and accounts</p> <p>HACHO's quarterly reports and staff surveys</p> <p>Final evaluation</p>	<p><u>Assumptions for Achieving Purpose:</u></p> <p>Community councils are receptive to self-help community development approach</p> <p>HACHO offices are moved to the Northwest, and staff receives salary incentive for living there.</p> <p>HACHO is able to respond positively to community council requests.</p> <p>Successful completion of projects motivates community council members to formulate and undertake new projects.</p>																				

PROJECT DESIGN SUMMARY  
LOGICAL FRAMEWORK  
(Continued)

Life of Project  
From FY 1966 to FY 1979  
Total U.S. Funding \_\_\_\_\_  
Date Prepared: March 1977

Project Title and Number: Rural Community Development (HACHO) 521-0061

Narrative Summary	Objectively Verifiable Indicators	Means of Verification	Important Assumptions																																								
<p><b>Outputs:</b></p> <p>Self-help community development projects:</p> <p>To increase agricultural productivity</p> <p>    Hectares under cultivation</p> <p>    Participants in agricultural projects</p> <p>    Fara club members</p> <p>    Trained agricultural assistance</p> <p>    Irrigation systems</p> <p>    Cooperatives</p> <p>To increase potable water supply systems</p> <p>To provide basic health services</p> <p>    Nutrition Centers</p> <p>To improve and maintain roads (all)</p>	<p><b>Magnitude of Outputs:</b></p> <table border="1"> <thead> <tr> <th></th> <th><u>FY 77</u></th> <th><u>FY 78</u></th> <th><u>FY 79</u></th> </tr> </thead> <tbody> <tr> <td>To increase agricultural productivity</td> <td>1,000</td> <td>3,000</td> <td>5,700</td> </tr> <tr> <td>    Hectares under cultivation</td> <td>11,400</td> <td>13,350</td> <td>15,500</td> </tr> <tr> <td>    Participants in agricultural projects</td> <td>2,600</td> <td>3,475</td> <td>3,950</td> </tr> <tr> <td>    Fara club members</td> <td>300</td> <td>600</td> <td>1,000</td> </tr> <tr> <td>    Trained agricultural assistance</td> <td>5</td> <td>11</td> <td>16</td> </tr> <tr> <td>    Irrigation systems</td> <td>2</td> <td>5</td> <td>9</td> </tr> <tr> <td>    Cooperatives</td> <td>15</td> <td>50</td> <td>75</td> </tr> <tr> <td>To increase potable water supply systems</td> <td>17</td> <td>20</td> <td>28</td> </tr> <tr> <td>    Nutrition Centers</td> <td>223</td> <td>250</td> <td>275</td> </tr> </tbody> </table>		<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>	To increase agricultural productivity	1,000	3,000	5,700	Hectares under cultivation	11,400	13,350	15,500	Participants in agricultural projects	2,600	3,475	3,950	Fara club members	300	600	1,000	Trained agricultural assistance	5	11	16	Irrigation systems	2	5	9	Cooperatives	15	50	75	To increase potable water supply systems	17	20	28	Nutrition Centers	223	250	275	<p>HACHO staff surveys and reports</p> <p>Annual evaluation</p>	<p><b>Assumptions for Achieving Outputs:</b></p> <p>HACHO's managerial and technical ability continues to improve.</p> <p>Local community councils continue to support HACHO's efforts.</p> <p>Reorganization of community councils will result in greater effectiveness and fiscal responsibility.</p>
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<p><b>Inputs:</b></p> <p>AID</p> <p>    CARE advisers</p> <p>    Medical supplies</p> <p>    Vehicles and other commodities</p> <p>    Operational expenses</p> <p>    Research and evaluation</p> <p>GDM</p> <p>    Operational expenses</p> <p>    Equipment and staff</p> <p>Other Donors</p> <p>    Federal Republic of Germany</p> <p>CARE</p>	<p><b>Implementation Target (type and quantity):</b></p> <p>See budget tables for financial plan.</p>		<p><b>Assumptions for Providing Inputs:</b></p> <p>GMW agrees to increase its financial contribution.</p> <p>PL 480 continues to be available through CARE.</p> <p>The Fonds Agricole and other donors continue their contributions to HACHO.</p>																																								

