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Master's thesis

A contribution to the critical
analysis of the Logical Framework
Approach and the Theory of
Change

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A contribution to the critical analysis of the Logical Framework Approach and the Theory of Change

The Programme Analytical Framework as tool to assess intended impact in World Vision Germany's planning documents.

Master's thesis submitted to University College Dublin in part fulfilment of the requirements for the degree of Master of Humanitarian Action

von
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List of Abbreviations

AA	Auswärtiges Amt (German Foreign Office)
ADH	Aktion Deutschland hilft
BMZ	Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung (German Federal Ministry for Economic Cooperation and Development)
CEval	Centre for Evaluation
DAC	Development Assistant Committee
DFID	Department for International Development
HIVOS	Humanist Institute for Development Cooperation
LFA	Logical Framework Approach
Logframe	Logical Framework
OECD	Organisation for Economic Co-operation and Development
ToC	Theory of Change
UNDP	United Nations Development Programme
USAID	United States Agency for International Development
WASH	Water, Sanitation and Hygiene
WVG	World Vision Germany

Abstract

The Logical Framework Approach (Logframe) as a tool to plan interventions and their intended impact has served the aid sector in its ability to show the effectiveness of a programme, but has been found wanting in terms of showing impact. The newly emerged Theory of Change (TOC) seems to provide the remedy for the Logframe's weaknesses through its engagement with the complexity of the wider program-context as well as its strong focus on the theories underlying the program's intervention logic.

This research aims to assess the capacity of World Vision Germany's planning systems to contribute to longer term positive change in its areas of intervention by introducing a framework which merges the strengths of the Logframe and the TOC. The research was mostly conducted through desk review using secondary data. Derived from a literature review focusing on the TOC and the Logframe, the *Programme Analytical Framework* was developed. The Framework was then used to assess the quality of four of World Vision Germany's current planning documents.

World Vision Germany's planning documents were overall found to be of high quality. The Logframes and accompanying narratives were found to be strong in the conceptualisation of impact including a good articulation of the intended change as well as an understanding of the interventions as contribution to a wider sector response. The context analyses provided were thorough with a few exceptions regarding the analysis of the key-stakeholder, the target group as well as power and gender dynamics. The documents were also found to be strong in their articulation and logic of the pathway of change. Weaknesses were found in the participation of the target group in the project-design. The hypotheses underlying the intervention were articulated in most cases but were not labelled as such. Weaknesses were also found in the indicators for change regarding a lack of baselines.

The findings lead to the following recommendations on how WVG can strengthen its planning system to contribute to longer term positive change in its area of intervention:

1. Stronger focus on participation
2. People- instead of problem-centred analysis
3. Better articulation of World Vision Germany's sphere of influence
4. Intentional articulation of hypotheses
5. Use of an appropriate Logframe format

1   Introduction

This research study aims to assess the capacity of WVG's planning systems to contribute to longer term positive change in its areas of intervention. The research is mostly conducted through desk review using secondary data. World Vision Germany's Research Institute commissioned this study to assess the quality of Logframes and to be introduced to the Theory of Change approach.

1.1   Background of the study and problem statement

Over the last three decades the aid sector has developed a growing interest its programme's and project's impact on the people they intend to serve. From the adoption of the Results-Based Management Agenda by agencies of the United Nations in the 1990s (UNDPG, 2011) to a rising debate around the efficacy of aid and the striving for accountability towards receivers of aid and donors at the World Humanitarian Summit in 2015, the question of how impact can be meaningfully planned, monitored and evaluated in the complex settings faced by the aid sector has increasingly become the centre of attention (Proudlock et al. 2009).

In the context of growing competition for funding of aid (Vähämäki et al., 2011) and an increasing public perception that aid does not show the expected effects (Hearn and Buffardi, 2016), the sector has found itself under pressure to show more tangible results and "value for money". At the same time, debates within the sector have been stirred around accountability and efficiency of aid (World Humanitarian Summit, 2015; Hofmann et al., 2004), especially in terms of accountability toward the affected population themselves. This has been further emphasised through the current move to bring together the different types of aid (humanitarian, development and peace building) in what is being referred to as the "Nexus". It is thus hoped that affected people will become the centre of aid efforts and the impact these have on affected people's lives the point of reference for the aid endeavour's success.

A clear shift of focus has taken place from measuring the effectiveness of an intervention to demonstrating long term positive change on people's lives (Hearn and Buffardi, 2016; ALNAP, 2018, Hofmann et al. 2004).

The aid sector has adopted different tools to plan interventions and their intended impact such as the Logical Framework Approach. Widely used throughout the aid sector since the late 70s, the Logframe has served the aid sector greatly in its ability to show the effectiveness of a programme, but has been found wanting in terms of showing impact

mainly due to its simplistic depiction of impact as a linear process and lack of dealing with complexity.

Given the realities of existing performance management frameworks and the fact that Logframes are required by most donors in project-proposals (Vogel, 2012), the aid sector finds itself challenged by the external demands as well as an internal drive to show its intervention's impact with more precision but a lack of tools to do so.

As many other organisations working in the fields of humanitarian action, international development and advocacy, World Vision Germany (WVG) is challenged in showing its programmes impact rather than only their effectiveness.

In order to assess its projects and programmes, WVG regularly conducts and commissions impact evaluations of their programs and projects. In 2014 as well as in 2016 and in 2017 Meta-Evaluations[1] were conducted through an independent consultancy agency (the Center for Evaluation - CEval) in which around 30 evaluation reports were in turn evaluated and their quality assessed based on the criteria of: voice and inclusion; transparency; methodology; conceptualization of findings; and (in 2017 only) sustainability.

The latest Meta-Evaluation found that, in terms of the evaluation reports' methodology and presentation of the program's contribution, the intervention logics were weakly explained and the result chain or impact logic models were not used coherently (Mauthofer, 2018). Around 60 percent of the reports received a dissatisfying rating when it came to the presentation of a result chain. A similar result was found in the 2016 Meta-Evaluation, in which "85% of the reports did not adequately outline a result chain and programme theory" (Wannenmacher and Silvestrini, 2016, p. 12). The evaluators concluded that there seems to be "a lack of awareness on the benefits of articulating on how change occurs" (Mauthofer, 2018, p.11).

While in 2014 the Meta-Evaluation found that all reports had completely overlooked unintended and negative impacts, in 2016 at least 12 reports referenced these. The study found also that the criterion of the programme's contribution is seen by interviewed staff as the one most in need for improvement (Wannenmacher and Silvestrini, 2016.). The 2017 study showed only a slight improvement in this regard, with 72 percent of the reports

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[1] A Meta-Evaluation according to the OECD/DAC's glossary (2002) is a term "used for evaluations designed to aggregate findings from a series of evaluations. It can also be used to denote the evaluation of an evaluation to judge its quality and/or assess the performance of the evaluators."

receiving a very poor rating on identifying and explaining unintended and unexpected results.

The Meta-Evaluations have shown that the impact analysis in WVG's evaluation reports is unsystematic, weak and mostly come down to the measurement of indicators only, not taking unintended or unexpected effects into account. WVG's programmes were shown to be effective but whether and why impact had occurred was mostly not evaluated.

1.2   Research focus

In the last two decades a new planning, monitoring and evaluation method, the Theory of Change (TOC) has emerged. The TOC engages more with the complexity of the wider context in which a program takes place as well as placing a strong focus on the theory of how impact is achieved which underlies the program's intervention logic. Especially in a project's design phase, the TOC can help to better understand the intervention's contribution to impact "by testing its internal coherence and linking strategies and activities to expected outcomes" and articulating assumptions about why the intervention is expected to bring about change (Dhillon and Vaca, 2018, p. 68).

The TOC therefore seems to provide the remedy for the challenges faced by many organisations. But since the Logframe is still the most employed performance management framework and required by donors, the question arises how the strengths of both approaches can be merged to provide a planning framework which better focuses on the impact of an intervention and the changes taking place in people's lives.

1.3   Overall and specific objectives

The aim of this research therefore is to assess the capacity of WVG's planning systems to contribute to longer term positive change in its areas of intervention. The research aims to answer the following question:

How can WVG strengthen its planning system to contribute to longer term positive change for affected through its aid programming?

In order to answer the overall research question and thus achieve the aim of the research, the following specific objectives are set:

1. **Present a state of the art planning framework that focuses on project/programme impact.**

An introduction is given to the current conceptualisation of impact in the aid sector and followed by an introduction to the most commonly used planning approach within the sector, the Logframe Approach. The Theory of Change which has emerged over the past three decades is then closely considered and specific characteristics especially in contrast to the Logframe Approach carved out.

2. **Identify strengths and weaknesses of the impact logic models as presented in World Vision Germany's planning documents in comparison with the framework presented in objective one.**

Derived from the Theory of Change and the strengths of the Logframe approach, the *Programme Analytical Framework* is developed. The Framework is then operationalised to assess the quality of WVG's current planning documents.

3. **Present practical recommendations on how World Vision Germany's current impact logic model can be adapted and/or improved.**

Derived from the findings of objective two recommendations are given on how WVG can strengthen its planning system to contribute to longer term positive change in its area of intervention.

1.4   Utility of the research

This research will contribute to filling the gap in how theory of change thinking can be mapped into the commonly used Logframe Approach and therefore put a stronger focus on impact of an intervention as well as placing affected people once more intentionally at the centre of aid. It therefore does not call for an abolishment of the Logframe Approach but rather for a more intentional and focused use of it. Further this research will provide the reader with a framework with which the quality of Logframes can be assessed and be used as a guideline in the project design phase.

Mostly the research will introduce WVG to the Theory of Change and provide an assessment of current planning documents. The recommendations given in the conclusion will serve WVG as a guide on how its planning systems can be strengthened.

2 Literature Review and Conceptual Framework

This Chapter introduces current debates about impact and its conceptualisation in aid sector. Sections 2.3 and 2.4 elaborate in detail on the Logical Framework Approach, its strengths and criticisms as well as the Theory of Change Approach as a new state of the art planning framework. Sections 2.5 shows how the approaches' strengths can be merged and provide a better framework for focusing on impact. Building on this literature review, Section 2.6 introduces the *Programme Analytical Framework* for the assessment of Logframes in terms of impact and theory of change thinking.

2.1 Impact in the aid sector

The concept of impact invokes many different meanings depending on who uses it in which context. The Oxford Dictionary (2019) defines "impact" as:

1. The action of one object coming forcibly into contact with another.
2. A marked effect or influence.

In this more colloquial sense of the term, it can be used interchangeably with words such as result, outcome, effect or difference. In the aid-sector, there seems to confusion about what impact means (Hofmann et al., 2004; Hearn and Buffardi, 2016) and Hearn and Buffardi (2016) find that there are four ways it is used:

- Counterfactual Use: here the term impact is used in a more technical way and requires a comparison with a counterfactual to show that impact has happened. It is asking what would have happened in the absence of an intervention
- Boundless Use: here the scope of what impact includes does not have a limit. Any effect of a program or project would be considered as impact.
- Result-Chain Use: impact here is defined through the way it relates to outputs and outcomes.
- Environmental Sustainability Use: here impact is understood as the way an intervention contributes to reaching the Sustainable Development Use (SDGs).

The way the term impact is used and understood will determine how interventions are planned and how impact is measured. Although the Nexus argues for a more integrated understanding of aid, the donor-landscape in Germany is still very clustered in terms of types of aid. The understanding of impact will therefore be separately elaborated for international development and humanitarian action in the following.

2.1.1 International Development

The most commonly used definition of impact in international development is OECD/DAC's (2002):

> "Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended."

The main feature of this definition is that it includes every possible effect which a program could have. Two further key aspects should be highlighted when looking at the common usage of the term "impact" in international development which is its embeddedness in a system-wide performance agenda as well as a focus on evoking positive change.

The usage of the term "impact" in the international development sector is very much influenced by performance management and the reforms having taken place in the public sector over the past two decades. In hopes to improve management in terms of innovation and learning as well as accountability and transparency, a shift has taken place from focusing on outputs of a planned activity to results and impacts (Hofmann et al., 2004; Ramalingam, 2009; Vähämaäki et al. 2011). In 2002 the UNDP adopted the Results-Based-Management (RBM) agenda (UNDP, 2009), which focuses on "performance and achievement of outputs, outcomes and impacts" (OECD/DAC, 2002). Impact here is understood as the result of outputs and development stakeholder recognise that "(...) better managing for results helps demonstrate more clearly whether development outcomes have been achieved" (World Bank, 2008).

The RBM received more prominence in the early 2000s through the adoption of the Millennium Development Goals (MDGs) (Ramalingam et al. 2009) and the Aid-Effectiveness Agenda was adopted through the Paris Declaration which urged development agencies and national governments to commit to the MDGs (Ramalingam et al., 2009). Following from these agendas, the usage of the term impact in the international development sector was now framed within the sector-wide performance agenda and determines the impact of a program in terms of how it contributes to the achievement of the SDGs (Hearn and Buffardi, 2016).

The OECD/DAC definition also hints towards another central concept of impact in international development, which is that of "change" (Hofmann et al., 2004). "Change" is very often used instead of impact when there is a reference made to the long-term effect of an

intervention.[2] Eguren (2011) defines two different types of change which are relevant within the international development sector: transformative change ("un-learning" and "liberation" from the old to be able to enact "new realities that are more just and fair in economic, social and political terms" (ibid., p.4)) and projectable change, which are based on the solving of simple or complicated problems by projects planned in a linear-logic. Both the solving of complex as well as complicated problems lies within the scope of international development.

2.1.2   Humanitarian Action

In contrast to the development sector there is currently no common definition of impact for the humanitarian sector. Although often adopted, the OECD/DAC definition does not fully fit the humanitarian nature especially in terms of its focus on long-term effects of an intervention. Rather than bringing about positive, long-term change humanitarian interventions' mandate is saving lives and are rather focused on averting negative changes (such as preventing a famine) (Hofmann et al., 2004). Oxfam therefore suggests a definition of impact as *lasting* or *significant* change in people's lives – saving someone's life is truly significant, but will not have a lasting effect (Hofmann et al., 2009).

The State of the Humanitarian System (SOHS) 2018 report states that impact as criterion to measure performance of the humanitarian sector is the least understood and information on impact is rather anecdotal than factual (ALNAP, 2018). There is no system-wide approach to performance (Ramalingam et al., 2009) and impact within the system is understood in very diverse ways, which the SOHS summarises in the following way:

- in terms of "the degree to which humanitarian operations continue to deliver benefits over time, after the projects themselves have closed" (ALNAP, 2018, p. 274)
- the cumulative, unintended effects when a series of short-term interventions have been implemented over a longer period
- efforts to build people's resilience

The humanitarian sector has produced many guidelines and standards such as the SPHERE and the Core Humanitarian Standards, but those are rather technical and do not provide a framework for performance. The Do-no-harm Principle can be seen as the closest attempt to consider system-wide performance in terms of averting negative impact (Hofmann et al, 2009; Dijkzeul et al., 2013).

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[2] See for example: European Commission (2017) „(…) impact refers to changes associated with a particular intervention which occur over the longer term"
W.K. Kellogg Foundation (2004): "impact is the fundamental intended or unintended change occurring in organisations, communities or systems as a result of program activities within 7 to 10 years."

Impact in humanitarian action is mostly framed within projects and programmes and within these, "the key means for establishing and assessing performance remain effective planning, monitoring and evaluation techniques (...)" (Ramalingam et al., 2009, p.54). Impact is then addressed either through an analysis of impact before the start of a project to anticipate its consequences, an ongoing analysis of impact as part of monitoring and/or an analysis of the impact after the intervention has taken place as part of evaluation (Hofmann et al., 2004). In many humanitarian interventions impact is measured in morbidity and mortality rates (ALNAP, 2018), which would technically be defined as output indicators. Impact and outcome indicators are still rarely used in the humanitarian system (ALNAP, 2018) and the sector has been focused more on effectiveness, i.e. whether the intermediate objective have been achieved.

Lastly, the humanitarian system seems to have difficulty defining impact, since some of its key activities are principled endeavours such as protection and therefore hard to measure (Hofmann et al., 2004). The ever- and fast changing context in which humanitarian intervention mostly take place make attributing impact to a certain intervention seemingly impossible and then defining what should be measured as impact very difficult.

2.1.3   The problem of attribution and causality

The term attribution refers to the "extent to which the observed change in *outcome* is the result of the *intervention*, having allowed for all other factors which may also affect the *outcome(s)* of interest" (International Initiative for Impact Evaluation, no year). Being able to relate an occurring change back to a specific intervention becomes relevant in impact evaluations and has posed an immense difficulty to the aid sector and especially to the humanitarian sector. The context in which humanitarian interventions take place is very volatile and an intervention's impact cannot easily be isolated from other factors such changes in the security situation, government involvement or the sector response (Hofmann et al., 2009; Proudlock et al., 2009). Hofmann and colleagues (2009) therefore suggests a wider framework for the evaluation of impact in humanitarian action, which takes the wider context into account such as factors on local, national and international level which contribute to the impact, i.e. coping mechanisms of the local population, national NGO's interventions and international political interest.

Recognising the complexity of attributing impact in the aid sector, a shift has taken place in impact evaluation from an attribution towards contribution focus, i.e. asking how an intervention has contributed to the wider change (Gates and Dyson, 2016). In the development sector this leads back to the SDGs and how an intervention contributes to the

achievement of those. In the humanitarian sector impact could then be understood as the degree to which humanitarian action contributes to significant or positive, lasting change for the people receiving support.

International Development	Humanitarian Action
System-wide performance framework	Technical Standards, principles
Long-term impact = Change	Averting negative change
	Project-based

Table 1 Impact in the Aid Sector

2.2 The presentation of impact in planning documents

As mentioned above, impact plays a significant role in the three main stages of an aid intervention: planning, monitoring and evaluation. The role of impact in monitoring and evaluation is obvious as it presents one of the DAC Criteria for Evaluating Development Assistance[3]. In program planning, the consideration of impact can have different purposes:

> "(…) [it] can be used to clarify a vision through which to build cooperation and coordinate action; assessments of potential impact are used to identify possible risks or adverse effects (…); ambitions of impact are used to make decisions about which programmes to fund; they establish expectations of achievement by which success will be defined; and these in turn are used to plan appropriate inputs and strategy" (Hearn and Buffardi, 2016, p.6)

In international development and humanitarian action different tools have been adopted to plan interventions and their intended impact. One of the most prominent is the Logical Framework Approach, which has been in use since the 70s, but was further developed by USAID when the results-based management agenda was introduced and a tool needed to design projects accordingly (Vähämäki et al, 2011; Prinsen and Nijhof, 2015; Ringhofer and Kohlweg, 2019).

The Logical Framework is a four component matrix and the end-product of an analytical process in which, put simply, problems are identified and turned into objectives of how to solve the same. The matrix presents the "strategic elements (input, outcomes, impact) and their casual relationships, indicators, and the assumptions or risks that may influence success and failure" (OECD/DAC, 2002). It finds widespread application within the aid-sector, although it is also heavily criticized by the same.

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[3] The five criteria are: Relevance, Effectiveness, Efficiency, Impact and Sustainability.