## WORLD BANK

### PROJECT PLANNING

1. The World Bank adopts an approach to project planning which implicitly accepts a hierarchy of objectives analogous to that in the Logical Framework. The hierarchy has been described by Bank staff in terms of inputs - outputs - effects on a target group - impact on the social and economic life of the community. This is always in the forefront of the Bank's mind in considering a project, not least because of the scale and often sector-wide nature of its operations. For big projects the LF matrix can become trite; it can be seen as more useful for smaller projects or for those where quantification of outputs and inputs is difficult. Generally, the Bank regards the LF as simply one, but not the only, organised way of thinking and is reluctant to adopt what it regards as a recipe type of approach or potential intellectual straight-jacket.

### PERFORMANCE MEASURES AND INDICATORS

2. The Bank views the internal rate of return as the single most important measure of project desirability and importance, although they recognise that it does not by any means encapsulate the whole of a project's benefits. The Bank may accept a lower rate of return for social reasons. A significant number of projects - eg education, institution building, and some agricultural projects such as extension and research - can have no calculated IRR. Attempts have been made to apply cost benefit analysis to such projects, but so far without satisfactory results.

3. There is a realisation that some complex attempts to collect and evaluate data on agricultural projects have failed. An example was given of a large integrated rural development project in Northern Nigeria where the data collection, monitoring and evaluation unit cost \$41m, but produced only masses of information which have never been processed let alone used. The Bank therefore now sees a need to settle on what it is really necessary to know and not to pursue secondary and tertiary effects.

4. Targets and measures should be qualitative as well as quantitative. The Bank will often aim to agree with borrowers on targets, achievement of some of which may be conditions of the loan while others represent undertakings. Conditions may include policy reform - eg law and regulations; institutional reform; staff development - or financial targets - eg tariff structure; growth in rate of return. Undertakings may be applied to secondary targets such as construction; the operation of a system; staffing levels etc.

5. Project completion reports are prepared for every project - usually by consultants and within six months of a project's end - but the Bank do not claim that these check developmental effectiveness against targets. Impact evaluation is possible only after an interval of some years. Such evaluations are done for selected projects but are expensive and relatively few in number. Another approach is through studies of groups of related projects - eg fertiliser projects.

**DEPARTMENTS AND ADVISERS CONSULTED IN ODA**

Aid Policy

Bilateral Co-ordination

East and West Africa

Eastern Asia

Establishment and Organisation

Finance

Health and Population

Internal Audit

Latin America, Caribbean & Pacific

Management Information System

Mediterranean and Near East

Natural Resources

Overseas Manpower

Southern Asia

Education, Engineering, Health and Natural Resources Advisers

Economic Advisers

PROJECT FRAMEWORK

PROJECT TITLE:  
BRIEF DESCRIPTION OF PROJECTS

PERIOD OF ODA FUNDING:  
FROM F/Y TO F/Y  
TOTAL ODA FUNDING: £  
DATE FRAMEWORK PREPARED/REVISED

MIS CODE NO:  
FILE REFERENCE:

PROJECT STRUCTURE	INDICATORS OF ACHIEVEMENT	HOW INDICATORS CAN BE QUANTIFIED OR ASSESSED	IMPORTANT ASSUMPTIONS
<p><b>WIDER (ie SECTOR OR NATIONAL) OBJECTIVES</b> What are the wider problems which the project will help to resolve?</p>	<p>What are the quantitative ways of measuring, or qualitative ways of judging, whether these broad objectives have been achieved?</p>	<p>What sources of information exist or can be provided cost-effectively?</p>	<p>What conditions external to the project are necessary if the project's Immediate Objectives are to contribute to the Wider Objectives?</p>
<p><b>IMMEDIATE OBJECTIVES</b> What are the intended immediate effects on the project area or target group? What are the expected benefits (or disbenefits) and to whom will they go? What improvements or changes will the project bring about?</p>	<p>What are the quantitative measures (including the realised internal rate of return), or qualitative evidence, by which achievement and distribution of effects and benefits can be judged?</p>	<p>What sources of information exist or can be provided cost-effectively? Does provision for collection need to be made under Inputs-Outputs?</p>	<p>What are the factors not within the control of the project which, if not present, are liable to restrict progress from Outputs to achievement of Immediate Objectives?</p>
<p><b>OUTPUTS</b> What outputs (kind, quantity and by when) are to be produced by the project in order to achieve the Immediate Objectives? Eg teaching institution, miles of road built or rehabilitated, irrigation system and associated management installed, persons trained.</p>		<p>What are sources of information?</p>	<p>What external factors must be realised to obtain planned Outputs on schedule?</p>
<p><b>INPUTS</b> What materials/equipment or services (personnel, trained etc) are to be provided at what cost over what period by</p> <ul style="list-style-type: none"> <li>- ODA</li> <li>- other donors</li> <li>- recipient?</li> </ul>		<p>What are sources of information?</p>	<p>What decisions or actions outside control of ODA are necessary for inception of project?</p>

## PROJECT FRAMEWORK

**PROJECT TITLE:** Bangladesh Technical Education (PEC (84) 35)  
**DESCRIPTION:** To revitalise the Technical Teachers' Training College as part of multi donor scheme to improve quality of technical education

**PERIOD OF ODA FUNDING**  
 FROM F/Y 1984/85 TO F/Y 1989/80  
**TOTAL ODA FUNDING** £2.83m  
**DATE PF PREPARED/REVISED:**  
 [May 1985]

**MIS No:**  
**FILE REFERENCE:**

References in brackets relate to the PEC Submission

PROJECT STRUCTURE	INDICATORS OF ACHIEVEMENT	HOW INDICATORS CAN BE QUANTIFIED OR ASSESSED	IMPORTANT ASSUMPTIONS
<b>WIDER (SECTOR OR NATIONAL) OBJECTIVES</b>			
Development of adequate supply of well-trained technical manpower to meet needs of public and private sector industrial development and of power, water, construction, transport and communications sectors	<p>By 1990 -</p> <ol style="list-style-type: none"> <li>Total supply of trained engineers and technicians will be brought roughly into line with demand (current estimates of supply at end of 1990 are 20,000 and 59,000 respectively). [Annex 2]</li> <li>Annual output of:               <ol style="list-style-type: none"> <li>graduates from polytechnics</li> <li>graduates from engineering colleges</li> </ol> </li> </ol>	<ol style="list-style-type: none"> <li>Reports from Planning Commission</li> <li>Polytechnic and engineering college records</li> <li>Tracer studies as guide to supply/demand situation</li> <li>Value judgment of employers as to whether quality of technicians and engineers has improved</li> </ol>	<ol style="list-style-type: none"> <li>No shortage of qualified applicants for places at polytechnics and engineering colleges</li> <li>Demand and supply forecasts realistic</li> <li>Improved quality, particularly increased degree of practical training, will make graduates more acceptable to industry</li> <li>Rate of transfer of teachers into the private sector will not differ markedly from current level</li> </ol>
<b>IMMEDIATE OBJECTIVES OF PROJECT</b>			
Provision of well-trained technical teachers for engineering colleges and polytechnics from re-organised and re-vitalised Technical Teacher Training College	<ol style="list-style-type: none"> <li>Annual output for 7 4 years of up to 170 polytechnic teachers with Diploma in Technical Education. [5.4.1]</li> <li>Annual output for 7 4 years of up to 40 retrained engineering college staff. [5.4.1]</li> <li>Annual output of (c) from short courses on special teaching methods. [5.4.1]</li> <li>By end 1990 (d) trained teachers graduated from TTTC and in post at polytechnics and (e) at engineering</li> </ol>	<ol style="list-style-type: none"> <li>Quarterly progress reports from TTTC</li> <li>Quarterly review reports from World Bank's recent mission in Bangladesh</li> <li>ODA participation in annual reviews of project</li> </ol>	<ol style="list-style-type: none"> <li>After 31 July 1988 all new teachers appointed at polytechnic will be required to have Diploma in Technical Education</li> <li>After 1 January 1986, GOB to ensure that under-qualified teachers in polytechnics enrol in TTTC programmes</li> <li>Practical attachments to be made by 31 July 1987 requirement for award of Diploma in Engineering and Diploma in Technical Education</li> </ol>