First and foremost the Logframe Approach is criticised for indicating that change is a linear process (Valters, 2015; Proudlock, 2009; Freer and Lemire, 2019) and implying an over-simplistic image of the context in which the project is implemented. The complexity of aid programmes cannot be depicted in a Logframe Matrix (Freer and Lemire, 2019). Driven by this matrix structure, the Logframe is also very static and not adaptable to changes (Van Es et al., 2015; Freer and Lemire, 2019) and by the end of a programme will only be able to show if a programme's objective was achieved, not why they were reached or not (Freer and Lemire, 2019). Some critics even refer to the logframe as being as an instrument of neo-liberal development agenda as it seems to "obscures the causes of poverty and marginalises alternative or indigenous views and analyses" (Prinsen and Nijhof, 2015, p. 235).

In the 80s a new planning tool was drawn from the so called Theory-Based Evaluation and initially went unrecognised by the aid sector: the Theory of Change (ToC) (Ringhofer and Kohlweg, 2019). It describes a framework to use when engaging in social change processes and implies a different way of thinking about change (its complexity and dynamic), a process (the analysis of a problem through the engagement of different stakeholders) and a product (usually a narrative and a diagram) (Van Es et al., 2015). The ToC approach tries to make explicit what the logframe cannot show: the assumptions that lead actors to believe that certain programme components will lead to change and therefore the theory underlying the programme. As with the logframe, the end product of a ToC process should be an impact logic diagram which is more flexible and will be adapted and changed throughout the lifespan of the project. The TOC is not free of criticism (see Chapter 2.4.6) which mostly relate to the often ambiguous use of the term and key concepts within the TOC, its ambitious aim to be able to depict complexity and the question of how practical its application is.

The ToC has become more and more mainstreamed in the last decade and is presented as the state of the art in evaluation and monitoring within the aid sector. The rise in the favour for ToC is driven by the RBM and a new recognition of the complexity of the aid sector (Vogel, 2012) as well as it meeting the dissatisfactions of practitioners with the logframe (Freer and Lemire, 2019). The Theory of Change can serve to provide some of the meaningful links that are often missing in the logframe such as the in-depth analytical process, the acknowledgment of the complexity inherent in aid programmes and explicit assumptions about the programme.

Program planning which focuses on determining the impact of an intervention, the Logframe as a causal pathway from inputs to impact should be used complementary to a TOC which situates the intervention into a broader context and points to the changes taking place in the people's lives (Hofmann et al., 2004, p.2).

2.3 The Logical Framework

Within the aid sector, the Logical Framework is still the most adopted approach to plan, monitor and evaluate project impact. A study conducted by Golini and colleagues (2018) found that out of 500 project managers globally, 93.4 percent used the Logframe as one of their management tools. Considered to be an analytical process, the Logframe Approach has gone through various adaptations in the over the past decades, but its basic principles still remain the same. The following will provide an overview of the Logical Framework Approach and will show what is currently considered to best practice for it.

2.3.1 The Origins of the Logical Framework

The Logical Framework Approach appeared in 1969 as an early example of Program Theory, which generally is understood as a "theory or model of how an intervention, such as a project (...) contributes to a chain of intermediate results and finally to the intended or observed outcomes" (Funnell and Rogers, 2011, p.1). Dissatisfaction with project design, planning and monitoring tools within the aid sector had led the United States Agency for International Development (USAID) to commission two consulting agencies with the development of such a tool (Golini, 2018; Ringhofer and Kohlweg, 2019). The new management tool was supposed to address three issues: 1. Vague planning and unclear project objectives, 2. Unclear management responsibilities within the project and 3. Difficulty of project-evaluations since it was often not clear what the project was aiming to achieve (EC, 2004). The Logical Framework Approach seemed to hit a nerve in the aid sector since by the 90s it had spread widely and had become a requirement for funding proposals by most major donors (Ringhofer and Kohlweg, 2019; Prinsen and Nijhof, 2015).

2.3.2 The Logical Framework Approach

The Logical Framework Approach (LFA) was developed as an analytical process and iterative learning process (EC, 2004). As such it includes various components such as stakeholder and problem analysis as well as objective setting and the selection of an appropriate strategy to achieve those objectives. The results or product of the analysis are to be presented in the Logical Framework Matrix generally referred to as the Logframe. The emphasis is equally on the process as on the product, although it seems that in current

practice the Logframe as a product has gained more importance and there is a risk of it losing its potential.

The LFA can be split into two phases: the analysis (stakeholder-, problem-, objective- and strategy-analysis) and the planning phase (development of the Logframe Matrix, scheduling of activities and resources). Both phases will be elaborated further in the following. Throughout both phases it is important to note that the LFA was meant to be a participatory process, which should include all relevant stakeholders (EC, 2004; Ringhofer and Kohlweg, 2019).

The analysis phase has four main components as mentioned above[4]:

Stakeholder Analysis

The European Commission defines Stakeholders as "any individuals, groups of people, institutions or firms that may have a significant interest in the success or failure of a project (either as implementers, facilitators, beneficiaries or adversaries)" (EC, 2018, p.61). To identify who those stakeholders are, the main problem which should be addressed by the project needs to be identifies. Following this, all groups and individuals who could have a significant interest in the project need to be identified, their role as well as their interests clarified. It is important to also analyse what possible power imbalances within those groups are, which makes a gender analysis indispensable. The stakeholders' capacities to participate in the project as well as possible conflicts or cooperation synergies among the stakeholders should be analysed.

Problem Analysis

The problem analysis should be a highly participatory process which should include representatives from all stakeholder groups and especially the target group. The major problems faced by the target group are identified and presented in a hierarchical way. The aim of this is to be able to establish cause and effect relations and to identify which root problems underlie the major problems. The problem analysis "is the most critical stage of project planning, as it then guides all subsequent analysis and decision-making priorities" (EC, 2004, p. 68).

Objective Analysis

The problems identified are now turned into positive objectives. This is done by reformulating the negative situations into desirable and realistic situations and the cause-

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[4] The phases have been derived from the European Commission's guidelines for the development of a Logframe, as the EC's Logframe is the most commonly adopted format.

effect relations into means–ends linkages (EC, 2004). It might then be necessary to revise certain objectives or possibly even remove unnecessary ones.

Strategy Analysis

In this step the problems and objectives which will be part of the project are identified. The main goal here is to identify different options on how to achieve the objectives set, which positive opportunities identified before could be useful and which interventions would be most likely to be successful. The strategy selected might also depend on how coherent it is with overall area development plans or response plans, whether it complements ongoing projects and if it was financially feasible (EC, 2004).

The strategy selected will then inform the first column of the Logframe Matrix, which is the intervention logic expressed through the Impact (or overall objective), Outcome (specific objectives) and Output (or results).

2.3.3 The Logframe Matrix

The Logical Framework Matrix or Logframe is a four by four matrix which summarises the "project's goals, activities, assumptions, indicators, and sources of verification in order to measure and report the achievement of objectives" (Golini et al., 2018, p. 145).

Project Description	Indicators	Source of Verification	Assumptions
Overall Objective – The project's contribution to policy or programme objectives (impact)	How the OO is to be measured including Quantity, Quality, Time?	How will the information be collected, when and by whom?	
Purpose – Direct benefits to the target group	How the Purpose is to be measured including Quantity, Quality and Time	As above	If the Purpose is achieved, what assumptions must hold true to achieve the OO?
Results – Tangible products or services delivered by the project	How the results are to measured including Quantity, Quality, Time	As above	If Results is achieved, what assumptions must hold true to achieve the Purpose?
Activities – Tasks that have to be undertaken to deliver the desired results			If Activities are completed, what assumptions must hold true to deliver the results?

Table 2 Generic Logframe (European Commission, 2004)

The Logframe reveals a horizontal as well as a vertical logic. The key terms in the vertical logic or Intervention Logic are defined by the Development Assistance Committee of the Organisation for Economic Co-operation and Development (OECD DAC) in the following way (2002):

Overall Objective: "Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended."

Outcome: "The likely or achieved short-term and medium-term effects of an intervention's outputs."

Output: "The products, capital goods and services which result from a development intervention; may also include changes resulting from the intervention which are relevant to the achievement of outcomes."

The overall objective of a project will be the hardest to determine and the most difficult to measure as it is going beyond the planning and shows which part the interventions plays in a wider socio-economic and political context (Proudlock, 2009). It is also the first to be defined in completing the Matrix. In a top-down approach the specific objectives, outputs and the activities are defined. The guiding principle here is an if-then logic or means-ends logic (the desired impact can only be achieved, if the outcome is achieved, which in turn is only possible if the output is achieved etc.) (Ringhofer and Kohlweg, 2019).

As part of the vertical logic the assumptions are defined in a bottom-up approach starting with the assumptions concerning the activities. *Assumptions* are defined as the key external factors which have the potential to critically influence or even determine the project's success or failure and which are outside of the project manager's direct control (EC, 2004). The assumptions are progressively identified during the analysis phase as some issues that cannot be solved through the objectives may have already been identified or risks in stakeholder-relationships been revealed that could have the potential to influence the project. In determining which assumptions are relevant for the Logframe it is important to ask how likely they will hold true throughout the project. If an assumption will most likely not hold true, the project is at high risk of failing and might therefore not be feasible, which in turn would suggest that the objectives need to be adapted. In its final version of the project's logframe the assumptions should most likely hold true and be risks that can be monitored and managed.

The activities are the lowest level in the hierarchy of the intervention logic, but the ones where the management's influence is the highest. The activities can be added to the Logframe, but some sources suggest that they should rather be presented in a separate management tool such as a Gantt chart as they are more likely to be subject to review and revision (EC, 2004). Nonetheless, they should be linked to the Intervention Logic through referencing numbers

The horizontal logic of the Logframe relates indicators and sources of verification to each level of the intervention logic and is especially important for the monitoring and evaluation of the project's success or failure (Golini, 2018; EC, 2004). The indicators are set after the vertical logic is completed and are defined in a SMART way (specific, measurable, available, relevant and time-bound). It is important that the indicators are independent of each other and only ever refer to one objective.

The sources of verification specifically state how the indicators will be measured, who is collecting the data and when it will be collected. For the impact's indicators and sources of verification the overall area development plan or a response plan can serve as guidance. When setting the indicators it should also always be kept in mind who is going to use the information and how it can benefit them. Participation of the target group in setting the indicators can therefore be of great help.

2.3.4 Strengths of the Logframe Approach

The Logical Framework Approach in its original form has many advantages that benefit project management, monitoring and evaluation. First of all it provides project managers with a systematic problem analysis which looks at the broader context in which the project is going to take place (Golini, 2018; EC, 2004). It also requires the project manager to establish cause and effect-relationships and engage with various stakeholders to identify these. The objectives stated in the Logframe are then clear and specific and can be directly linked back to issues that need to be dealt with.

The Logframe is a very visual tool which is easy to understand and to access and therefore a great external communication tool on project's goals and achievements (Golini, 2018). It also establishes a framework for monitoring and evaluation of a project and can be used as a risk-management tool.

On an organisational level, the Logframe also demands management accountability on the various levels of the intervention logic and allows stakeholder involvement (Golini, 2018). When it is adopted extensively and used for communication concerning the project externally and internally the Logframe "can favour coordination and control of the project, with positive impacts on project's performance" (Gollini, 2018, p. 151).

2.3.5 Criticisms of the Logframe Approach

Although the Logframe is widely used within the aid sector it has also been increasingly criticised, challenged and even abandoned by some agencies since the late 90s (Chambers and Pettit, 2004).

First and foremost the Logframe Approach is criticised for indicating that change is a linear process (Valters, 2015; Proudlock, 2009; Freer and Lemire, 2019) and implying an over-simplistic image of the context in which the project is implemented by suggesting that management can maintain some sort of control over and a promise of what will happen over time (van Es et al., 2015). The linear intervention logic does not always provide the "causality effect" among the intervention logic's level (Golini, 2018; van Es et al., 2015).

The Logframe is also criticised for being only descriptive (James, 2011) and not able to depict the complexity of aid programmes (Freer and Lemire, 2019): the simplistic explanation of a project's intervention logic "flies in the face of multiple and changing realities" (Chambers and Pettit, 2004) and reducing the project's impact to simple terms "has led to unrealistic and misleading attempts to quantify all programme results" (Valters, 2015, p. 13). A Logframe is only able to show if a programme's objective was achieved, but fails to show why it was reached or not (Freer and Lemire, 2019).

Driven by this matrix structure, the Logframe is perceived to be static and not adaptable to changes (Van Es et al., 2015; Freer and Lemire, 2019). It does not allow for "variability of the variables" either positive or negative (Golini, 2018) and remains inflexible also due to the fact that it is rather control than process oriented (Valters, 2015). As a control oriented and closed system the Logframe "discourages innovation and learning" (Chambers and Pettit, 2004).

But it is not only the approach itself that is criticised but also its "contemporary (mis)use" (Ringhofer and Kohlweg, 2019). Very often organisations do not carry out the analysis which is inherent to the LFA nor do they map stakeholders or carry out a context analysis, but rather base the matrix on previous experiences (Ringhofer and Kohlweg, 2019). This is also due to the fact that the use of the Logframe is very donor-driven and these usually do not require the analytical planning steps but are only the Matrix itself. If Logframe analyses are conducted participation is often experienced as rigid, constraining and even disempowering (Chambers and Pettit, 2004).

The theory underlying the assumptions is often not made explicit (Ringhofer and Kohlweg, 2019) and it is common to use the assumption column in the Logframe Matrix weakly and rather as a "parking lot for a long list of self-evident statements" (Ringhofer and Kohlweg, 2019, p. 115). Assumptions such as "no natural disaster will occur" are obviously going to impact the course of the project, but are not relevant for the Logframe (van Es et al., 2015).

Furthermore, although monitoring should take place on every level of the intervention logic, it is commonly only takes place on the output level (Ringhofer and Kohlweg, 2019).

Some critics even refer to the logframe as being as a reflection of "neo-liberal development agenda" as it seems to "obscures the causes of poverty and marginalises alternative or indigenous views and analyses" (Prinsen and Nijhof, 2015, p. 235). It is seen to reinforce unequal power dynamics within the aid sector through "upward accountability" and "top-down development targets" (Chambers and Pettit, 2004). The Logframe Approach almost overemphasises the needs of affected populations and fails to focus on their capacities and capabilities.

As early as 2004, Chambers and Pettit conclude in their criticism of the Logframe Approach that it is no longer appropriate and of service to the current aid sector for the following three reasons:

1. In its conception, the Logframes mission was to shift the focus from technology to people. As this mission was accomplished, it is no longer required.
2. Within the current aid sector there is a shift towards understanding the complexity of actor relations and a different approach to partnership which encourages better collaboration. The Logframe in its linearity is not fit for this purpose.
3. Donors and funders have shifted to policy support and sector support rather than project funding for which the Logframe was developed.

And yet, the Logframe is the main tool employed by donors and aid organisations.

2.4 Theory of Change

The Theory of Change (TOC) is a way of thinking as well as a process and a product (van Es, 2015). It can be understood as a methodology to map out the logical sequence of an intervention and form a framework for programme design, implementation, monitoring and evaluation. But it can also be understood as a deeper reflective process of understanding change and how it happens (Vogel, 2012). In a review on the concepts of TOC within international development, Stein and Valters (2012) concluded that there is no consensus on a definition within the aid sector. Common components of working definitions did include "an articulation of how an intervention will lead to specific change" (ibid., p. 1) in general and the connections between activities and outcomes as well as set of beliefs or "assumptions" which underpin the theory more specifically. A very descriptive summary of what the TOC

Approach could entail is provided by Eguren (2012) in a guide published by the Humanist Institute for Development Cooperation (HIVOS) and UNDP:

- **"A conscious and creative visualization exercise** that enables us to focus our energy on specific future realities which are not only desirable, but also possible and probable
- **A set of assumptions and abstract projections** regarding how we believe reality could unfold in the immediate future, based on i) a realistic analysis of the current context, ii) a self-assessment about our capabilities of process facilitation, and iii) a critical and explicit review of our assumptions.
- **A thinking-action approach** that helps us to identify milestones and conditions that have to occur on the path towards the change that we want to contribute to happen.
- **A multi-stakeholder and collaborative experiential learning exercise that encourages the development of the flexible logic needed** to analyze complex social change processes.
- **A semi-structured change map** that links our strategic actions to certain processes/ results that we want to contribute to in our immediate environment.
- **A process tool** that helps us to monitor consciously and critically our individual and also collective way of thinking and acting." (ibid., p. 4)

In the following, the Theory of Change is introduced and its strengths and weaknesses elaborated.

2.4.1 The Origins of the Theory of Change

The Theory of Change, like the Logframe, belongs to the family of program theory (Vogel, 2012) and was drawn from a practice called "Theory-Based Evaluation" in the 1980s (Ringhofer and Kohlweg, 2019). As a program theory it urges "a more explicit focus on the theoretical underpinnings of programmes and a clearer articulation of how programmes are intended to work" (Ringhofer and Kohleweg, 2019, p.5). It first occurred as an alternative mode of evaluation for "comprehensive community initiatives" and mainstreamed under the term "Theory of Change" by Weiss who urged evaluators to pay closer attention to the "explicit or implicit theories" about how and why social programs are expected to achieve anticipated results (Weiss, 1995). In the early 1990s the Aspen Research Institute developed the theory further for planning and the design of development programs and published guidelines for its adoption (James, 2011; Ringhofer and Kohlweg, 2019).

In the past decade the Theory of Change has become more and more mainstreamed within the aid sector. As the desire to reflect the complex reality of development grows, the results-based management agenda becomes more prominent and a new recognition of the various actors in the sector is on the rise (Vogel, 2012; Stein and Valters, 2012) the TOC

Approach is "seen as a way to plausibly demonstrate impact in fragile and conflict-affected regions of the world" (Stein and Valters, 2012, p. 3).

The TOC is found to have gained wider popularity especially in the design and planning phase of programs rather than in the evaluation (Prinsen and Nijhof, 2015), and is also more and more adopted by donors. It is now mostly used as an integrated approach and framework to program scoping, design, strategy development through to implementation, monitoring and evaluation (Vogel, 2012). There are various initiatives that commit to the mainstreaming and provision of guidelines and standards on the TOC such as the Center for Theory of Change, Theory of Change Learning Group and ActKnowledge.

2.4.2   Theory of Change Thinking

Theory of Change thinking is defined by a critical and reflective way of verbalizing values, worldview and philosophies about change, how it happens and how it is influenced. It is characterised by "external reflection" on the social, historical, political and economic program-context as well as a personal and individual reflexivity on own values, norms and worldviews (Eguren, 2011). The continuous reflection and critical thinking (Valters, 2015) about otherwise implicit ideas encourages "personal, organisational and social learning" (van Es, 2015, p. 7). TOC thinking focuses on complexity and therefore implies non-linear thinking, the confrontation with uncertainty and social emergence (Eguren, 2011), which makes it a better way of approaching transformative change then the linear-thinking that is typical for the Logframe Approach.