PROJECT STRUCTURE	INDICATORS OF ACHIEVEMENT	HOW INDICATORS CAN BE QUANTIFIED OR ASSESSED	IMPORTANT ASSUMPTIONS
	colleges out of total staffs of (b) and (g) respectively		4. Binding arrangements will be made for graduates from TTIC to return to original posts
	5. To assess quality, use pass - rates eg % of trainees achieving x % or more		5. Contributions from IDA, UNDP and GOB for equipment modernisation, physical rehabilitation, curriculum development and industrial attachments, administrative reform and reform of system examination for polytechnics and engineering colleges are successfully carried through
	[6. Rate of return not calculated]		
<b>OUTPUTS:</b> Revitalised Technical Teacher Training College	1. Provision and installation of Training College [Annex 4 and 8]	As for Immediate Objectives equipment completed by 1986	1. Counterpart staff provided by Govt of Bangladesh
	ii. 5 senior staff trained in 1985 (15 man months) [Annex 7]		2. Contributions by IDA, UNDP and GoB provided on time. (See box 5 above)
	iii. 15 teaching staff trained by 7/87 (273 man months) [Annex 7]		
	iv. DTE courses commenced in 7/86 [Annex 8]		
	v. Other courses commenced in ?		
	vi. Teaching guides prepared		

INPUTS:		£'000						
ODA -	1984/85	1985/86	1986/87	1987/88	1988/89	1989/90	TOTAL	
Capital - Equipment		1080					1080	
Books			150				150	
Share of local staff salaries and cost of consumables		40	40	30	30	30	170	
							<u>1400</u>	
TC - Senior Adviser	13	34	67	67	21		206	
5 subject Advisers		90	402	360			852	
Consultants			4	10			14	
288 man/months Training		135	170	50			355	
	13	1379	833	517	51	51	1430	

[Para 8.5 and Annexes 5, 6, and 7]

PROJECT FRAMEWORK

PROJECT TITLE: Zimbabwe Rusitu Intensive Settlement Scheme (PEC (84) 43)  
 DESCRIPTION: Resettlement of 647 families on small dairy farms  
 MIS No:  
 FILE REFERENCE:

PERIOD OF ODA FUNDING  
 FROM F/Y 1984/5 TO F/Y 1987/8  
 TOTAL ODA FUNDING £1.868m  
 DATE PF PREPARED/REVISED: JULY 1984

(References in brackets relate to the PEC Submission)

PROJECT STRUCTURE	INDICATORS OF ACHIEVEMENT	HOW INDICATORS CAN BE QUANTIFIED OR ASSESSED	IMPORTANT ASSUMPTIONS
<b>WIDER (SECTOR OR NATIONAL) OBJECTIVES</b>			Improved supply of long life milk marketed largely in rural areas
i. Improved condition of life for rural poor from communal areas	i. Reduction in population of people and cattle in neighbouring communal areas. [Para 2.1]		
ii. Redistribution of income earning potential			
iii. Improved health and nutrition in rural areas			
<b>IMMEDIATE OBJECTIVES OF PROJECT</b>			
i. Establishment of intensive agricultural utilisation of formerly commercially used land in Chinamani area of Eastern Highlands	i. Annual production by 1990 of 5 million litres of milk from Central Dairy Estate and 7.3 million litres from 647 small dairy farms. [Para 2.4 and 2.9]	i. Central Dairy records ii. Longer term monitoring by Monitoring and Evaluation Unit in Ministry of Land Resettlement and Rural Development	1. Credit facilities will be provided by Agricultural Finance Corporation ii. Milk marketing will be organised by Dairy Marketing Board through 5 milk collection centres
ii. Increased production of milk	ii. Subsistence yields per hectare of 2.4 tonnes maize and 0.55 tonnes beans. [Annex III. Table 8]		iii. Price elasticity for milk consumption will remain low. No real change in import price of milk. Local price will not fall
iii. Resettlement of farmers from communal areas	iii. Rate of return estimated at 13.4% [Para 7.21] iv. 647 families resettled on 7000 hectares. [Para 2.8]		iv. Zimbabwe Govt will continue policy of gradually eliminating subsidies on concentrated feedstuffs and Govt policy will favour production in national grazing areas v. Forecasts of increasing gap between production and consumption of milk will be realised vi. Central Dairy Estate project is implemented vii. No significant change in rainfall distribution pattern

PROJECT STRUCTURE	INDICATORS OF ACHIEVEMENT	HOW INDICATORS CAN BE QUANTIFIED OR ASSESSED	IMPORTANT ASSUMPTIONS
<b>OUTPUTS:</b>			
A. ODA project			
i. Roads:	48 Km by end 1985 [Para 5.3 and Appendix C]	1. Quarterly reports from TCO resettlement Adviser	i. Operation and management of resettlement scheme responsibility of ARDA
ii. Water supplies:	Provided for schools, clinics, milk collection centres, staff housing and for 647 farm plots by end 1986. [Para 5.4 and Appendix C]		ii. Operation of milk collection responsibility of DMB
iii. Fencing:	800 Km by end 1986. [Appendices A and C]		iii. Vet services by Central Dairy Estate
iv. Schools:	5 schools and teachers' homes by end 1986. [Appendices A and C]		iv. Maintenance and staffing of schools and clinics responsibility of Ministries concerned
v. Milk collection depots:	5 depots by end 1986. [Appendices A and C]		v. Maintenance of roads, water supply responsibility of ARDA
vi. Housing:	31 houses for staff by end 1986. [Appendices A and C]		vi. Farmers will repay capital costs over 20years starting from year 5 of milk production.
B. Central Dairy Estate (funded by CDC and Govt of Zimbabwe)			vii. Farmers will meet admin costs from year 3 of milk production
i. Cows:	1000 head of Frisian cows in milk by 1989 on 62 ha of irrigated pasture, and silage from 295 ha of rainfed maize. [Annex IV]		
ii. Beef ranch:	2600 animals by ? (Annex IV)		

<b>INPUTS:</b>							
	\$Z'000	1984/85	1985/86	1986/87	1987/88	TOTAL	
Land Acquisition		426				426	i. Quarterly reports from TCO Settlement Adviser
Roads			690			690	ii. ZG claims
Water Supplies			900	905		1805	i. Labour and material are available
Dips			20	12		32	ii. Settlement will be voluntarily re-settled from surrounding areas with full co-operation of chief
Fencing		4	250	70		324	iii. Zimbabwe Govt will remove squatters from site
Land Preparation etc		6	81	18		105	iv. Central Dairy Estate project is implemented by ZG and CDC
Schools			200	200	96	496	
Clinics			40	40		80	
Housing and other building			209	211		420	
Electricity and telephone			92			92	
Miscellaneous		3	6	7	4	20	
Planning and Implementation		1	249	146	10	406	
Contingencies at 15%		2	373	219	16	610	
Recurrent cost capitalisation		70	282	282	141	775	
<b>TOTAL</b>		<b>512</b>	<b>3392</b>	<b>2108</b>	<b>266</b>	<b>6278</b>	

[Appendix A]

PROJECT STRUCTURE	INDICATORS OF ACHIEVEMENT				HOW INDICATORS CAN BE QUANTIFIED OR ASSESSED	IMPORTANT ASSUMPTIONS
DISTRIBUTION OF COSTS £'000						
UK/Zimbabwe Resettlement Grant	137	1033	649	48	1867	
TCO Settlement Adviser	?	?	?	?		
Counterpart Funds from Programme	181	1221	850	155	2406	
						[Para 9.5]

PROJECT FRAMEWORK

APPENDIX 6(3)

PROJECT TITLE: GEZIRA LIGHT RAILWAY (G.L.R.)