2.4.3   The Theory of Change Process

Drawing from a workshop held on the use of the TOC in the development sector and research, Valters (2015) suggests the following four principles when applying a TOC:

1. Focus on the process
   One of the main advantages of using a TOC approach is that it opens up a space for critical reflection (Valters, 2014) and a confrontation with complexity. This should also be reflected in the TOC product in which the processes taking place within this space are reflected and not static documents created which cannot be integrated in program strategy.
2. Prioritise learning
   The TOC approach can provide a "learning lens" to managers and organisations (James, 2011). Throughout the TOC process, double-loop-learning happens by questioning underlying assumptions and then adapting the strategy accordingly rather than learning that only happens when results are not met and objectives are

then changed accordingly (Valters et al., 2016). Users of the TOC approach should focus on being more accountable in terms of the adaptation of lessons learned rather than being accountable for outcomes.

3. Be locally led

The TOC process is a highly participatory method (van Es et al., 2015). Stakeholders and beneficiaries of the planned program need to participate in context analysis, articulation of long-term goals and the defining of assumptions (Clark and Taplin, 2012). Especially the assumptions need to be "grounded in local realities" otherwise they are not useful and irrelevant (Valters, 2015).

4. Think compass not map

A TOC will never be a prediction of the future and it acknowledges that change is messy and non-linear. It cannot be expected to receive a bullet-proof plan and outline for a program after a TOC process, rather it can provide a direction and guideline which will have to be revisited and adapted throughout the program's journey (van Es, 2015). It can be seen as the best guess of a possible future.

The methodological steps of a TOC process suggested in the different literature reviewed vary and highly depend on the purpose of a TOC. The following steps are a combination of various guidelines and include the most commonly mentioned steps:

Defining the desired change

The first step in a TOC process is the articulation of the desired change or a positive vision for the future. The challenge here is to create a plausible and realistic picture on which various groups (program's beneficiaries, stakeholder and organisation's staff) can agree on. The identification process is highly collaborative and dynamic and various tools such as the creating of a problem tree, rich picture or four dimensions of change could be used (van Es, 2015). It is important to note that the aim is not to create an abstract vision of the future, but one that is people-oriented. Reflection on why participants think that this is the best possible future, for who this change would be beneficial and who this might influence in a negative way has to be continuous.

Analyse the current situation and agents of change

In this step the context in which the program will be placed is analysed in terms of the current political, social and environmental situation (Vogel, 2012) – an analysis of the "ecosystem" in which change is supposed to happen (van Es et al., 2015). The people who are most affected by change that hoped for or who would benefit from the program should be placed at the centre of the analysis. At the same time agents of change and blockers

should be identified: who are the people who are actively involved in the situation and what is their position towards it (Eguren, 2011)? In a later stage strategies can then be developed on how to include like-minded actors and lobby with those who are opposed to the change anticipated. Tools in this step can be sector analysis, influence and capacity analysis. A gender analysis can be of extreme value at this stage as it can help identify power relations that might influence the program.

<u>Domains for change and strategic priorities</u>
The vision of a desired future is now broken down into strategic areas to make its complexity more manageable. The key question is which areas could sustain the desired future: which main factors emerged during the conversations around change, are there categories that can be identified and of these, which can be assumed to be drivers for change (Eguren, 2011)? Different authors suggest that during this step it is important that organisations/planners understand their "sphere of influence" (Vogel, 2012; van Es et al., 2015), meaning that they understand in which of the anticipated changes actually lie in their field of expertise and influence to change. Once strategic areas are identified, the ones that are seen as main drivers for change and fit the implementer's expertise and role are selected. They can now be rephrased into strategic objectives.

<u>Assumptions</u>
A critical component in the Theory of Change is *Assumptions* and even though the same term is used, the TOC's concept of assumptions is very distinct from the Logframe's usage. The TOC defines assumptions as set of beliefs about how change occurs (Stein and Valters, 2012). Other authors also use the terms hypotheses (Dhillon and Vaca, 2018), assumptions about causality (van Es et al., 2015) and mechanisms for change in the form of *because* statements underlying the *if-then* logic (Funnell and Rogers, 2011). Assumptions are the theories underpinning a program.

In the Theory of Change thinking, making these assumptions about how change is understood, how it is expected to come about and what is seen as a driver for change explicit is a significant component (Vogel, 2012). As assumptions "represent the values, beliefs, norms and ideological perspectives, both personal and professional, that inform the interpretation that teams and stakeholders bring to bear on a programme" (Vogel, 2012, p.26) they are usually implicit and taken for granted by participants (Clark and Taplin, 2012). They are more of a "gut-feeling". Making them explicit is the most challenging aspect of developing a theory of change and is only possible when challenged through interaction with other people and through critical reflection.

Once assumptions are identified it is important to validate them: "Assumptions should be checked with evidence from research, good practice, or shared professional experience of the actors involved" (van Es et al., 2015, p. 23). The evidence to support assumptions will be different at the various steps of the process, for example the situation analysis will have greater potential to be supported by evidence and data from research while the vision for change will rather be supported by knowledge and experience of the various stakeholders. Throughout the program implementation an evidence base can be build on the cause-relations and why certain things worked using the assumptions made. Critical assumptions which were not tested and evidence for them not collected before the program-start "can become the focus for a learning or (action) research (…)" (van Es et al., 2015, p. 23).

Finding consensus on which of these assumptions then are believed to be true and relevant to the TOC is critical to the process. The necessary activation of (self-reflection) can be a rewarding process and enable innovation and program-adaptation (Vogel, 2012).

At each step of the TOC process it is therefore important to critically reflect on the decisions made and how personal views and possible agendas play a role in it. It starts with asking which initial assumptions support the articulated desired change and follows through until the narrative is written up. If assumptions come up on which no consensus can be found, the group has to go back to the initial stages and adapt the vision of change and strategic objectives.

<u>Pathway of Change</u>

The next step is developing a pathway of change, which is "a projection of the envisaged change process into the future, based on what we know of the current situation and our views and beliefs about how change happens" (van Es et al., 2015, p. 55). It starts with identifying the conditions that have to be met in order to achieve the desired change, while always being aware that these might change over time or others might emerge that could potentially influence the desired change (Eguren, 2011). The conditions can either be identified for each of the strategic areas individually or for the overall change anticipated. Then conditions are grouped to form an outcome. Some outcomes might depend on others, while others might be self-reliant as well as some might appear sequential and others simultaneously (Eguren, 2011). The linkages between the different outcomes have to be articulated in one way or the other. Throughout the process the initial assumptions need to be revisited in case they prove to be unrealistic.

<u>Indicators for Change</u>

Finding indicators for whether or not the desired change has been achieved might be one of the most challenging tasks in the process. Eguren (2011) argues that indicators for change are different than the common indicators found in Logframes as they "relate to the observations of the conditions identified in the Theory of Change and should help understand the degree and how these conditions are occurring in the environment" (Eguren, 2011, p. 32). These indicators should help the implementers understand to what extent they are contributing to the desired change and the achievement of the outcomes defined. Funnell and Rogers (2011) therefore argue that indicators should not be SMART to not distract attention from the actual program theory as do Logframes which focus on completing activities rather than on achievements (ibid., p. 291). SMART indicators are only advised if the target is clear from the outset of the program and such indicators are should be considered in a Monitoring & Evaluation Plan (ibid.).

The last step of the TOC process is articulating a narrative which accompanies the pathway of change diagram.

2.4.4 TOC Product

The TOC process usually leads into some form of visualisation, although the format is not set and can take any form as long as it supports "the process of uncovering and developing the assumptions within the ToC" (Stein and Valters, 2012, p. 6). Most likely the visualisation comes in form of a system map, diagram, flow-chart, set of pathways or picture (van Es, 2015). The visualisation is not expected to be able to depict the whole TOC and should therefore always be accompanied by a narrative.

Although the format of the visualisation and the TOC's narrative is not of great importance, Hivos suggests certain components which should be included (van Es, 2015): the purpose of the visualisation and its audience, the visualisation of key strategies and the visualisation of links between activities and outcomes (assumptions)

The narrative should cover:

- The actors involved in the process
- The desired change/future to be achieved
- A description of the current situation, key actors and factors which contribute to the situation as well as power and gender dynamics
- The outline of the objectives and contributions of the project to the desired change within a specific time-frame as well as the main strategic choices

- A detailed description of the underlying, critical assumptions
- An explanation of the visualisation
- An explanation on how the monitoring, evaluation and learning process is going to be facilitated
- A description on how the TOC is going to be used and adapted during implementation

The narrative could also include a risk assessment and detailed activity schedule as well as a logframe.

Various authors highlight the importance of seeing the TOC as a "living product" which cannot be seen as a "rigid prediction" and has to be revisited and adapted throughout the program (van Es, 2015; Vogel, 2012).

2.4.5 Strengths of the Theory of Change

The Theory of Change's greatest strength lies in the "unpacking of the 'black-boxes' of assumptions" which lie between the input, output and outcome level and define the way change is expected to happen (Valters, 2015). Through making these assumptions explicit, users are encouraged to continuously reflect and critically view their own way of thinking and strategic decision making (Vogel, 2012; Valters, 2015). The process of finding consensus on which assumptions to agree for the program's pathway of change can be very challenging but rewarding in terms of the relationships between different actors involved in the program design (Eguren, 2011).

Furthermore it takes the complexities of the aid sector as a whole as well as the complexities which arise from striving for change into account (van Es, 2015) and encourages a clear focus in programming which will then promote effectiveness (James, 2011). Within this complex context, the Theory of Change can serve as a framework to initiate dynamic exchange between different stakeholders (Vogel, 2012).

As a method as well as a product, it is very flexible and adaptable. It can be used at any stage of programming and gives opportunity to adjust and revise strategies throughout the lifespan of a project (Vogel, 2012). It is therefore often seen as a more realistic tool than the rigid Logframe. Its flexibility also provides a strong focus on organisational learning. The developed pathway of change can be adapted with each lesson learned and the innovation and adaptation to the dynamic context supported (Vogel, 2012; van Es, 2015).

The constant critical questioning of own values and worldviews will lead to personal, social and organisational learning (Vogel, 2012) and some even belief to a learning process within the aid sector:

> "Perhaps the greatest contribution of Theory of Change will lie in helping carve out a space for genuine critical reflection within aid organisations. This may not sound too radical to those outside the industry, but within it, this is an important and pressing need" (Valters, 2015, p.16).

The TOC requires aid organisations to consider the intervention's target groups in great detail and therefore is able to focus on their capacities better. Thus it requires planners to think beyond the immediate project's lifespan and consider the longer term effect on people's lives. It is therefore very much focused on the impact of an intervention (Funnell and Rogers, 2011).

2.4.6   Criticism of the Theory of Change

Although a more and more mainstreamed approach, the Theory of Change is not free of criticism on both the academic and the practitioners' side.

The criticism of relates to the ambitious aim of the Theory of Change to be able to depict complexity and it is argued that there will never be enough evidence to show causality in societal processes (Prinsen and Nijhof, 2015). Organisations applying the Theory of Change seem to imply that change revolves around the program they are implementing and do not see it as a range of interrelated contextual factors of which they are just one part (Valters, 2015). In their review of common concepts of the Theory of Change in development Stein and Valters (2012) also found that key concepts of the theory are not commonly defined and are used interchangeably. The lack of a common understanding of what TOC is, leads to unrealistic expectations of what it could deliver and to a danger of the TOC becoming just another "development 'fuzzword'" (Stein and Valters, 2012). This especially refers to the terms "assumptions", where the understandings range from personal believe systems (Vogel, 2012) to the contextual underpinning of a theory (Clark and Taplin, 2012). The danger arising from this is, that a "broad application of the term 'assumption' could encourage a superficial approach to ToC, rather than a nuanced attempt to engage with the complexity of change processes" (Stein and Valters, 2012, p. 7).

Further the concept of assumptions is in viewed as critical as 1. Deciding which underlying assumptions might be critical to the program is almost impossible, 2. The TOC process requires assumptions to be tested through empirical means, which then by the definition of the word does not make them assumptions anymore. Stein and Valters therefore

recommend a stronger engagement with social science research to define such central terms.

As with any other method, the quality of the Theory of Change and its advantages for programming highly depends on the quality of its adaptation. Critics have noted that the TOC is often times just as the assumptions column in the Logframe (Valters, 2015). TOCs are often based on weak and selective evidence (Valters, 2015) which leads to vague or too generic theories of change (Freer and Lemire, 2019).

A strong criticism of the TOC approach often made is the question of how practical it is in its application for managers. Conducting a TOC process is a very time and resource intense task (Ringhofer and Kohlweg, 2019). The flexibility in program implementation and performance measurement that the TOC demands can be challenging and does not meet the current realities of donor funding and expectations. The alternative ways to measure outcomes and impact are not institutionalized and therefore not promoted and pursued by managers and program staff (Freer and Lemire, 2019).

2.4.7 Best practice Theory of Change

In the early days of the Theory of Change, Kubisch (1997) defined the quality of a TOC through its' plausibility (the logic of the outcomes pathway), feasibility (to which extent the anticipated change can realistically be achieved) and testability (setting of appropriate indicators). In very general terms Vogel (2012) states that the quality of a TOC is very much dependent on the "combination of the quality of the thinking in the theory of change process, how the important concepts are captured and how the framework is used" (ibid., p.3). From the literature reviewed certain quality aspects of a TOC could be carved out:

First and foremost, the quality of a TOC process as well as thinking is determined by the extent to which it happened in a participatory way. Vogel (2012) states that the greater the amount of people who meaningfully contribute, the clearer and more robust the TOC will be. In a similar way, van Es et al. (2015) ask as part of a quality audit for TOCs whether it is clear who contributed to the TOC, in which way, and whether the choice of participants can be justified in terms of their stake in the project, their expertise and their intended ownership in the program.

Another quality criterion is how well the TOC is grounded in context (Vogel, 2012). This relates to whether there is clear evidence that a "rigorous analysis of social, economic, cultural, ecological, and geographical factors in terms of how they influence the issue that the desired change seeks to address" (van Es et al., 2015, p. 83) has taken place. It is also

asking to which extent power and gender dynamics have been considered and made explicit in the TOC (van Es et al., 2015). Furthermore it is looking at whether the project's and organisation's "sphere of influence" has been understood (Vogel, 2012) and therefore also considered the way the project is contributing to other actors' efforts towards generating change.

Derived from the context analysis is the problem statement or issue that the project will want to tackle. The generation of a pathway of change will very much depend on how well the problem is articulated and understood in its "extent, nature, causes and consequences" (Funnell and Rogers, 2011, p. 297). The quality of the problem statement is therefore strongly determines the quality of the TOC.

Various authors point to the quality of the conceptualisation of impact and the pathway to it as quality indicator. Outcomes should be clearly defined stating what key features it should have, with whom the outcome is to be achieved, when and under the keeping of which norms and guidelines it is to be achieved, possibly also where it is to be achieved and why it is this an important linkage between the project's output and the impact (Funnell and Rogers, 2011). The target group should be clearly stated in terms of demographics and gender. A good quality TOC links the strategic objectives with the desired change in a logical and defensible way (van Es et al., 2015; Funnell and Rogers, 2011) and there is good reason to believe that the program activities will actually tackle the problem outlined in the analysis (Funnell and Rogers, 2011). Furthermore, the timeframe set is plausible within the resource framework (Vogel, 2012). The pathway of change in a good TOC should also consider and capture unintended negative and/or positive outcomes (Funnell and Rogers, 2011).

Underlying the pathway of change are the assumptions. The extents to which they are explored and captured determine the quality of the TOC (Vogel, 2012). A good quality TOC clearly articulates assumptions or hypotheses for each step in the change process and also presents them in the narrative as well as visualisation (van Es et al., 2015). The quality of the assumptions later determines the quality of the project's evaluation.

Same is true for the indicators set in the TOC. Outcome indicators should express "the nature of the change, for whom, 'how many', 'how good' (…) and by when" (Vogel, 2012, p.46). Van Es and colleagues (2015) suggest the following criteria for indicators: relevant and specific (in how they indicate in which area the project is expected to make a difference), credible (in how the indicator relates to the intervention), unambiguous (and clearly defined avoiding words such as "access" which could be interpreted in different ways), consistent

(ideally measured over a longer period), sensitive (in that they will quickly show if change is happening) and easy to collect.

2.5 Merging of Theory of Change thinking and the Logframe

There has been an ongoing debate among practitioners on how the TOC relates to the Logframe and whether they relate at all (Prinsen and Nijhof, 2015). The confusion stems partly from the fact that both approaches origin in the same family of methods and the Logframes often employs TOC language (Rnghofer and Kohlweg, 2019). From reviewing the literature it became obvious that there seem to be three general perspectives on the relationship between both approaches:

- Two completely different approaches that almost exist on two different ends of the same scale (see for example Freer and Lemire 2019; Ringhofer and Kohlweg, 2019)
- The Logframe as a logic model is seen as a Theory of Change diagram (see for example Funnel and Rogers, 2011; Dhillon and Vaca, 2018)
- The Logframe could be used as one tool that shows a simplistic version of a TOC (see for example van Es et al., 2015)

TOC thinking and practice is seen as well presentable in a Logframe and even authors that see both approaches as very distinct from each other argue that

> „(…) the integration of logframes and theories of change may serve well to more accurately track program implementation rationale, give more substance and credence to program targets, and promote a more textured and accurate program history" (Freer and Lemire, 2019, p. 348).

The review of the Logframe's weaknesses and the characteristics of a Theory of Change reveal that an integration of the two approaches (or a stronger emphasis on the TOC thinking within a Logframe) would indeed create synergies that would be beneficial for programs' impact planning.

The TOC can highlight the analytical elements which the LFA was originally intended to have but has mostly lost in practice. The pathway of change could be used as an extended tool to the problem and objective tree used as analysis.

Even though both approaches are meant to be participatory, the TOC approach demands it more vehemently than the LFA. It also requires the participants to become aware of power dynamics and relations, which should also be included in the LFA.

Same is true for assumptions underlying the program: the Logframe's assumption-column which is currently used rather weakly could be used in more meaningful way if it would borrow from the TOC approach. Cause-effect relations would then be underpinned by an analytical approach rather than the program's logic being merely descriptive. The "Black-box" between impact and outcome would be made explicit and show the inner workings of a program. Such assumptions could then be tested in evaluation and reveal why a program worked rather than only if it worked.

The greatest criticism of the Logframe of its linear thinking about change could be provided remedy through the TOC's dealing with complexity. The "if-then-logic" could be turned into a "if-then-because-as-long-as" logic (Funnell and Rogers, 2011). Cause-effect relations could be made more visible. The Logframe is very rigid and un-adaptable. The TOC on the other hand demands consent adaptation and re-visitation and therefore can contribute to learning and innovation. Although it is challenging to use a more dynamic approach within the structure of a Logframe, one way of doing so would be to shift monitoring to the linkages and assumptions rather than monitoring on the output level.

Especially in terms of how the Theory of Change is wired towards outputs and impact, a stronger emphasis on it in Logframes could serve to design projects in a more meaningful way. The Logframe has so far rather been used with a focus on activities and therefore not used to its full potential. Evaluations based on Logframes have then been prone to simply measuring the indicators against the targets rather than asking why a specific program worked or did not work, which is the starting point for learning and innovation.