MIS NO.:  
FILE REF:

PERIOD OF ODA FUNDING  
FROM FY 1984/5 to FY 1985/86  
TOTAL ODA FUNDING: £4,335m.  
DATE FRAMEWORK PREPARED:  
8.5.85

BRIEF DESCRIPTION OF PROJECT: To rehabilitate the G.L.R. (which carries mainly cotton to the ginneries and fertilisers etc. to farmers) as part of the IBRD Gezira Rehabilitation Project

(Numbers in brackets relate to paragraphs in the PEC Submission: EA =Economic Annex)

PROJECT STRUCTURE	INDICATORS OF ACHIEVEMENT	HOW INDICATORS CAN BE QUANTIFIED OR ASSESSED	IMPORTANT ASSUMPTIONS																				
<p><u>WIDER (i.e. SECTOR AND NATIONAL) OBJECTIVES</u></p> <p>To help the Sudan's economy and medium term recovery plan, and to increase foreign exchange earnings (1.02)</p>	<p>Annual volume of cotton and other crops exported to rise from the 1978-81 level of 50% of total export earnings to the 75% level achieved in the early 1970s. (EA5)</p> <p>High level of prosperity in the Gezira Region</p>	<p>Trade Statistics</p> <p>Sudan Gezira Board (SGB) export statistics</p> <p>Balance of Payments Statistics. Various socio-economic indicators for Gezira, e.g.</p> <ul style="list-style-type: none"> <li>- No. of passenger journeys</li> <li>- Sales of consumer goods</li> <li>- Number of children in school</li> </ul>	<p>The IBRD project will be successfully implemented</p> <p>No major collapse of internal stability (12.02)</p> <p>No breakdown in railway network in the Sudan.</p> <p>World market prices for cotton and other export crops do not collapse.</p>																				
<p><u>IMMEDIATE OBJECTIVES</u></p> <p>To help raise crop yields and agricultural production by ensuring efficient movement in and out by rail (2.04).</p>	<p>Cotton yield to rise to 0.8 tonnes per feddan (long staple) and 1.1 per feddan (medium staple) by 1987/8 (EA15). 89% of cotton crop to be moved in period Feb-April. Total net tonne kms for carriage of seed cotton</p> <p>to rise from 31.6 mil. in 1982/83 to 36.74 mil. in 1984/85 (EA21)</p> <p>Average train length to be increased from 32 wagons to 36 (EA45). SGB staff turnover not to exceed 3% (EA30). Internal rate of return of 18.7% (EA4).</p>	<p>SGB Statistics</p> <p>Gezira Light Railway (GLR) Statistics</p> <p>Monitoring Mission Reports.</p> <p>IBRD/IRR Calculations</p>	<p>Sudan Government will implement proposal for agricultural price reforms (EA25)</p> <p>Major road improvements in the Gezira Region will not upset the economic comparison between road and rail.</p> <p>IBRD will successfully implement the project for revitalising SGB's and GLR's accounting and book-keeping systems (EA27). Land and water charges will be raised sufficiently to give the SGB an operating surplus</p>																				
<p><u>OUTPUTS (4.03)</u></p> <p>10 locomotives rehabilitated 150 wagons rehabilitated 20 new wagons supplied GLR radio telephone system restored 33 kms of railway track replaced Repair workshops improved and re-equipped One engineer trained in UK.</p>		<p>GLR Statistics</p> <p>Monitoring Missions</p> <p>British Council (training)</p>	<p>There will be sufficient unskilled and semi-skilled staff to load and unload wagons. (EA15). Wastage of skilled staff to Gulf will not worsen. IBRD will implement proposals for senior level training (EA12). SGB will provide adequate on-the-job training (EA53).</p>																				
<p><u>INPUTS (Table 1)</u></p> <table border="0"> <tr> <td></td> <td align="right"> (£mil)</td> </tr> <tr> <td>Locomotive kits and spares</td> <td align="right">1.379</td> </tr> <tr> <td>Wheels</td> <td align="right">0.825</td> </tr> <tr> <td>Rails</td> <td align="right">0.541</td> </tr> <tr> <td>Machine tools</td> <td align="right">0.502</td> </tr> <tr> <td>Rolling Stock</td> <td align="right">0.435</td> </tr> <tr> <td>Graders</td> <td align="right">0.393</td> </tr> <tr> <td>Telecommunications</td> <td align="right">0.131</td> </tr> <tr> <td>Technical Assistance</td> <td align="right">0.129</td> </tr> <tr> <td><b>TOTAL</b></td> <td align="right"><b>4.335</b></td> </tr> </table>		(£mil)	Locomotive kits and spares	1.379	Wheels	0.825	Rails	0.541	Machine tools	0.502	Rolling Stock	0.435	Graders	0.393	Telecommunications	0.131	Technical Assistance	0.129	<b>TOTAL</b>	<b>4.335</b>		<p>ODA Statistics</p> <p>Crown Agents Quarterly Reports</p> <p>Monitoring Missions</p>	
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## GLOSSARY