Weaknesses found in the current use of the Logframe Approach	Strengths of a Theory of Change Approach
Linear thinking of change	Complexity is taken into account
Descriptive (what is done)	Explanatory (why it is expected to work)
Static and not adaptable	Adaptable, open to innovation
Weak analysis	Based on a thorough analysis
Little participation	Works only through high participation
Assumptions in terms of uncontrollable factors in the program's context	Assumptions about why change happens is made explicit
Can reinforce power relations	Is aware and cautious of power relations
If- then logic	If-then-because-as-long-as logic
Activity-focused	Outcome-focused

Table 3 LFA in comparison to TOC

2.6   Introduction to the improved Programme Analytical Framework

Based on the literature review the researcher develops a framework for the analysis of WVG's planning documents. This tool serves to analyse WVG's planning documents, but could also serve as a quality assurance tool in the development of Logframes and the narrative they are embedded in.

2.6.1   The Programme Analytical Framework Matrix

According to the best-practice characteristics of TOCs as well as Logframes outlined above, six broad categories were identified for analysis which will be elaborated further below. Each of the categories can be further split into elements which describe the category in more detail. The analysis of the existence of elements within the planning documents is guided by indicators. The following provides an overview of the categories, their elements and indicators:

Categories and Elements	Indicators	Score
1. Participation		**10**
1.1. There are clear indicators that participation of key stakeholder has taken place	- Key stakeholder such as other NGOs and INGOs (joint needs assessments, coordination meetings), national government, private sector organisations, civil society organisations - Full participation in terms of co-determination or cooperation during the project design and planning phase - Participation has partly taken place when involvement or consultation with key stakeholder is mentioned	
1.2. There are clear indicators that participation of members of the project's target group has taken place	- Full participation in terms of co-determination or cooperation during the project design and planning phase - Participation has partly taken place when involvement or consultation with the target group is mentioned	
2. Context analysis and problem statement		**10**
2.1. A thorough analysis of the social context is provided.	- Description of the geographical area of intervention - Culture and relevant cultural practices - Structure of society is developed - Living conditions - Coping mechanisms (negative as well as positive) are specified - An anthropological view on the situation is employed	
2.2. A thorough analysis of the political context is provided.	- Current political environment - Power structures and political system - Relevant laws and policies are mentioned - Security concerns	
2.3. A thorough analysis of the economic context is provided.	- Employment opportunities - Livelihood opportunities and risks - Roots of poverty - Infrastructure - Market and its influence	

2.4.	A thorough analysis of the environmental context is provided.	- Challenges and risks arising from the environmental context - Changes and opportunities arising from the environment (such as livelihood opportunities)
2.5.	External sources are cited for the context analysis	- The analysis does not merely build on experience, but other external sources are cited
2.6.	A thorough analysis of the project's target group is provided.	- Target group is identified and specified in terms of gender and age distribution - Description of the target group's capacities and capabilities is included - Description of the target group's needs
2.7.	A thorough analysis of the key stakeholder and their involvement is provided	- Key stakeholder are identified and their influence (positive and negative) and their interest in the project specified - WVG's relationship to the various stakeholder is identified and the level of interaction indicated
2.8.	A thorough analysis of power and gender dynamics is provided.	- Gender inequalities and power imbalances are identified and specified - Socio-cultural barriers arising from gender inequalities - The program's response to or influence on these inequalities is specified
2.9.	A thorough problem analysis is provided leading to a clearly articulated problem statement	- The extent, nature, causes and consequences of the issue are identified (negative coping mechanisms etc) - Consequences of the problem for the target group are specified - A clear problem statement is articulated
3.	**Conceptualisation of impact**	**10**
3.1.	A clear articulation of the desired change or positive vision of the future is provided.	- A positive vision or the desired change is clearly articulated - The desired change can clearly be linked back to the problem statement - Impact is phrased as a significant or positive, lasting change for the people receiving support
3.2.	There is evidence that the sphere of influence has been understood.	- A justification of why WVG is best suited to intervene in this particular context and problem is provided - It is specified how the intervention complements other organisations involvement - It is specified how the WVG builds on local capital and capacities
3.3.	There is evidence that the project's impact is understood in a wider sector response.	- Links are established to a wider sector response such as the SDGs or a National Strategy - The intervention's impact is phrased as a contribution to a wider change to be achieved
4.	**Pathway of change**	**10**
4.1.	The link between the outcomes and the impact is logical	- Test: If the outcomes are achieved and the assumptions hold true, then the contribution to impact is achieved.
4.2.	The outcomes can clearly be related back to the problem analysis and statement.	- It is clear that the outcomes target the problem - The outcomes are specific in that they are clearly relatable to one specific aspect of the problem

4.3.	Outcomes are clearly defined as operational purpose or the direct benefit for the target group.	- The outcomes are phrased as operational purposes or direct benefit to the target group
4.4.	The link between the outcomes and the outputs is logical.	- Test: If the output is delivered and the assumptions hold true, then the outcome will be achieved. - Outputs are clearly and specifically related to one outcome
4.5.	Outputs are clearly defined as tangible services or products delivered to the target group.	- Outputs are phrased as tangible services or products delivered to the target group
4.6.	The link between the outputs and the activities is logical.	- Test: If the activities are undertaken and the assumptions hold true, then the output is created.
4.7.	Activities are clearly defined as tasks that have to be undertaken to deliver the results.	- The activities are phrased as tasks that have to be undertaken in order to deliver the outputs.
4.8.	The pathway of change builds on baseline data of the target group	- The target group is specified in terms of demographics and gender for each sequence in the pathway of change
4.9.	There is evidence that unintended negative and positive outcomes have been considered.	- Unintended negative effects of the program are mentioned and specified as such - Anticipated positive unintended effects of the program are mentioned
5.	**Hypotheses and Assumptions**	**10**
5.1.	Hypotheses on outcome level are clearly articulated.	- An articulation of why it is expected that a certain outcome will contribute to the impact is found in the narrative
5.2.	Hypotheses on output level are clearly articulated.	- An articulation of why a certain output will lead to a certain outcome is found in the narrative - The hypothesis given is shown to be based on evidence
5.3.	Hypotheses on activity level are clearly articulated	- An articulation of why a certain activity will lead to the output is found in the narrative - On activity level this could be in form of a justification why exactly those activities were chosen to generate the output - Activities are part of a standardised set of approaches or policies
5.4.	External factors outside the management's control which could critically influence the success or failure of the project (assumptions) are articulated.	- External factors which are anticipated to influence the program are clearly identified - Assumptions are clearly linked to a certain sequence in the pathway - The way in which these factors might influence the program is outlined and possible ways to mitigate this influence are shown
6.	**Indicator for change**	**10**
Outcome	6.1. Indicators are relevant and credible	- Indicators are clearly related to the program's outcomes and their relevance to the program clear - Indicators which are dependent on external factors are avoided - It is credible that a change in the indicator is linked (directly or indirectly) to the program.
	6.2. Indicators are specific	- Indicators build on the baseline and are disaggregated by sex and age

		- Indicators are unambiguous as there is no room for interpretation. Terms such as "improved" which are open to interpretation are avoided
	6.3. Indicators are qualitative and quantitative	- Some indicators are quantitative and measurable indicators - Some indicators require the involvement of the target group as they are qualitative
	6.4. Indicators do not include the target, but only state what is to be measured	- The indicators are phrased in a way that shows what will be measured or monitored, not what the target in terms of numbers is.
Output Indicator	6.5. Indicators are relevant and credible	- Indicators are clearly related to the program's outcomes and their relevance to the program clear - Indicators which are dependent on external factors are avoided - It is credible that a change in the indicator is linked (directly or indirectly) to the program.
	6.6. Indicators are specific	- Indicators build on the baseline and are disaggregated by sex and age - Indicators are unambiguous as there is no room for interpretation. Terms such as "improved" which are open to interpretation are avoided
	6.7. Indicators are qualitative and quantitative	- Some indicators are quantitative and measurable indicators - Some indicators require the involvement of the target group as they are qualitative
	6.8. Indicators do not include the target, but only state what is to be measured	- The indicators are phrased in a way that shows what will be measured or monitored, not what the target in terms of numbers is.

Table 4 The Programme Analytical Framework Matrix

2.6.2 Participation

In the TOC approach as well as in the original Logframe Approach, participation plays a key role in project design and planning. According to both approaches a pathway of change cannot be developed, if key stakeholders as well as the target group were not involved in the process. Participation is "a rich concept that means different things to different people in different settings (World Bank, 1996, p.xi), but certain levels of participation can be derived from the literature. Based on the German Bundesministerium für wirtschaftliche Zusammenarbeit (BMZ, 1999), a publication by ALNAP (2009) and by Straßburger and Rieger (2014), the researcher is referring to the following levels of participation:

1. *Information* on the planned project before it happens
2. *Consultation* of the target group/ stakeholder in asking their opinion on a planned intervention or asking for information on a certain topic (e.g. through needs assessments).

3. *Involvement* of the target group/ stakeholder by asking for their opinion and giving them opportunity to give advice and critique a certain planned intervention. On this level the target group might also have the opportunity to be more involved in decision making.

4. *Co-determination* in which the target group/ stakeholder has the opportunity to actively participate in decision making. Here decision-making power is partly transferred to the target group.

5. *Cooperation* with the target group/ stakeholder in which they are actively involved in the needs assessment as well as the project design and have full decision making power in the sense that no intervention is taking place without their full consent.

The researcher identified that in the TOC approach as well as the Logframe approach participation is understood as in terms of the levels four and five. Both the participation of the target group as well as the key stakeholder is important in both approaches.

2.6.3 Context analysis and problem statement

A through context and problem analysis is the first step in both approaches and later leads to the definition of an objective and key strategies to solve the issue identified. The TOC certainly puts a higher emphasis on the context analysis and especially the involvement of the target group in such an analysis. A context analysis should be conducted in terms of the:

1. Social context: The culture and society the target group belongs to, the structure and hierarchy of this society, coping mechanisms this society employs etc. An anthropological view on the situation is employed.

2. Political context: The current political environment, power structures etc. and security concerns.

3. Economic context: The economy and its influence on the target group, employment opportunities, poverty and infrastructure etc.

4. Environmental context: The environment in which the society lives, natural disasters, provision of livelihood opportunities etc.

For the context analysis it is expected that the organisation does not merely rely on experience but is able to quote external sources.

Further in the analysis, the target group and the key stakeholder should be in focus. The target group should not only be analysed in terms of their needs but also their capacities

and capabilities. The stakeholder should be identified in terms of who they are, what makes them important to the planned intervention and what their interest in the intervention is.

Although thematically part of the social analysis, an analysis of gender and power dynamics is especially emphasized in the TOC approach and is therefore used as a separate element in this Framework. An analysis of how gender inequality is taking place and power imbalances related to it affects the target group should be provided.

Following from the above elements of analysis and interwoven into it should be a clear problem analysis, stating the extent, nature, causes and consequences of an issue identified. The problem which has been chosen to be targeted through the intervention should be clearly articulated as the pathway of change should later be clearly seen to relate back to it.

2.6.4   Conceptualisation of impact

Emphasising the conceptualisation of impact as found in the TOC approach, the planning documents will be assessed on how impact is framed and its concept articulated. The anticipated change invoked by the intervention should be clearly articulated and be relatable to the problem statement. It should be shown, that the intervention is understood in a wider context, which can be seen in two elements: an understanding of the sphere of influence as well as a contribution to the wider sector response. Thereby an understanding of the sphere of influence would show if there is a justification on why WVG is best suited to intervene in this specific way and how the intervention complements other organisations influence in the area while building on local capital. The latter would mean that the intervention is clearly understood as a contribution to change and does understand its own limits to bring about change and thereby relates to the wider sector response such as the SDGs.

2.6.5   Pathway of change

The pathway of change in the Logframe Approach is mostly assessed by its logic, the TOC is asking further for an articulation of underlying hypotheses and assumptions, which will be assessed in the fifth category. The fourth category will mostly assess the logic of the change sequence. It therefore assesses whether the outcomes have been defined clearly as operational purpose or direct benefit for the target group and whether it can clearly be related back to the problem statement. The logic is assumed to be correct if the following statement is true: if the outcomes are achieved and the assumptions hold true, then the contribution to impact is achieved. If assumptions are not clearly articulated on the outcome level, then this element can only be assessed in parts. Outputs should be clearly defined as

tangible services or products delivered to the target group. The logic is assessed in the same way as on outcome level. Activities should clearly be defined as tasks that need to be carried out to achieve the input.

There should be evidence that the pathway builds on a baseline and the target group should be specified in terms of gender and age throughout the sequence.

The TOC strongly emphasises negative and positive unintended effects. These should be articulated somewhere within the narrative.

2.6.6   Hypotheses and Assumptions

Both, the TOC as well as the Logframe Approach refer to "Assumptions" differently. But the understanding of what an assumption entails varies not only between the approaches, but also within the literature on the TOC alone. Therefore the researcher suggests a differentiation between "hypothesis" and "assumption". Assumptions will be understood as elements outside the control of the management, which could influence the success or failure (critical) of the intervention.

Hypotheses are understood as the set of believes about how and why change will occur, basically the assumptions about causality. Those hypotheses are the ground on which later the project could be evaluated in terms of why it worked, not so much if it worked. Hypotheses should therefore be articulated on outcome (why a certain outcome will contribute to impact), on output (why a certain output will lead to a certain outcome) and on activity level. Hypotheses on activity level could be articulated in terms of a justification of why out of many different ways to achieve a certain output, exactly this set of activities were chosen.

Assumptions and especially the ones critical to the success or failure of the intervention should be articulated and be relatable to a specific sequence in the pathway of change. This is important as otherwise a risk monitoring is not possible and the articulation of assumptions not useful.

2.6.7   Indicators for change

Much could be written about how indicators to measure whether a certain target was achieved. The TOC and the Logframe's understandings of what role indicators should play and what they should do for the planning tool are very different. The Logframe usually requires indicators to measure achievements, but the TOC could do without measurable indicators as long as the different targets are well defined. In the analysis of the Logframe and the accompanying narrative, the focus will therefore not be on indicators, as it is also

assumed that the indicators would be further elaborated in the project's monitoring and evaluation plan. Usually the quality of indicators would be evaluated in terms of how SMART (specific, measurable, available, relevant and time-bound) they are, but as the TOC approach suggests a different quality in indicators the indicators will be assessed on outcome and output level using the following criteria: relevant and credible, specific (such as disaggregated by sex and unambiguously articulated), quantitative (and measurable) as well as qualitative and they should not include the target, but only state what they are supposed to measure (as the target should be formulated in the monitoring and evaluation plan) (van Es et al., 2015).

3   Methodology

This Chapter outlines how the *Programme Analytical Framework* developed in Chapter 2 is operationalised and the research method as well as the method of data analysis further elaborated.

3.1   Research Method

The *Programme Analytical Framework* was developed through a thorough literature review of concepts such as Impact, the Logframe Approach and the Theory of Change as new state-of-the-art planning approach in the aid sector. It includes academic publications as well as "grey literature" such as reports commissioned by organisations within the aid sector as well as guidelines published by evaluation specialists. Merging the strengths of the TOC and the Logframe, six broader categories were identified which each include further defining elements as well as indicators. The *Programme Analytical Framework* was developed to assess the quality of WVG's current planning documents and be able to give recommendations on how they could be improved.

The planning documents, which include a narrative as well as a Logframe, were selected based on a non-probability and convenience sampling. Some criteria are applied in the selection process:

<u>The planning documents are written in English</u>
WVG is a German NGO and most of its planning documents will be written in German. The author is a German native speaker and would therefore be able to analyse German documents as well. But since many of WVG's local partners work in English as well as for the sake of a more fluent readability of the analysis, only English documents are taken into consideration.

<u>Documents are not older than three years</u>
This selection criterion was established for several reasons: Firstly, in the conception phase of the research there were considerations on conducting key informant interviews with the project design department of WVG. Due to a high staff turn-over within NGOs it was assumed that picking projects that were developed within the last three years, the staff responsible for the design of this project might still be available for an interview. Due to time-constraints the interviews were dropped later on. Secondly, since logframes can be re-adapted within the running of one project-cycle (and is sometimes even required by donors), the timeframe was chosen to ensure that some of those projects are still running and logframes could be adapted according to the recommendations. Thirdly, if the projects

were already closed the timeframe of three years would lead to the assumption that either an evaluation was not conducted too long ago or is just implemented. This would give an option for further research in terms of how the better logframes then preformed as evaluation framework.

<u>Projects are within the area of humanitarian action, resilience and transitional aid</u>
WVG is an NGO that works in the area of humanitarian action, international development as well as advocacy. Since this research was conducted within the field of humanitarian action and the theory of change thinking is relatively new to this field, it seemed more beneficial to focus on projects in humanitarian action as well as projects in the nexus to development aid such as resilience and transitional aid.

<u>A good mix of donors</u>
A good mix of projects funded by private as well as public donors was set as a criterion. As most German donors require a logframe in project proposals, the researcher was interested to see how the logframes differ between the different donors.

These criteria were shared with World Vision Germany and accordingly 14 planning documents shared with the author. Of those one was dropped since it was partly composed in French. Out of the remaining 13 four were chosen for analysis anticipating that saturation might occur then, leaving the option open to continue the analysis with all 13 documents.

3.2 Method of Data Analysis

The *Programme Analytical Framework* is deployed to conduct a systematic document analysis, which Bowen (2009) defines as a "systematic procedure for reviewing or evaluating documents" (ibid., p. 27). This method seemed appropriate as the Logframes are usually embedded in a narrative and both are relevant in answering the research question. Analysing the Logframe only without taking the related narrative into account would surely lead to information missing.

In an initial scan of documents, the author chose two logframes at random to test the *Programme Analytical Framework*. Using these two logframes, categories and elements were tested and adapted and other indicators added to better define key elements. The framework was then applied in a flexible way for each document analysed.

Following the testing of the Framework, the four selected logframes and accompanying narratives were analysed using the *Programme Analytical Framework Matrix*. Within the Framework, a planning document receives points if an element was included in the planning

document using the indicators as measurement. Points were assigned in the following manner:

1 = an element was found in the narrative and/or Logframe

0.5 = an element was partly found in the narrative and/or Logframe

0 = an element was non-existent in the narrative and/or Logframe

Each category had different numbers of elements, which could result in a category being weighted according to the number of elements rather than its importance to the programme. To address this issue, the scores achieved in each category were recalibrated to a maximum score of 10 points for each category. This system was designed on the premise that WVG values each of the categories equally in the programme planning process. Within the *Programme Analytical Framework* one planning document can therefore achieve a full score of 60. Grades were then assigned to certain scores using the following table:

Score	Grade
54,0 – 60,0	1 – Excellent
53,5 – 42,0	2 – Very Good
41,5 – 30,0	3 – Good
29,5 – 18,0	4 – Acceptable
17,5 – 6,0	5 – Unacceptable
5,5 – 0,0	6 – Wholly Unacceptable

Table 5 Grading Scale

4 Presentation of data and analysis of World Vision Germany's planning documents

In this Chapter, WVG's logframes are assessed using the *Programme Analytical Framework Matrix* and conclusions drawn on how World Vision Germany could better incorporate impact and Theory of Change into their planning documents. The following planning documents were analysed:

Project Code[5]	Project Period	Project Title	Donor	Scope of the document
2017 AA Burundi	04.2017–09.2018 (18 months)	Emergency aid to combat malnutrition in the provinces of Cankuzo, Karusi and Rutana, Burundi	German Foreign Office (Deutsches Auswärtige Amt – AA)	· 35 pages narrative · Chapter 2.9. (pp. 14–20) directly related to Logframe · Separate Logframe
2019 WVG Jordan	01.2019–07.2019 (6months)	Early Childhood Development & Education Programme and recreational activities in Azraq Camp Village 6 and Village 3 for Syrian Refugees	World Vision Germany	· 20 pages narrative · Chapter 4 (pp. 5–11) directly related to Logframe · Separate Logframe
2018 ADH Syria	06.2018–11.2018 (6months)	Emergency Support to Agricultural based Livelihoods in South Syria (ESAL)	Aktion Deutschland Hilfe (ADH)	· 15 pages · Page 5 and 6 directly relate to Logframe · Separate Logframe
2017 BMZ Syria	05.2017–04.3029 (24months)	Providing health and WASH services for conflict-affected Syrians in Aleppo governorate	German Federal Ministry for Economic Cooperation and Development (Bundesministerium für wirschaftliche Zusammenarbeit und Entwicklung – BMZ)	· 19 pages · Page 1 overview and Chapter 1.1.3 (page 8) directly relate to the Logframe · Separate Logframe

Table 6 Overview of analysed documents

The findings for each of the four planning documents are summarised below. The detailed analysis as well as the score calculation can be found in the Annexes.

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[5] Author's assignment

4.1 Emergency Support to Agricultural based Livelihoods in South Syria (2018 ADH Syria)

The planning documents related to the project in South Syria and funded by the foundation Aktion Deutschland Hilft (ADH) received an overall score of 28.4 and can therefore be labelled as an *acceptable (4)* Logframe and accompanying narrative (see Annex I – 2018 ADH Syria for the detailed analysis and score calculation).

Emergency Support to Agricultural based Livelihoods in South Syria (2018 ADH Syria)	
Participation	0
Context analysis and problem statement	5
Conceptualisation of impact	8.3
Pathway of change	4.4
Hypotheses and Assumptions	6.3
Indicators for change	4.4
	28.4 – acceptable

1. Participation

The narrative scored very weakly in the category of participation. The term "stakeholder" is mentioned, but there is no elaboration on who those are and in which way they were involved in the project design and planning. In terms of the participation of the **target group, it is merely mentioned that they were informed** about what WV is planning and the purpose of the project but it seems that no real participation in the sense of co-determination or cooperation took place.

2. Context analysis and problem statement

In the category context analysis and problem statement, the narrative scored 5 out of 10 points. The narrative scored well in the analysis of the economic context which is very relevant to the intervention. External sources such as the Humanitarian Needs Overview 2018 and the World Food Programme (WFP) are cited. The problem analysis can be found throughout the narrative and the problem statement is clearly articulated in various passages.

An analysis of the social as well as the political context was only provided in parts. Negative coping strategies employed by the population are mentioned as well as changes in gender roles. The importance of the agricultural sector for the population is also mentioned, but no deeper analysis is provided. The political analysis is narrowed down to the security

situation which does not seem sufficient especially in the Syrian context. Gender and power dynamics are only slightly touched upon. As the power dynamics related to gender inequality are very complex and WV is directly focusing on women and aiming at a shift in gender roles in this intervention, a more thorough analysis would have been required. This is also true in terms of negative unintended effects that might arise from engaging in this area.

There is no analysis provided of the environmental context, the target group as well as the stakeholder. As the intervention focuses on the agricultural sector an analysis of the environmental context would have been useful. **The target group should definitely have been analysed more and as well as an analysis of the stakeholder provided.**

3. Conceptualisation of impact

The narrative as well as the logframe provides an articulation of a desired change for the target group. The articulation of the desired change could be even clearer if **ambiguous terms** such as "resilient to shocks and conflict" were not used, as it is unclear how this would practically look for affected people. The sphere of influence is only elaborated in parts. As the stakeholder analysis is missing, there is no elaboration provided on how WV's sphere of influence differentiates from those of other stakeholders. Why WV decided to intervene in this area is rather defined in terms of previous experience.

The project's impact is phrased as a contribution to the wider sector response and is framed within the humanitarian mandate and the development goal of zero hunger, which shows WVG's understanding of its contribution to a wider sector response.

4. Pathway of change

In this category the logframe scored very weakly with 4.4 out of 10 points. This is mostly due to the fact that one sequence in the intervention logic is completely missing – there are no outcomes defined. The Logframe therefore scored zero in all elements related to the outcomes, except for the outcomes linked to the problem statement where 0.5 points were achieved as it can be assumed that since the impact statement and the outputs clearly link to the problem, the outcomes would have done so too.

The outputs are clearly defined as tangible services or products delivered to the target group, but as the **assumptions in the Logframe are not specified for each of the levels in the sequence**, the intervention logic can only be assessed in parts. Same is true for the

activities which are clearly defined as tasks which have to be performed in order to achieve the outputs.

There is no clear evidence that the pathway of change builds on a baseline data, but as an upcoming baseline survey was hinted and therefore it can be anticipated that the target group will later be specified, this element was in parts achieved.

Negative and positive unintended effects were only partly elaborated. Negative effects are mentioned in terms of how the intervention might affect the market, but no effects are mentioned in terms of gender roles and power dynamics which would have been recommendable as one of the outputs is clearly linked to it.

5. Hypotheses and assumptions

At the outcome level, no hypotheses were articulated as there are no outcomes defined. For two of the four outputs hypotheses in terms of how the outputs will contribute to the impact are articulated within the narrative **although they are not labelled as such**. The activities are clearly linked to the output, so no justification of why these activities were chosen needs to be given. Assumption on external factors outside the management's control are partly articulated, as they can be found in the logframe but are not linked to any specific level in the intervention.

6. Indicators for change

On outcome level no indicators are defined. The output indicators are relevant and credible, do not include the target and are qualitative as well as quantitative. But they are not very specific as they are not disaggregated by sex.

Summary

Overall the logframe and the narrative show weaknesses in the context analysis, but is rather **strong in how the impact is framed within the humanitarian mandate and the overall development sector response**. The pathway of change is lacking a specific outcome. The assumption would have been more useful if they were linked specifically to one output or outcome. The low score is mostly due to the fact that the outcome is missing and therefore scores related to outcome were set at zero.

4.2 Early Childhood Development & Education Programme and recreational activities in Azraq Camp Village 6 and Village 3 for Syrian Refugees (2019 WVG Jordan)

The planning documents related to the project in Jordan and funded through WVG's private donations received an overall score of 47.4 and can therefore be labelled as a *very good (2)* Logframe and accompanying narrative (see Annex II – 2019 WVG Jordan for the detailed analysis and score calculation).

Early Childhood Development & Education Programme and recreational activities in Azraq Camp Village 6 and Village 3 for Syrian Refugees (2019 WVG Jordan)	
Participation	5
Context analysis and problem statement	6.7
Conceptualisation of impact	10
Pathway of change	8.9
Hypotheses and Assumptions	8.8
Indicators for change	8.1
	47.4 – very good

1. Participation

In the category of participation the narrative scored 5 out of 10 points. There is evidence that cooperation and coordination with relevant key-stakeholder has taken place and that relevant government agencies were involved in the project design. But there is no indication that participation of the target group in the program's design phase, although it does seem like the target group will be involved in the monitoring of the program.

2. Context analysis and problem statement

The narrative scored very well with 6.7 out of 10 points. **The narrative shows to be especially strong in the analysis of the target group as well as the stakeholders**: An analysis of the target group is provided in various passages of the narrative as well as specifically in chapter 3. An analysis of the three key stakeholders is provided in chapter 8. A political analysis as such in not provided, but as the program takes place within a camp setting, the analysis provided can be considered as sufficient taking into account relevant policies and political institutions. The problem becomes sufficiently clear throughout the analysis and a clear problem statement is provided. External sources such as UNHCR and UNICEF are referenced.

A social analysis is in parts provided with references made to the harsh living conditions but they are not elaborated further. Although references are made to gender inequality might be an issue, no analysis is specifically provided.

There is no analysis of the environment and economic context provided, but it could be argued that here such an analysis would not contribute to the development of a theory of change.

3. Conceptualisation of impact

In the category of conceptualisation of impact the narrative and logframe scored full points. A clear articulation of the desired change is provided and the sphere of influence is articulated through an elaboration of the collaboration with key-stakeholders and a justification for the intervention in this specific sector is provided. The intervention is also understood as contribution to a wider sector response and framed in an overarching National Strategy.

4. Pathway of change

The logframe scored very well in the pathway of change with 8.9 out of 10 points. The four outcomes are clearly defined as operational purposes or direct benefit for the target group and can clearly be related back to the problem analysis and statement. The link between the outcomes and the impact is logical and assumptions are defined for each of the levels in the sequence. The same scores were achieved on output and activities level. **It is only partly clear whether the pathway builds on a baseline as the target group is only specified in terms of age but not gender**. Unintended positive and negative effects were only partly elaborated with references made to social cohesion measures.

5. Hypotheses and assumption

Hypotheses on outcome as well as output level can be found in the narrative although on both levels the **hypotheses do not seem to have been intentionally thought about**. The hypotheses on output level are evidence based and relevant sources are referenced. A justification for the **activities chosen is given as they are part of a standardised set of approaches and policies**.

6. Indicators for change

The indicators on outcome level are relevant and credible. There are qualitative and quantitative indicators and the target is not included in the indicator. But they are only partly

specific as they are not disaggregated by sex. The same is true for indicators on output level, although there are only quantitative indicators and no qualitative indicators are provided.

Summary

Overall this logframe and narrative are of very high quality. **The stakeholder analysis within the narrative forms the base for a good understanding of WVG's sphere of influence** and a framing of the impact as a contribution to an overall sector response. Critical assumptions should have been related to specific outcomes for better monitoring. Underlying hypotheses are articulated within this narrative, but **a more intentional approach to them by for example labelling them as hypothesis would be recommended**.

4.3 Emergency aid to combat malnutrition in the provinces of Cankuzo, Karusi and Rutana, Burundi (2017 AA Burundi)

The planning documents related to the project in Burundi and funded by the German Foreign Office (Auswärtiges Amt – AA) received an overall score of 42.6 and can therefore be labelled as a *very good (2)* Logframe and accompanying narrative (see Annex III – 2017 AA Burundi for the detailed analysis and score calculation).

Emergency aid to combat malnutrition in the provinces of Cankuzo, Karusi and Rutana, Burundi (2017 AA Burundi)	
Participation	7.5
Context analysis and problem statement	8.9
Conceptualisation of impact	8.3
Pathway of change	6.7
Hypotheses and Assumptions	6.3
Indicators for change	5.0
	42.6 – very good

1. Participation

In this category the narrative scored 7.5 out of 10 as there are indications that coordination and cooperation with local government agencies as well as with organisations within the Cluster System has taken place. The target group was involved through Focus Group Discussions as part of a Needs Assessment, but it is not further specified how they were involved in the actual design of the project. Participation of the target group was therefore partly achieved.

2. Context analysis and problem statement

The narrative scored very well in the context analysis and problem statement. A thorough analysis of the social context is provided (Chapter 2.5) and the political context is analysed in terms of the political environment as well as regarding security issues. The economic context and an environmental context analysis are provided. All four analyses apparently rely on external sources, but also references to WV's extensive experience in the region are made. The different groups within the target group are explicitly mentioned and their needs analysed, **although an analysis of their capacities and capabilities is lacking**. Furthermore, the reference to the different types of IDPs accounts for an analysis of the target group. Throughout the analyses the problem is quite clearly elaborated and an articulation of the problem statement is provided.

Key stakeholders are mentioned in the narrative but there is no specific analysis provided. Same is true for the power and gender dynamics.

3. Conceptualisation of impact

A positive future is articulated, but the impact could have also been defined in terms of its long-term effects of the project. The sphere of influence is only partly articulated as there is no justification provided why WV is intervening in this sector besides references made to experience in the geographical area. **As key stakeholder are also not thoroughly defined and analysed the different spheres of influence and how they interact can only be defined in parts** with few references made in the narrative.

Although a humanitarian project, the impact is linked to development goals and long-term strategies. The impact is therefore framed in a sustainable way as well as a significant effect in the target people's life.

4. Pathway of change

The outcomes are logically linked to the impact as they are more or less the same and therefore the link is evident. The outcome can be clearly related back to the problem statement. But two different aspects of the outcome can be identified, which relate to two different aspects of the problem. Although interlinked, for this project it would have made sense to **split the outcome into two outcomes**: one that refers to the nutritional status and the insufficiency of food supply and another one to the health status in terms of prevention and treatment of diseases as the target groups also vary in both outcomes (see 5.2.) and could then be defined as operational purpose or direct benefit for the target group.

The outputs and the outcome are linked logically but outputs would be more clearly relatable if the outcomes were split. The outputs are clearly defined as tangible services or products.

Outputs and activities are logically linked and the activities are clearly defined as tasks to be performed to reach the outputs.

The target group for the outcome is specified in terms of gender and demographics. But following the intervention logic it becomes clear that on outcome level the target group should also include men, who benefit from the anticipated food security. It is therefore only partly clear whether the pathway builds on a baseline.

Unintended negative and positive effects are partly considered, as the negative effects are elaborated but the positive ones are not.

5. Hypotheses and Assumptions

A hypothesis on output level is partly provided, but it is then not clearly visible in the pathway of change. **It would have made sense to split the outcome into two outcomes according to the hypothesis**. One outcome would then relate to the insufficiency of food supply and the other to the health needs arising out of this and out of the context in which the project is set in (high risk of Malaria outbreak).

On output level hypotheses are only partly provided. For Output 1 and 3 justifications are given as the **activities relate to a standardised strategy** developed by UNICEF as well as the Community-Based Management of Acute Malnutrition Approach. For the activities undertaken under output 2 and 4 no justification is given. On output level SPHERE is referenced to support the hypotheses.

Assumptions as external factors outside the management's control are mentioned, **but it is unclear which ones are critical** and need to be monitored as part of the risk management.

6. Indicators for change

On outcome level the indicators are partly relevant and credible. There is no indicator in terms of the improved access to food supply. Were the outcomes split, this would have been necessary and recommendable. The indicators are not disaggregated by sex and are therefore only partly specific. They quantitative indicators are measurable provided that a baseline is available. All indicators include the target.

On output level the indicators are relevant and credible. They are only partly specific as they are not disaggregated by sex. Also terms such as "improved" and "access" are rather ambiguous. Most indicators are measurable, but there are only quantitative no qualitative indicators. Most of the indicators include the target.

Summary

The main problem with this Logframe seem to be the formulation of the outcome and the fact that it was not split in two and therefore the outputs could not have been clearly linked to one outcome. The indicators were rather weak as well. On the plus side, this Logframe and the narrative in parts included a theory of change and justifications for why certain activities were chosen.

4.4 Providing health and WASH services for conflict-affected Syrians in Aleppo governorate (2017 BMZ Syria)

The planning documents related to the project in Aleppo, Syria and funded by the German Federal Ministry for Economic Cooperation and Development (Bundesministerium für wirschaftliche Zusammenarbeit und Entwicklung – BMZ) received an overall score of 36.5 and can therefore be labelled as a *good (3)* Logframe and accompanying narrative (see Annex IV – 2017 BMZ Syria for the detailed analysis and score calculation).

Providing health and WASH services for conflict-affected Syrians in Aleppo governorate (2017 BMZ Syria)	
Participation	5
Context analysis and problem statement	5
Conceptualisation of impact	6.7
Pathway of change	7.2
Hypotheses and Assumptions	7.5
Indicators for change	5
	36.5 – good

1. Participation

The narrative scored 5 points in the category participation. There are indicators that consultation with local authorities and coordination with other organisations within the Health Cluster has taken place. But **in terms of the participation of the target group in the project design, this project scored weakly**. A Rapid Needs Assessment has taken place, which merely corresponds to the second lowest level of participation and as no other

indications are given, that the target group was involved the project received zero points in this element.

2. Context analysis and problem statement

In the context analysis provided in the narrative, the document overall scored weakly with only 4 out of 10 points. There was very little analysis provided in terms of the social, the political as well as the key stakeholder. The political analysis is provided in terms of security issues, but not in terms of political dynamics and issues arising from these for the intervention. Only one indication is given on page 12 when stating why WV works with the local council rather than the higher levels of authority. Only very few stakeholders and their stake in the project are specifically mentioned (A'zaz health directorate, Al Ahly Hospital and the water authorities). There are references made to other NGOs operating in the same areas as WV, but they and how their projects relate to this intervention are not further specified.

But it **does seem as if a more thorough analysis has taken place in the background** (page 7) and might just not be further elaborated within this planning document.

An analysis of the economic context is provided in an appropriate scope for this project and overall external sources such as the Humanitarian Needs Overview as well as press releases were cited. The problem analysis is clearly articulated in terms of its extent, nature and consequences and a problem statement can be found in the narrative.

The narrative scored very weak in the analysis of the environmental context, the target group and gender and power dynamics. There are no references made about the environmental context at all and the target group is only specified in terms of districts and a breakdown of the demographics and gender of the target group is provided. And although the narrative concludes that the project might lead to a possible reduction of Gender Based Violence (GBV), there is no analysis of the underlying dynamics provided.

3. Conceptualisation of impact

The narrative and the Logframe scored 2 out of 3 points in the conceptualisation of impact. A vision of the positive future anticipated is provided in the Logframe as the overall objective of the project. Furthermore there is evidence in the narrative that **WV understand this project as a contribution to the wider sector's response and the intervention is also framed within the BMZ's overall funding strategy.** But there is no reference made why WV decided to intervene especially in this sector and in this area and how it relates to other

organisations' or interventions' spheres of influence. **This links back to the lack of a stakeholder analysis, which in parts would have answered the question of WV's sphere of influence.**

4. Pathway of change

The pathway of change in the Logframe scored well with 7.2 out of 10 points. Overall the sequence from activities to outputs to outcomes to impact is logically and it is especially helpful that there are two outcomes articulated and specific outputs are linked to them. The logic cannot be completely assessed though as assumptions on each level are missing. The narrative refers to critical assumptions as part of the risk monitoring, but they are not linked to a certain level in the pathway of change. Furthermore the target groups are not specified in terms of gender and age, but as there are references made to a baseline study which is supposed to be conducted and benchmarks set then, this element was still partly archived. A few references to unintended negative outcomes are made, but no possible positive scenarios are outlined and therefore the narrative scored 0.5 here.

5. Hypotheses and Assumptions

Overall the narrative does mention hypotheses on why the project is expected to work, but they are not specifically referenced or label as such. On outcome level a hypothesis can partly be found, but it is very vague and uses phrases such as "absorptive capacity" which should be further elaborated. For both outcomes underlying hypotheses can be found. For the activities no justification is given, why exactly they were chosen, but as they are very clearly derived from the outputs there is also no specific need for a hypotheses.