- ACTIVITIES** - Actions taken or work performed as part of the process of transform inputs into outputs.
- ASSUMPTION** - An event or action which must take place, or a condition which must exist, if a project is to succeed, but over which the project management has little or no control.
- AUDIT** - An examination which establishes to what extent performance conforms to pre-determined standards or criteria, normally focussed on financial or management activity.
- EFFECTIVENESS** - A measure of the degree to which a project or programme attains its objectives: the degree to which a target at output or objective level is reached.
- EFFICIENCY** - A measure of the degree to which a project or programme maximises its beneficial results at least cost.
- EVALUATION** - Measures designed to establish the results of an activity in relation to the stated objectives and the expected impact. In ODA the term "evaluation" is used mainly in relation to ex-post analysis - ie some time after project completion. Many other donors use the term to cover what ODA would generally call "monitoring" where the results may be used to alter the design or course of the project while it is being implemented.
- GOAL** - See Objective, Wider.
- HIERARCHY** - The ranking order of objectives and means describing the road to a project's wider objectives by way of inputs-outputs-immediate objectives.
- IMPACT** - The positive and negative effects, anticipated or not, of a programme or project on the target group, the recipient country, the donor agency and other participants.
- INDICATORS, OBJECTIVELY VERIFIABLE** - Specific measures of changes or results expected at each level of the project hierarchy in order to demonstrate progress. They may be either direct or indirect (proxy) but should be such that reasonable independent observers would agree that progress has or has not been made as planned.
- INPUTS** - The set of means (money, equipment, materials, technical advice, training etc) mobilised to produce the planned outputs.
- LOGICAL FRAMEWORK** - The means-ends chain (ie the hierarchy) in a project plus the relevant assumptions bearing on it and the ways of measuring the results.

- MATRIX** - A summary worksheet for the analysis of project design normally divided into four horizontal rows and four columns. Modifications may be made to suit local circumstances. Called "Project Framework" in this report. (See Appendix 5).
- MONITORING** - The periodic oversight of the physical implementation of a project to ensure that inputs, external factors and outputs are proceeding according to plan and (in ODA practice) to consider whether the planned impact remains valid or whether plans should be changed. (Most other donors would call the latter "on-going" evaluation.)
- OBJECTIVE, IMMEDIATE** - The change which is to be accomplished by the project if completed successfully, and on time, for the purpose of correcting an identified problem. Example: An irrigation network and associated facilities and services (outputs) are intended to produce increased per hectare crop yield (immediate objective).
- OBJECTIVE, WIDER** - The next higher objective, whether at sector, regional or national level, to which the project is intended to contribute. Example: Increased per hectare yield (immediate objective) is intended to result in expanded exports of agricultural crops (sector objective).
- OUTPUTS** - The specifically intended kind of results that can be expected from good management of the inputs provided and that will provide the conditions necessary for achieving the immediate objective. Example: manpower, training, machinery and building materials (inputs) can be managed to produce an irrigation network, trained operational staff and water utilisation procedures (outputs).
- PROJECT FRAMEWORK** - See Logical Framework.
- PURPOSE** - See Objective, Immediate.
- TARGET** - Can be used in general terms to refer to the objectives of a project, but is more commonly used to refer to the indicators of whether the objectives have been achieved or not.
- TARGET GROUP** - The group of individuals whom it is intended to benefit by a project or programme.

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