Critical assumptions are articulated as part of the narrative, but they are not clearly linked to one level within the sequence, which would be useful for risk monitoring.

6. Indicators for change

The indicators in the Logframe scored weakly with 5 out of 10 points. On both outcome as well as output level, the indicators clearly relate to the problem statement and are relevant and credible. But they are not specific in terms of disaggregation by sex and quantitative indicators are missing on both levels. On output level, there is one indicator which needs further elaboration to decide whether it is measurable or not as it refers to the "increase of knowledge". Furthermore **all indicators include a target**, which is not recommendable.

Summary

Overall, the Logframe and narrative show weaknesses in terms of its specification of the target population and their participation in the project design. The stakeholder analysis is not provided and consequently the sphere of influence not articulated. There is also a lack of analysis in terms of gender and power dynamics. This is especially relevant as the reduction of GBV is referenced as a positive effect of the project. Hypotheses are articulated, but could have been better referenced as such. An evaluation of the project could build on these hypotheses. Critical assumptions are given, but they are not included in the Logframe and not referred to specific outcomes or outputs.

The **format of the Logframe is very recommendable as it allows for more outcomes**.

4.5   Summary of findings

Overall the quality of WVG's planning documents is considered to be high:

	2018 ADH Syria	2019 WVG Jordan	2017 AA Burundi	2017 BMZ Syria
Participation	0	5	7.5	5
Context analysis and problem statement	5	6.7	8.9	5
Conceptualisation of impact	8.3	10	8.3	6.7
Pathway of change	4.4	8.9	6.7	7.2
Hypotheses and Assumptions	6.3	8.8	6.3	7.5
Indicators for change	4.4	8.1	5.0	5
	28.4 acceptable	47.4 very good	42.6 very good	36.5 good

Table 7 Summary of Findings

All four planning documents score rather weak in the category of **participation**. Participation of key stakeholders is frequently mentioned but rather in terms of collaboration through Cluster meetings or Needs Assessments than intentional participation in the project design. The target groups seem to have even less been involved in the project design. Participation is only referenced as Focus Group Discussions during Needs Assessments, but not in terms of co-determination and cooperation.

The **context analysis** is usually strong in the analysis of security concerns (which could also be due to donor requirements) but shows a lack in the social context analysis and the

analysis of gender and power dynamics. This is even true for interventions that target women and girls.

The analysis of the target group is mostly weak as was mostly presented in numbers. If an analysis is provided it is very much focused on needs rather than on capacities. It also seems like baseline data on the target group is mostly missing.

A thorough analysis of the key stakeholder is only provided in one instance. The other planning documents at best mentioned key-stakeholder but do not go on to analyse them any further.

The problem, its extent, nature, causes and consequences is clearly analysed in the planning documents and a clear problem statement provided.

Overall the planning documents scored quite well in the **conceptualisation of impact**. The impact is usually well defined as a positive future although in some instances ambiguous or buzz words are used and therefore the impact statement vague. Mostly the planning documents are strong in how impact is understood as a contribution to a wider sector response – be it in framing the impact within the SDGs or an overall national strategy.

A weak stakeholder analysis seems to correlate with how the sphere of influence is understood. Planning documents with stronger stakeholder analysis also showed a more in depth understanding of WVG's sphere of influence.

All four planning documents sore rather well in the **pathway of change**. The sequences mostly link logically, although assumptions are sometimes not linked to the specific level in the sequence. Weaknesses occur when there is only one outcome rather than various linking to different aspects of the problem identified[6] (some donor formats seem to not allow for more than one. Furthermore, it is mostly unclear whether the pathway is built on baseline. This is essential for later measurements whether certain aspects of the impact were achieved.

Overall the planning documents scored surprisingly very well in the category of **hypotheses and assumptions**. In most of the planning documents hypotheses could be found on why change was expected to occur through a certain output or outcome. But in no instance where these hypotheses labelled as such and therefore the intentionality of including them in the planning document could be questioned. The hypotheses on activity are mostly

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[6] Some donor's Logframes seem to better accommodate more than one outcome than others. The BMZ's format seems to be very recommendable.

framed within standardised procedures. Assumptions can be found in any of the four planning documents, although they are not always linked to a certain level in the intervention and are also sometimes not specified in terms of which ones are critical.

In terms of **indicators for change**, the four planning documents scored rather weak. Most indicators included a target and did not purely state what they were going to measure. Furthermore, most indicators were quantitative and qualitative indicators that would require feedback and close interaction with the target group are mostly lacking. In general the indicators chosen are relevant and credible, but rather unspecific. Most indicators are not disaggregated by gender and age and let one assume that there is no baseline available.

5   Conclusion

The shift within the aid sector from a focus on effectiveness of aid towards the positive impact in people's lives has had implications on aid organisations' management systems. The commonly used Logframe Approach has significant weaknesses in terms of its conceptualisation of impact in misguiding the user to strongly focus on the measurement of effectiveness rather than positive change. It has also been shown to be limited in the participation of key-stakeholder as well as the target group and over-emphasising needs of the latter rather than focusing on their capacities to bring about change themselves.

The Theory of Change has been shown to provide the remedy to the logframe's weaknesses and has been found to be a people-centred approach which focuses on the complexity of contexts, the theories underlying a change process and overall a way to "plausibly demonstrate impact" (Stein and Valters, 2012, p. 3).

The review of the logframe's weaknesses and the characteristics of a Theory of Change revealed that a merging of the two approaches and therefore a stronger emphasis on the TOC thinking within a Logframe would indeed create synergies that would be beneficial for planning systems in shifting the focus to the changes taking place in the people's lives through an intervention.

The *Program Analytical Framework* was introduced which inherits strengths from both approaches and it was then operationalised to assess the capacity of WVG's planning systems to contribute to longer term positive change in its areas of intervention. Derived from the findings of the analysis, the following recommendations can be given on how WVG can strengthen its planning system to contribute to longer term positive change in its area of intervention:

1. **Stronger focus on participation**

The planning documents analysed pointed towards a weak participation of the target group as well as other key stakeholder. Participation should be understood as co-determination and cooperation with stakeholder not just their consultation. Without the participation of the target group in the design phase of a project, it is nearly impossible to determine the impact an intervention had on their lives. A strong emphasis on participation also shifts the focus towards the capacities and capabilities of the people and intervention is targeting.

2. People- instead of problem-centred analysis

The current analysis provided by WVG is very problem-centred and a determination of impact can then only be determined in terms of whether the problem has been tackled or not. A more comprehensive analysis of the context that the intervention is found in and specifically the people it wants to reach is recommended. Such an analysis needs to take gender inequalities and power imbalances into account and emphasis capacities over needs. It is recommended to collect robust baseline data during the analysis and assessment phase to make sure that change can later be determined.

3. Better articulation of WVG's sphere of influence

An articulation of the intended impact was found in all analysed planning documents, but it is recommended to be very specific about the intended change and avoid ambiguous buzzwords. In line with a clearer analysis of the key stakeholder, it is recommended to work out WVG's sphere of influence in more detail to later be able to locate impact within WVG's intervention.

4. Intentional articulation of hypotheses

Although hypotheses were found in most of the analysed Logframes, they were never framed as such and therefore their intentionality is questionable. It is very much recommended to be critical and intentional in articulating hypotheses about why the intended impact is expected to come about. Such an articulation can later be the basis for an evaluation and shift the focus away from a mere measurement of indicators.

5. Use an appropriate Logframe format

Some of the analysed planning documents seemed to use Logframe formats which were better suited to accommodate theory of change thinking. It is recommended to use a Logframe format which allows for more than one outcome and allows the indicators to remain statements instead of numerical targets. Also, assumptions should be relatable to one sequence in the pathway of change for better monitoring.

Further research could then set a focus on the evaluation of WVG's programs by using the Theory of Change as a framework. It would be interesting to see, whether projects, were theory of change thinking was clearly employed in the design phase, will also be able to demonstrate impact better and indicate positive as well as negative unintended effects.

In the current aid-context it is important that organisation find tools which help them focus on the people they intend to serve. Putting people back at the centre of aid also means focusing on how interventions have positively and significantly changed their lives and not on whether targets and indicators have been met. This research hopes to support this shift of focus and enable organisations to contribute to longer term, positive impact in people's lives.

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Annex I – 2018 ADH Syria

2018 ADH Syria	Findings in the narrative/ Logframe	Comments	Score
The analysis could have been more thorough especially in terms of the political and social context as well as gender inequalities. The impact is framed within the humanitarian mandate and the overall development sector response. The pathway of change is lacking a specific outcome. The assumption would have been more useful if they were linked specifically to one output or outcome. The low score is mostly due to the fact that the outcome is missing and therefore scores related to outcome were set at zero.			17 / 35
1. Participation			**0**
1.1. There are clear indicators that participation of key stakeholder has taken place	Do no harm is ensured through intense monitoring and evaluation and also thorough coordination with stakeholders. P 7	"Stakeholder" is mentioned but not who exactly they are and in which way they were involved in project design and planning.	0
1.2. There are clear indicators that participation of members of the project's target group has taken place	(…) community leaders and faith leaders to explain what WV is doing and the purpose of ouThe r project, to help them explain to their constituents the importance of the program. P.7	Information as the lowest level equals no participation.	0
2. Context analysis and problem statement			**4.5/9**
2.1. A thorough analysis of the social context is provided. - Culture and relevant cultural practices - Structure of society - Coping mechanisms	(…) negative coping mechanisms, such as selling livestock and productive assets and resorting to child labor, are being used to compensate for the loss of income and to meet basic needs. P.1	Negative coping strategies are mentioned as well as changes in gender roles and the focus of livelihoods rooted in the agricultural sector. The analysis does not seem extensive though.	0.5
2.2. A thorough analysis of the political context is provided. - Including security concerns	(…) security situation in Eastern and south-East Dar'a has remained relatively calm and stable, allowing for operations to develop and broaden potential implementation without interruption. However, in March 2018, Dar'a governorate as a whole witnessed the largest increase in violent since the establishment of the much-vaunted De-escalation agreement in July 2017. P.9	Political analysis is provided only in terms of the security situation. Especially in the Syrian setting a more thorough analysis of the political context would have been useful.	0.5
2.3. A thorough analysis of the economic context is provided.	(…) estimates the war is costing Syria US$275 billion in lost growth opportunities. P. 1 (…) agriculture was the most important economic sector in Syria before the crisis and is still the second largest contributor to the GDP (26%) despite the war. P.1 (…) consequence of the war, there has been a loss in food production of US$16 billion (…) p.1 the availability of dairy products in the market but no available income to	The economic context is analysed and the rapid market assessment referenced at various points.	1

	purchase them as the prices of dairy products were increased by an average of 7 times throughout the years of the Syrian crises. As for barley, all interviewees also responded its availability in the market with an average price of 9 times higher than the price before the Syrian crises. P.4		
2.4. A thorough analysis of the environmental context is provided.	No.	No analysis of the environmental context is provided. As this is a project mostly focused on the agricultural sector such an analysis would have been helpful.	0
2.5. External sources are cited for the context analysis	· FAO · WFP · Humanitarian Needs Overview 2018	External sources are cited.	1
2.6. A thorough analysis of the project's target group is provided.	No.	The target group is not further analyzed. The target groups are only listed on page 11	0
2.7. A thorough analysis of the key stakeholder and their involvement is provided	No.	"Stakeholder" are mentioned but not who exactly they are and in which way they were involved in project design and planning	0
2.8. A thorough analysis of power and gender dynamics is provided.	World Vision recognizes the need to help women earn and control money and also recognizes the constraints women have in conservative environments, particularly with restrictions on travel and the pressure to surrender of income to husbands. P. 2 Since the war started women are increasingly becoming the decision makers and breadwinners of the family. As such, there is a heightened risk of increasing domestic violence due to the conflicting roles of women, the changing economic balance of power between the sexes, and the related feelings of emasculation that men may experience. P.3 Before the crisis, women's economic participation was relatively low due to legal and sociocultural barriers, with only 22 percent of women participating in the legal workforce in 2010. P.7	As gender and gender inequalities is a very complex topic and WV in this intervention is directly targeting women and aiming at a shift in gender roles, a more thorough analysis would have been needed here. This is also true in terms anticipating unintended negative effects related to gender roles for better risk monitoring.	0.5
2.9. A thorough problem analysis is provided (extent, nature, causes and consequences of the issue), leading to a clearly articulated	(…) 13.5 million people, including 5.8 million children, in urgent need of humanitarian assistance. P. 1 (…) consequence of the war, there has been a loss in food production (…) as well as a dramatic reduction in	The problem statement is clear.	1

	problem statement	quantity and quality of food intake. P.1 All of these villages are in districts which have been identified by WFP as severely food insecure-areas where food consumption gaps are high or people are able to marginally meet consumption only through severe livelihood assets depletion. P. 2 After nearly seven years of conflict, millions of people's coping strategies have been exhausted, stretching their resourcefulness to its absolute limit. P. 3		
3.	Conceptualisation of impact			2.5/3
3.1.	A clear articulation of the desired change or positive vision of the future is provided.	WV will empower vulnerable communities in more accessible and stable areas of Syria to rebuild their lives and restore a sense of normalcy, preparing Syrians for a post-conflict context. p.1 Increased resilience to shocks and conflicts for households in Syria through improved food security and livelihood opportunities.	It would be useful to not use ambiguous terms such as "resilient to shocks and conflicts". It is not clear how this would look in a real life scenario for the affected people.	1
3.2.	There is evidence that the sphere of influence has been understood.	The interventions proposed in this concept note will complement World Vision's current livelihoods portfolio by protecting and building productive assets and restoring or creating income generating opportunities for vulnerable populations in Dar'a governorate. P. 3	The sphere of influence is more defined in terms of previous experience and connectedness to other programs rather than in terms of coordination with other actors and expertise in the field.	0.5
3.3.	There is evidence that the project's impact is understood in a wider sector response.	In line with of saving lives and livelihoods and contribute towards zero hunger, WV will be carrying out interventions for Food for Assets and Food for Training. P. 2 The proposed intervention builds on existing work with the United Nation Food and Agriculture Organization (…) p. 2 WV Syria will link short-term relief measures with longer term development interventions. P.8	Impact is framed within the humanitarian mandate **and** the development goal of zero hunger.	1
4.	Pathway of change			4/9
4.1.	The link between the outcomes and the impact is logical	No.	There is no outcome level articulated. Furthermore as the assumptions cannot be linked to one of the levels in the sequence, the logic cannot fully be assessed. See 4.8	0
4.2.	The outcomes can clearly be related back to the problem analysis and	In parts	As the impact and the outputs clearly refer to the problem statement it can	0.5

	statement.		be assumed that so would have the outcome statement.	
4.3.	Outcomes are clearly defined as operational purpose or the direct benefit for the target group.	No.	The outcome is not articulated. The project objective seems to be on impact level.	0
4.4.	The link between the outcomes and the outputs is logical.	No.	See above	0
4.5.	Outputs are clearly defined as tangible services or products delivered to the target group.	O1: Beneficiaries provided with livestock to increase food security and income generation O2: Women farming groups established and supported for income generation activities O3: Barley rooms established for protection of assets and income generation activity O4: Beneficiaries and local communities have access to veterinary services for livestock.	The outputs are clearly defined as tangible services or products delivered to the target.	1
4.6.	The link between the outputs and the activities is logical.	In parts.	The activities link logical to the outputs, but the assumptions cannot be linked to a certain output or activity. Linking them to specific outputs would be more useful to make risk monitoring easier.	0.5
4.7.	Activities are clearly defined as tasks that have to be undertaken to deliver the results.	Yes, e.g. A.1.4: Procurement and distribution of supplemental animal feeding during the first three months of the project to eligible beneficiaries. A2.2.: Select female beneficiaries for participation in farm production groups	Activities are clearly defined as tasks to be performed in order to achieve the outputs.	1
4.8.	The pathway of change builds on baseline data of the target group	No.	The target group is only specified for activities linked to output 2. A baseline survey is prefigured so it can be anticipated that the target group could later be specified.	0.5
4.9.	There is evidence that unintended negative and positive outcomes have been considered.	Roles and relations, social norms, power dynamics within the family, and access to resources and services might affect the existing design of the project given the very sensitive nature of the context and the conflict impact in the community. P.7 Contingency plans for various scenarios are put in place in order to ensure project goals are met. p.8 Local producers lose money due to the	Negative unintended in terms of the shift in gender roles and power relations is missing, although one output is clearly linked to it.	0.5

	project, leading to back-lash against beneficiaries, WV or partner staff. Beneficiaries are unable to sell their produce for a profit. P. 10 Humanitarian assistance sold by the beneficiaries which effects the objective of income generating activities. P. 10			
5. Hypotheses and Assumptions				**2.5/4**
5.1. Hypotheses on outcome level are clearly articulated.	No.	No hypothesis on outcome level can be found in the narrative.		0
5.2. Hypotheses on output level are clearly articulated.	Output 2: By encouraging women to be empowered by taking control of their own livelihoods needs it is expected that the proposed intervention will directly improve women's access to employment and decision-making within the family and the community. The targeting of women for empowerment activities could have a positive impact on their relationship relative to men in the community and sensitize the whole community on the important role women fill in the economic development. P. 3 Output 3: This shows a stressing need to provide dairy products for better food consumption and barley support as a livestock fodder which will cause a reduction of negative food and livelihoods coping mechanisms as the prices of the products are very expensive in comparison to the market before the crises. P. 3	Two hypotheses for outcome 2 and 3 can be found in the narrative.		1
5.3. Hypotheses on activity level are clearly articulated	Yes	The activities here are very clearly linked to the output, a justification is therefore not necessary.		1
5.4. External factors outside the management's control which could critically influence the success or failure of the project (assumptions) are articulated.	In parts.	The assumptions are articulated but not linked to outcomes or outputs specifically.		0.5
6. Indicator for change				**3.5/8**
Outcome indicator		There are no outcome indicators		
6.1. Indicators are relevant and credible	No			0
6.2. Indicators are specific	No			0
6.3. Indicators are qualitative and quantitative	No			0
6.4. Indicators do not include the target, but only state	no			0

what is to be measured			
Output indicator			
6.5. Indicators are relevant and credible	yes		1
6.6. Indicators are specific	In parts.	Indicators are not disaggregated by sex	0.5
6.7. Indicators are qualitative and quantitative	yes		1
6.8. Indicators do not include the target, but only state what is to be measured	yes		1

Score Calculation for 2018 ADH Syria:

2018 ADH Syria	Score	Out of	Percentage	Score out of 10	
1. Participation	0	2	0.00	0.0	
2. Context Analysis and Problem Statement	4.5	9	0.50	5.0	
3. Conceptualisation of impact	2.5	3	0.83	8.3	
4. Pathway of change	4	9	0.44	4.4	
5. Hypothesis and Assumptions	2.5	4	0.63	6.3	
6. Indicators for change	3.5	8	0.44	4.4	
TOTAL	17	35		28.4	4 – Acceptable

Annex II – 2019 WVG Jordan

2019 WVG Jordan	Findings in the narrative/ Logframe	Comments	Score
Overall this logframe has a very high quality. The critical assumptions should have been related to specific outcomes for better monitoring. The underlying hypotheses are there, but have to be looked for.			28/ 35
1. Participation			1/2
1.1. There are clear indicators that participation of key stakeholder has taken place	(…)coordination with relevant coordination bodies including UNHCR, Government of Jordan line ministries including the Ministry of Planning and International Coordination (MOPIC), Ministry of Social Development (MoSD), the Syria Refugee Affairs Directorate (SRAD), and camp stakeholders including residents and community leaders. P. 18 (…) collaboration with the Ministry of Education in Jordan. P.4	There is evidence that cooperation and coordination with relevant key-stakeholder has taken place and that relevant government agencies were involved in the project design.	1
1.2. There are clear indicators that participation of members of the project's target group has taken place	No.	There are no indicators that participation of the target group took place in the program's design phase. There are though indicators, that there will be participation of the target group in the monitoring of the program.	0
2. Context analysis and problem statement			6/9
2.1. A thorough analysis of the social context is provided.	(…) 40,712 Syrian refugees living currently in Azraq camp in the north of Jordan, of whom 59.02% are children. The camp setting can be considered as a protracted emergency that presents a harsh environment for its inhabitants with toxic stress, that severely affects the development of children and has long lasting impact on their lives. P.3	A social analysis is in parts provided with references made to the harsh living conditions, but they are not elaborated further.	0.5
2.2. A thorough analysis of the political context is provided.	(…) the *Jordanian National Human Resource Development (HRD)* Strategy recognizes the importance of ECDE in relation to improving quality and setting the stage for lifelong learning. ECDE in the Kingdom consists of three levels: nursery, KG1 and KG2. The nursery/day care and KG1 levels are handled by the Ministry of Social Affairs and the private sector. The Ministry of Education's primary responsibility is for KG2, including a quality assurance, licensing and oversight role for private KG2 classes.	A political analysis as such is not provided, but as the project is within a camp setting and the analysis refers to policies relevant to the project within the camp setting, the analysis can be considered as sufficient.	1

2.3. A thorough analysis of the economic context is provided.	No.	It could be argued that here an analysis of the economic as well as the environmental context does not contribute to developing a theory of change	0
2.4. A thorough analysis of the environmental context is provided.	No.		0
2.5. External sources are cited for the context analysis	· UNHCR · UNICEF Other publications	Various external sources are referenced.	1
2.6. A thorough analysis of the project's target group is provided.	Chapter 3, p.4+5	The target group is specified and analysed in various passages of the narrative and especially in chapter 3.	1
2.7. A thorough analysis of the key stakeholder and their involvement is provided	Chapter 8, p. 18 UNHCR, the Syrian Refugee Affairs Directorte and UNICEF	An analysis of three key-stakeholders is provided in Chapter 8 on page 18.	1
2.8. A thorough analysis of power and gender dynamics is provided.	Chapter 7, p. 14 references that gender inequality might be an issue as does a remark on page 10 ("…may include children at risk of sexual and gender-based violence"), but no analysis is specifically provided.	There is a reference made that gender inequality might be an issue but no analysis is specifically provided.	0.5
2.9. A thorough problem analysis is provided (extent, nature, causes and consequences of the issue), leading to a clearly articulated problem statement	According to UNICEF, 35% of children aged 6-17 years in Azraq Camp were reported to drop out-of-school in 2017. Children's education is being compromised with large numbers of children either out of school, or struggling to maintain attendance or their motivation to learn while in school, causing them to drop out of school. Expanding coverage and provision of early learning opportunities for children has been identified by UNHCR	The problem becomes clear throughout the narrative and a clear problem statement is provided.	1
3. Conceptualisation of impact			3/3
3.1. A clear articulation of the desired change or positive vision of the future is provided.	Improved early childhood developmental outcomes and mental and physical wellbeing for Syrian refugee children in Azraq Campe a nurturing environment	The impact is clearly articulated.	1
3.2. There is evidence that the sphere of influence has been understood.	World Vision prioritizes ECDE as a foundational investment in the future of children in Jordan. Global studies have shown significant financial and societal returns on investing in ECDE (…) p.6 For Syrian refugees in the camps, ECDE services are in very high demand. In collaboration with the Ministry of Education in Jordan, World Vision	There are justifications for the intervention in this specific sector is provided and the interaction with different stakeholders is elaborated in terms of their sphere of influence.	1

	provides Early Childhood Development & Education (ECDE) services to 3 of the 4 villages in Azraq Camp as well as recreational activities for children in 2 out of 4 villages. P.4 Since 2016, World Vision Jordan is increasing access to quality early childhood education in safe and protective environments for pre-school children by building and managing an Early Childhood Development & Education Centre in Azraq Camp.		
3.3. There is evidence that the project's impact is understood in a wider sector response.	The Ministry of Education in Jordan has endeavoured to integrate the objectives of the National Strategy for Human Resource Development (2016-2025), Jordan Vision 2025 and the 2030 Agenda for Sustainable Development. The objectives within the Plan are based upon the strategic vision and integrated analysis of both the internal and external environment as well as the identification of strengths, weakness and opportunities for improvement related to the six key domains, the first one is ECDED, Access and Equity.p. 4 The project is the only one of its kind in Azraq, considered as formal education with a structured curriculum operating on 6 months cycle in order to meet the high demand for ECDE among refugees and better prepare them for schooling.p.13	The intervention is framed in an overarching National Strategy.	1
4. Pathway of change			**8/9**
4.1. The link between the outcomes and the impact is logical	Yes.	The link between the outcomes and the impact is logical.	1
4.2. The outcomes can clearly be related back to the problem analysis and statement.	Yes.	The outcomes ca clearly be related back to the problem statement.	1
4.3. Outcomes are clearly defined as operational purpose or the direct benefit for the target group.	O1: Increased access to quality Early Childhood Development & Education in Azraq Camp. O2: Caregivers competencies strengthened to support development, well-being and learning of children O3: Community-based networks are functional to support early childhood education and holistic needs of families with children (aged 0-6). O4: Improved access to recreational activities among children and youth (8+) living in the Azraq Camp, Village 3 and Village 6.	The four outcomes are clearly defined as operational purposes or direct benefit for the target group.	1

4.4. The link between the outcomes and the outputs is logical.	yes	The outputs are logically linked to their specific outcomes.	1
4.5. Outputs are clearly defined as tangible services or products delivered to the target group.	yes	The outputs are clearly defined as tangible services.	1
4.6. The link between the outputs and the activities is logical.	yes	The activities are logically linked to the outputs.	1
4.7. Activities are clearly defined as tasks that have to be undertaken to deliver the results.	yes	The tasks are clearly defined as tasks which need to be performed to achieve the outputs.	1
4.8. The pathway of change builds on baseline data of the target group	In parts.	The target group is specified in terms of age, but not in terms of gender	0.5
4.9. There is evidence that unintended negative and positive outcomes have been considered.	WVJ involves a range of social cohesion measures in its activities targeted to reduce the risk of tensions to strengthen social cohesion between Jordanians and Syrians and between Syrians from different backgrounds. p. 14	There is one reference made to an unintended negative effect.	0.5
5. Hypotheses and Assumptions			**3.5/4**
5.1. Hypotheses on outcome level are clearly articulated.	The early years of a child's life are essential to their brain development, requiring special awareness and attention to their overall growth and development: physically, mentally, and emotionally. ECDE is a specialized field of education, it is necessary to ensure that children in the camp setting are receiving proper stimulation and opportunity towards their growth through both their parents' involvement and access to services that promote early learning. p.3	A hypothesis on the outcome level is provided	1
5.2. Hypotheses on output level are clearly articulated.	The positive effects that ECDE programme has can change the development trajectory of children by the time they enter school. A child who is ready for school has less chances of repeating a grade, being placed in special education, or being a school drop-out. p. 5	A hypothesis on output level is provided, although it is not labelled as such and it cannot be sure that it was put down intentionally as such.	1
5.3. Hypotheses on activity level are clearly articulated	ECDE refers to a comprehensive approach to policies and programs for children from birth to eight years of age, their parents and caregivers. The ECDE approach requires programming across multiple sectors, involving healthcare, nutrition, education, and water and environmental sanitation with the purpose of protecting and	The justifications for the activities are given in terms of the activities being part of a standardised set of approaches and policies.	1

	promoting the child's rights to develop to their full cognitive, emotional, social and physical potential. P.12		
5.4. External factors outside the management's control which could critically influence the success or failure of the project (assumptions) are articulated.	Assumptions in the Logframe are rather treated as comments to the Logframe. But a set of critical assumptions can be found in the narrative in Chapter 11, p.20	It would be recommendable to assign the critical assumptions identified to the specific outcomes for better monitoring.	0.5
6. Indicator for change			**6.5/8**
Outcome indicator			
6.1. Indicators are relevant and credible	yes		1
6.2. Indicators are specific	In parts.	Not disaggregated by sex	0.5
6.3. Indicators are qualitative and quantitative	Yes (although only one qualitative indicator on Outcome 2)		1
6.4. Indicators do not include the target, but only state what is to be measured	Yes.		1
Output indicator			
6.5. Indicators are relevant and credible	Yes		1
6.6. Indicators are specific	In parts.	Not disaggregated by sex	0.5
6.7. Indicators are qualitative and quantitative	In parts.	Only quantitative indicators are provided.	0.5
6.8. Indicators do not include the target, but only state what is to be measured	yes		1

Score Calculation for 2019 WVG Jordan:

2019 WVG Jordan	Score	Out of	Percentage	Score out of 10	
1. Participation	1	2	0.50	5.0	
2. Context Analysis and Problem Statement	6	9	0.67	6.7	
3. Conceptualisation of impact	3	3	1.00	10.0	
4. Pathway of change	8	9	0.89	8.9	
5. Hypothesis and Assumptions	3.5	4	0.88	8.8	
6. Indicators for change	6.5	8	0.81	8.1	
TOTAL	28	35		**47.4**	Very Good

Annex III – 2017 AA Burundi

2017 AA Burundi	Findings in the narrative/ Logframe	Comments	Score
Overall comment: The main problem with this Logframe seem to be the formulation of the outcome and the fact that it was not split in two and therefore the outputs could not have been clearly linked to one outcome. The indicators were rather weak as well. On the plus side, this Logframe and the narrative in parts included a theory of change and justifications for why certain activities were chosen.			24,5 / 35
1. Participation			1.5/2
1.1. There are clear indicators that participation of key stakeholder has taken place	"World Vision works closely with government agencies and community-based organizations." P. 3 "(…) as well as for coordination with local actors, including the cluster system of the United Nations." P.4 A joint assessment conducted by the Burundian government and various relief organizations in the eastern provinces (including Cankuzo and Rutana) in October / November 2016 (…) p.9 (…) actively participate in regular Clustermeetings of the Food Security, Food, WASH, Health, Accommodation & NFI, Education and Protection Clusters. P. 14	Coordination and cooperation with local government agencies as well as with organisations within the Cluster system seems to have taken place.	1
1.2. There are clear indicators that participation of members of the project's target group has taken place	All needs surveys included focus group discussions. P.33 "The targeted support of households to improve food security through vouchers was, for example, the preferred modality voiced by the focus group participants in Cankuzo. The cash-for-work component aimed at young people is based on similar interventions that WV Burundi currently implements successfully in two other provinces." p. 33	It seems that participation took place in the needs assessment, but not in the project design.	0.5
2. Context analysis and problem statement			8/9
2.1. A thorough analysis of the social context is provided.	Chapter 2.5. "Description of the situation in the country", page 7 "(…) the country currently counts 111,000 internally displaced persons (IDPs), 80,000 refugees from other countries and 37,000 returnees." P. 7 "Pregnant women and children under the age of 5 are particularly vulnerable, whose health is mostly dependent on publicly available medical care." P. 7 Small households or one-person households (single-living, elderly persons) and women's households alone are exposed to particularly high levels of food insecurity. P.8 (…) that the majority of households (60%) [in Cankuzo] are subsistence	A social analysis is provided is provided mostly within the chapter 2.5.	1

		farming and have low livestock. P.8 Some households have moved to other provinces, mainly Cankuzo, to search for agricultural land. P.9		
2.2.	A thorough analysis of the political context is provided.	Chapter 2.5. "Description of the situation in the country", page 7 "(...) the general political situation in Burundi has worsened visibly since April 2015. The reason for this was the controversial announcement by Burundian President Pierre Nkurunziza to remain in power for a third legislative period. (...) human rights violations continue". (...) many IDPs are not registered for fear of political persecution. P. 7 This is mainly the result of a 72% reduction in Burundian government public funding in the water sector. P. 10	The political situation is analysed in terms of the political environment and security issues.	1
2.3.	A thorough analysis of the economic context is provided.	Chapter 2.5. "Description of the situation in the country", page 7 "As a consequence of the presidential candidate of Pierre Nkurunziza and related violence, the country's main donors have reduced their direct financial support, which has further aggravated the socio-economic situation of the population." P.7 "The restrictions on the freedom of movement of many Burundians resulting from the poor security situation also had a significant impact on economic activities, including the loss of jobs, resulting in reduced access to income and food as well as increased food prices in the markets. International pressure, including EU sanctions, and a group of high-level delegations and human rights monitors have failed to bring the government to a peaceful compromise. The cross-border trade, which once flourished, is currently declining. " p. 7	The economic context is analysed in chapter 2.5	1
2.4.	A thorough analysis of the environmental context is provided.	(...) natural catastrophes have further aggravated the vulnerability of communities. More than four million people were affected by floods, landslides, heavy rainfall and storms in 2015 and the beginning of 2016." P.8 In January 2017, the weather phenomenon La Niña (heavy rainfall and hail) caused major damage to buildings and grain harvesting in the municipalities of Mutumba, Gihogazi, Nyabikere, Bugenyuzi, Shombo, Buhiga and Gitaramuka. Before the flood, a drought lasting from September to	An analysis of the environmental context is provided especially with regards to natural disasters.	1

	December 2016 had caused late sowing for the first agrarian season (season A) and thus led to an insufficient food production in season. P.8 These unusually high prices are mainly due to a devaluation of the Burundian franc. P. 11		
2.5. External sources are cited for the context analysis	· Humanitarian Response Plan · Human Development Index · Integrated Food Security Classification WFP's Comprehensive Food Security, Nutrition and Vulnerability Analysis	Besides citing external sources for the analysis, WVG also refers to its extensive experience in the region (e.g. "World Vision Burundi implemented a "Food for Assets" project (FFA) in 2013-2015 in the province of Rutana as well as a livestock project." P. 5)	1
2.6. A thorough analysis of the project's target group is provided.	In the project area for this project the HNO 2017 declares the following number of people as needy: Cankuzo: 155,000 people (population of 318,000 people) Karusi: 139,000 people (population of 607,000 people) Rutana: 110,000 people (population of 464,000 people). P.9 Among the refugees, there are two types of refugees: People who have fled due to political instability before and after the 2015 elections People who are afraid of a famine due to climate change. P. 10 The main target group for the project is children between the ages of 6 and 59 months in the project areas suffering from moderate or severe acute malnutrition. These children are identified by means of mass screening by recording their health status. A second target group are under-nourished pregnant and lactating women who are supported by supplementary foods. The third target group are households whose children are suffering from severe or moderate malnutrition. These households receive food aid and support for agricultural activities (seeds and tools) to stimulate agricultural production and to produce food on the ground, thus preventing children who have been treated against acute malnutrition from being relapsed. Internally displaced people are another target group of the project: the presence of the IDPs was decisive for the selection of municipalities within the three provinces defined for the project. In municipalities with a high	The different groups within the target group are explicitly mentioned and their needs analysed. Especially the reference to the different types of IDPs accounts for an analysis of the target group.	1

		number of IDPs who have fled there due to the sociopolitical crisis, they are indirectly addressed by the project. Due to the political reasons for their expulsion, direct addressing of IDPs as a target group would lead to increased security risks. p. 21		
2.7.	A thorough analysis of the key stakeholder and their involvement is provided	"To avoid an overlap of the present project proposal and the ongoing project with WFP and to remove any ambiguities, WFP is invited to the start-up workshop of the present project." P.	Key stakeholders are mentioned within the narrative, but there is no analysis provided of their specific stakes in the project.	0.5
2.8.	A thorough analysis of power and gender dynamics is provided.	"Women and girls were at the mercy of a gender-based violence (police searches in the capital and in flight)." P. 7 In the province of Cankuzo, displaced children and pregnant women have no access to necessary food supplements in any of the "Collines" (hills). p. 10 Especially children and pregnant women lack access to dietary supplements. p.10	Gender and issues related to gender inequality are mentioned but there is no specific analysis on the topic.	0.5
2.9.	A thorough problem analysis is provided (extent, nature, causes and consequences of the issue), leading to a clearly articulated problem statement	"19% of the population suffers from severe acute food insecurity." p.7 "20% of households in the provinces of Cankuzo, Karusi and Rutana are at the highest level of IPC (level 4) in terms of chronic food insecurity." P.7 "One in four children under the age of 5 suffers from severe diarrhea, four out of ten children have fever and / or severe respiratory disease. The mortality rate has almost doubled between 2014 and 2015." P. 8 "In the past years, the number of malaria diseases in Burundi has risen rapidly." P.8 "Karusi was identified as the province with the highest nutritional insecurity. According to data from the World Food Program, 46.9% of the 436,443 inhabitants of the province are considered as unsafe." P.8 The province of Cankuzo is characterized by high GAM rates (global acute malnutrition). From the World Food Program (WFP), Cankuzo was classified as the province with the third-highest nutritional insecurity in the country. P.8 In the project regions, the following rates of malnutrition are shown: 8.7% of all children under 5 years suffer from global acute malnutrition (GAM) in Rutana, 7.4% in Karusi and 7.5% in	The problem is clearly analysed and an articulation of a problem statement is provided.	1

Cankuzo province. In addition, 500,000 pregnant and lactating women were identified as requiring food aid. P. 10 Only 63% of the population has year-round access to drinking water and 14% has access to improved sanitation facilities in rural areas. Diarrhea caused 13% of all deaths among children under five years. P.10 57% of all households in Cankuzo and 54% in Karusi and Rutana are affected by severe or moderate food insecurity. About 58% of households have no or little agricultural production resources to cover the food needs of all family members. P. 11		

3. Conceptualisation of impact			**2.5/3**
3.1. A clear articulation of the desired change or positive vision of the future is provided.	Reduction of morbidity and mortality among children under five and pregnant and lactating women affected by the current sociopolitical crisis and natural disasters in Burundi. P. 14	The impact could have also been defined in terms of its long-term effects of the project as also depicted in the framework on page 14: Contribution to the normal development of children and the reduction of illnesses related to malnutrition in adults.	1
3.2. There is evidence that the sphere of influence has been understood.	"To avoid an overlap of the present project proposal and the ongoing project with WFP and to remove any ambiguities, WFP is invited to the start-up workshop of the present project. The target communities of the two projects are different and the focus of the WFP project is mainly on the prevention of chronic malnutrition, while the present will address acute nutritional diet (nutrition in the emergency relief and addressing of acute malnutrition)." P. 5	There is no justification provided why WV is intervening in this sector besides references made to experience in the geographical area. As key stakeholder are also not thoroughly defined and analysed the different spheres of influence and how they interact can only be defined in parts with few references made in the narrative.	0.5
3.3. There is evidence that the project's impact is understood in a wider sector response.	The aim of the project is primarily to help meet the immediate needs of municipalities which are severely affected by food and nutritional insecurity. At the very least, long-term development approaches and principles are taken into account in planning and implementation: The project is geared to national development strategies and plans. These are at the national level, in particular the "Burundi Poverty Reduction Strategy Paper II" (PRSP II) as well as "Communal Development Plans" at municipal level. The project promotes self-organization	Although a humanitarian project, the impact is linked towards development goals and long-term strategies. The impact is therefore framed in a sustainable way as well as a significant effect in the target people's life.	1

	among the inhabitants of the communities concerned, e.g. Through the promotion of committees for the selection of beneficiaries, Community youth work groups and the participation of community committees in CLTSs (see section on adequacy and adequacy under 4.4). p.34		
4. Pathway of change			**6/9**
4.1. The link between the outcomes and the impact is logical	If the health and nutrition status is improved and access to the beneficiaries is guaranteed as well as the provision of support and input by relevant partners, the morbidity and mortality among children under five and pregnant and lactating women will be reduced.	The link is logical since the outcome and the impact statement are more or less the same. The outcome would be clearer if it were split into two (see 4.3.)	1
4.2. The outcomes can clearly be related back to the problem analysis and statement.	Nutrition: In the project regions, the following rates of malnutrition are shown: 8.7% of all children under 5 years suffer from global acute malnutrition (GAM) in Rutana, 7.4% in Karusi and 7.5% in Cankuzo province. In addition, 500,000 pregnant and lactating women were identified as requiring food aid. P. 10 Health: "One in four children under the age of 5 suffers from severe diarrhea, four out of ten children have fever and / or severe respiratory disease. The mortality rate has almost doubled between 2014 and 2015." P. 8	The outcome can be clearly related back to the problem statement. But two different aspects of the outcome can be identified, which relate to two different aspects of the problem.	0.5
4.3. Outcomes are clearly defined as operational purpose or the direct benefit for the target group.	Improved health and nutrition status, especially of children under five and pregnant and lactating women.	Although interlinked, for this project it would have made sense to split the outcome into two outcomes: one that refers to the nutritional status and the insufficiency of food supply and another one to the health status in terms of prevention and treatment of diseases as the target groups also vary in both outcomes (see 5.2.).	0.5
4.4. The link between the outcomes and the outputs is logical.	In parts.	The outputs and the outcome are linked logically, but the outputs would be more clearly relatable if the outcome were split.	0.5
4.5. Outputs are clearly defined as tangible services or products delivered to the target group.	Output 1: Risk of outbreak of waterborne diseases in Rutana and Cankuzo communes is minimized for 12,158 people. Output 2: Improved food security for 6,756 households in Cankuzo and	Output 1: A minimized risk is not a tangible service. Same is true for Output 4. Ouput 2 and 3 are defined in tangible terms.	0.5

	Rutana, who are affected by the food crisis and climate hazards. Output 3: Health and nutritional service delivery for children and mothers at community and health facility level is improved. Output 4: Risk of malaria transmission/outbreak is minimized in the provinces Cankuzo, Rutana and Karusi.	A better formulation for Output 1 might have been: Hygiene improvement measures to prevent outbreaks of waterborne diseases are in place for 12,158 people in Rutana and Cankuzo communes. Output 4: Prevention measures for a Malaria outbreak have been put in place.	
4.6. The link between the outputs and the activities is logical.	Yes.	The outputs and the activities are linked logically.	1
4.7. Activities are clearly defined as tasks that have to be undertaken to deliver the results.	Yes.	The activities are clearly defined as tasks which have to be performed to reach the project's outputs.	1
4.8. The pathway of change builds on baseline data of the target group	In parts.	The target group is specified in terms of age but not gender (except those targets that refer to pregnant and lactating women). But following the intervention logic it becomes clear that on outcome level the target group should also include men, who benefit from the anticipated food security.	0.5
4.9. There is evidence that unintended negative and positive outcomes have been considered.	Chapter 4.3., p. 32: · Outbreak of conflict in the target community · Inability of target population to develop and apply their own positive coping mechanism Increase in the protection needs of IDPs and young people in distributions	Unintended negative effects are anticipated. But no possible positive side-effects are anticipated.	0.5
5. Hypotheses and Assumptions			**2.5/4**
5.1. Hypotheses on outcome level are clearly articulated.	Yes.	Since the impact and the outcome in this project are more or less the same, a specific hypothesis is unnecessary.	1
5.2. Hypotheses on output level are clearly articulated.	"The intervention logic is based on the framework applied in the sphere standards to explain the causes and consequences of malnutrition in mother and child. (…)The framework makes it clear that malnutrition in mother and child is subject to both immediate and deeper and fundamental causes. The present project is an 18-month project of humanitarian aid at the level of direct causes and aims to reduce acute	A hypothesis on output level provided, but it is then not clearly visible in the pathway of change. It would have made sense to split the outcome into two outcomes according to the hypothesis. One outcome would then relate to the insufficiency of food supply and the other to the health	0.5

	malnutrition. By improving food security at the household level, a healthy household environment through WASH interventions, and strengthening health and nutrition services at community level and in health centers, the immediate problems of "insufficient food supply" and "diseases" can be addressed." P.15	needs arising out of this and out of the context in which the project is set in (high risk of Malaria outbreak). SPHERE is referenced to support the hypothesis.	
5.3. Hypotheses on activity level are clearly articulated	The "WASH-in-Nut" strategy developed by UNICEF is used to reduce the risk of the outbreak of water-related diseases. P.15 To improve the supply of nutrients to mothers and children, the Community-Based Management of Acute Malnutrition Model (CMAM) is used in Cankuzo and Rutana, which is recognized worldwide for its successful treatment of acute malnutrition. P. 17	For outcome 1 and 3 justifications are given as the activities relate to a standardised strategy developed by UNICEF as well as the Community-Based Management of Acute Malnutrition Approach. For the activities undertaken under output 2 and 4 no justification is given.	0.5
5.4. External factors outside the management's control which could critically influence the success or failure of the project (assumptions) are articulated.	In parts.	Assumptions are mentioned, but it is unclear which ones are critical and need to be monitored as part of risk management.	0.5
6. Indicator for change			4/ 8
Outcome indicator		There is no indicator in terms of the improved access to food supply. Were the outcomes split, this would have been necessary and recommendable.	
6.1. Indicators are relevant and credible	In parts.	I5: It is unclear, why this indicator was chosen with a focus on children only.	0.5
6.2. Indicators are specific	In parts.	Indicators are not disaggregated by sex.	0.5
6.3. Indicators are qualitative and quantitative	In parts.	Indicators are only quantitative and can only be measured f a baseline is available.	0.5
6.4. Indicators do not include the target, but only state what is to be measured	All indicators state the target.		0
Output indicator			
6.5. Indicators are relevant and credible	Yes.	Indicators are relevant and credible.	1
6.6. Indicators are specific	In parts.	Indicators are not disaggregated by sex. Indicator 1.3. is not specific in what is meant by	0.5

		"improved" Indicator 1.4. is not specific in what is meant by "access.	
6.7. Indicators are qualitative and quantitative	In parts.	Only quantitative indicators and can only be measured f a baseline is available. Unclear how Indicator 1.3. and Indicator 1.4. is measured	0.5
6.8. Indicators do not include the target, but only state what is to be measured	In parts.	Some indicators do not include the target (1.3., 3.2., 3.3., 4.2., 4.3.)	0.5

Score Calculation for 2017 AA Burundi:

2017 AA Burundi	Score	Out of	Percentage	Score out of 10	
1. Participation	1,5	2	0,75	7,5	
2. Context Analysis and Problem Statement	8	9	0,89	8,9	
3. Conceptualisation of impact	2,5	3	0,83	8,3	
4. Pathway of change	6	9	0,67	6,7	
5. Hypothesis and Assumptions	2,5	4	0,63	6,3	
6. Indicators for change	4	8	0,50	5,0	
TOTAL	24,5	35		42,6	Very Good

Annex IV – 2017 BMZ Syria

2017 BMZ Syria	Findings in the narrative/ Logframe	Comments	Score
The Logframe and narrative show weaknesses in terms of its specification of the target population and their participation in the project design. The Stakeholder analysis is not provided and consequently the sphere of influence not articulated. There is also a lack of analysis in terms of gender and power dynamics. This is especially relevant as the reduction of GBV is referenced as a positive effect of the project. Hypotheses are articulated, but could have been better referenced as such. An evaluation of the project could build on these hypotheses. Critical assumptions are given, but they are not included in the Logframe and not referred to specific outcomes or outputs. The format of the Logframe is very recommendable as it allows for more outcomes.			21 / 35
1. Participation			1/2
1.1. There are clear indicators that participation of key stakeholder has taken place	(…) strong relationship with local councils and local health directorate. P.2 WV has a strong relationship with its local council, who recognizes the quality of World Vision's work (…). p.9 (…) pre-existing relationships with communities and authorities. P.9 Consultations were held with the local authorities such as the local council, the water authorities, and the municipality of all targeted areas. P.7 WV works closely with the A'zaz Health Directorate and director of Al Ahly Hospital (…) p.2 (…) an active participant in the Health Cluster and other coordination platforms. P.2 (…) participant of the Gaziantep/Antakya based cluster coordination system. P.13 (…) WV is also an active member of specific sub-groups. P.13 (…) field team members discussions with local council members in February 2017. P. 5 WV has coordinated the humanitarian response across all sectors through the A'zaz task force working group, IMC, Mercy Corp, IRC, OCHA and SNGOs. P.12 (…) a multi-sectoral Rapid Needs Assessment carried out by four NGOs (…) p. 5	Coordination and consultation with local authorities seems to have taken place as well as with organisations within the Cluster system.	1
1.2. There are clear indicators that participation of members of the project's target group has taken place	(…) in Aleppo governorate 63% of women and 71% of men surveyed listed health as a top priority need (p.5) (…) beneficiaries will be engaged to further shape and improve services. Indeed, post-distribution monitoring will be systematic as well as	Apparently a Rapid Needs Assessment has taken place (p.5) but there are no indications given that any other form of participation has taken place in the project design phase.	0

	satisfaction surveys.	There are references made that the target group will participate during implementation.	
2. Context analysis and problem statement			**4.5/9**
2.1. A thorough analysis of the **social context** is provided.	6.3 million IDPs p. 4 (…) they [returning civilians] will need to travel long distances to obtain services such as health and water and sanitation. P. 4 (…) it is increasingly difficult to find medical candidates with adequate training and certification and as such many unqualified medical staff are employed to fill the gaps left by the loss of medical personnel. P.5	Only little analysis of the social context is given.	0.5
2.2. A thorough analysis of the **political context** is provided.	Following fighting in Jarablus and more recently Al Bab (…). p.4 The continuing campaign to retake Ar-Raqqa city is driving up the number of IDPs in the north substantially. P.4 (…) the majority of whom are fleeing the ongoing fighting in Al Bab (…). p.4 Attacks against hospitals, water networks, and electricity plants are commonplace. P.4 Due to the current state in Syria, local councils are the authority in their governing areas (by sub-district) and as such WV coordinates with them for all projects being implemented in the area. Due to the highly politicized nature of higher levels of authority, in order to remain neutral WV operates directly with the local councils. P.12	The political analysis is provided in terms of security issues, not so much in terms of political dynamics and issues arising from these for the intervention. Only one indication is given on page 12 when stating why WV works with the local council rather than the higher levels of authority.	0.5
2.3. A thorough analysis of the **economic context** is provided.	(…) destruction of infrastructure during the fighting has caused a serious lack of essential services in Al Bab and surrounding areas, which will likely continue for months to come (…) p.4 Access to basic services, e.g. in WASH or health, is hampered by this destroyed/ damaged infrastructure, lack of staff and supplies as well as overloaded services. p.4	The analysis of the economic context seems sufficient for the scope of the project.	1
2.4. A thorough analysis of the **environmental context** is provided.	No.	There is no reference made to the environmental context at all.	0
2.5. External sources are cited for the context analysis	· Humanitarian Needs Overview 2017 · Cluster Displacement Snapshot · Humanitarian Response Plan 2017 · Press Release, Physicians Across Continents · Physicians for Human Rights	Various external sources are referenced.	1

2.6. A thorough analysis of the **project's target group** is provided.	(...) targets the populations in A'zaz district, specifically A'zaz, Aghtrin and Suran sub-districts. P.2	The target group is not analysed. They are only specified in terms of the district in which they live and a breakdown of the demographics and gender of the target group is provided on page 7.	0
2.7. A thorough analysis of the **key stakeholder** and their involvement is provided	This target groups were chosen based on analysis of geographical gaps, particularly in the wake of recent displacements, and as such this project intends to address existing gaps and needs not currently covered by the local authorities and NGOs. P.7 A'zaz health directorate and Al Ahly Hospital (...) targeting specifically the water authorities of Aghtrin and Suran, and staff of the Al Ahly Hospital in A'zaz. P. 12 In contrast with other INGOs operating in these same areas (...) p.19	Only few stakeholders and their stake in the project are specifically mentioned (A'zaz health directorate, Al Ahly Hospital and the water authorities). There are references made to other NGOs operating in the same areas as WV, but they and how their projects relate to this intervention are not further specified. But it does seem as if a more thorough analysis has taken place in the background (page 7).	0.5
2.8. A thorough analysis of **power and gender dynamics** is provided.		There is reference to the possible reduction of Gender Based Violence through the intervention, but no analysis is provided.	0
2.9. A thorough **problem analysis** is provided leading to a clearly articulated problem statement	13.5 million people, including four million children, are in urgent need of humanitarian assistance. P.4 Humanitarian needs in Northern Syria, which hosts the largest number of IDPs in the country, remain the most acute, particularly in Aleppo governorate. P.4 (...) adequate WASH services are amongst the highest needs reported in Aghtrin sub-district. Furthermore, the lack of consistent water and sanitation services increases risk of waterborne disease. P.5 In Aleppo governorate, 29% of respondents received water from an unimproved water source. 96% of Aleppo respondents cited the price of water as the main constraint to access. In A'zaz district, the majority of key informants interviewed expressed that many or most people are facing WASH needs, with at least 50% of needs not being covered in the past 30 days. P. 5 Health facilities in Syria continue to be targeted, with an estimated 58% of public hospitals and 49% of public health centers in Northern Syria either partially functioning or completely	The problems in terms of health and WASH are clearly articulated.	1

		closed. P.5 There is no radiology unit in A'zaz, which prevents patients from obtaining appropriate treatment (...). p.5 There no longer remains any facility equipped with a CT scanner that is accessible to those located in eastern Aleppo governorate. P.5		
3.	**Conceptualisation of impact**			**2/3**
3.1.	A clear articulation of the desired change or positive vision of the future is provided.	Reducing the vulnerability of targeted conflict-affected people in the Aleppo governorate through increased access to essential diagnostic services and improvement of their living conditions in regards to WASH.		1
3.2.	There is evidence that the sphere of influence has been understood.	(...) project will contribute towards strengthening the delivery of WASH and Health services (...) p. 8	It is articulated that WV sees its intervention only as a contribution to the solution of a problem. But there is no articulation of why WV chose to intervene in exactly this sector other than having been present in the area since 2014.	0
3.3.	There is evidence that the project's impact is understood in a wider sector response.	The project contributes to the implementation of the UN WASH and Health policies and the strategy for local authorities in opposition controlled (...). P.12 (...) contributes to the OCHA-led 2017 Syria Humanitarian Response Plan. p. 13 (...) it contributes to the HRP's health objective to "provide life-saving and life-sustaining humanitarian health assistance with an emphasis on those most at risk and in need" and its WASH objectives (...). p.13	Impact is framed in how it contributes to the wider sector response. Moreover it is put into relation with the DAC and BMZ's overall strategy.	1
4.	**Pathway of change**			**6.5/ 9**
4.1.	The link between the outcomes and the impact is logical.	In parts.	The outcomes link logically to the impact level, but no assumptions are given and therefore the logical sequence cannot completely be assessed.	0.5
4.2.	The outcomes can clearly be related back to the problem analysis and statement.	Yes.	The outcomes clearly relate to the needs specified in the problem analysis.	1
4.3.	Outcomes are clearly defined as operational purpose or the direct benefit for the target group.	O1: Strengthened diagnostic capacity of the health system in rural Aleppo at the main referral hospital in Al Ahly Hospital O2: The emergency and mid-term WASH needs of the population of Aghtrin and Suran sub-districts in	Yes, both outcomes are defined as operational purposes.	1

		Aleppo governorate are met through improved access to safe drinking water & access to improved sanitation services		
4.4.	The link between the outcomes and the outputs is logical.	In parts.	The outputs link logically to the outcomes, but there are no assumptions given.	0.5
4.5.	Outputs are clearly defined as tangible services or products delivered to the target group.	Yes.	The outputs are clearly defined as services provided to the targeted population.	1
4.6.	The link between the outputs and the activities is logical.	In parts.	The activities very clearly and logically link to the outputs, but no assumptions are specified.	0.5
4.7.	Activities are clearly defined as tasks that have to be undertaken to deliver the results.	Yes.	The activities are clearly articulated as tasks to be performed.	1
4.8.	The pathway of change builds on baseline data of the target group.	In parts.	There is reference made that a baseline study will be conducted to help set benchmarks.	0.5
4.9.	There is evidence that unintended negative and positive outcomes have been considered.	It is possible that conflict may arise amongst communities between areas served by rehabilitated water and sewage systems and those not. P.7 Do no harm policy This project is likely to produce some negative environmental impacts. P.11	Few references to unintended negative outcomes are made. No unintended positive outcomes are articulated.	0.5
5. Hypotheses and Assumptions				3/4
5.1.	Hypotheses on outcome level are clearly articulated.	This program will build and strengthen absorptive capacity at the household, community and institutional levels as the measures will decrease vulnerability and invest in strengthening structures that will help the population after project end to meet their needs. P. 9	The underlying hypothesis on outcome level is articulated although it is not very specific. What exactly is understood as "absorptive capacity" should have been articulated better so that an evaluation could relate to it. There is also no evidence supporting the hypothesis.	0.5
5.2.	Hypotheses on output level are clearly articulated.	Outcome 1: Procuring and installing a CT Scan is expected to improve the quality of primary health care integrated with trauma and chronic disease management services in Al Ahly hospital. P.8 By investing in long-term interventions, such as infrastructure and technology (CT scanner), which will aid in the prevention of common illnesses, costs for the treatment of illness, and indeed pressure on local health systems, will correspondingly	Hypotheses on output level are given although they are not specifically referred to as hypotheses which are in need of testing. But nonetheless they can be found in the narrative and could serve to evaluate as theory of change at the end of project.	1

	decrease. P.10 Outcome 2: (…) water pumps will be solar-powered to reduce reliance on electricity supply and diesel-run generators, thereby reducing vulnerability to supply outages and long-term running costs. P. 9 (…) people will have increased means during the conflict if they are faced with losses. P.9 Training of health staff creates ongoing capacity (…), which will not only benefit the health institutions in the area of implementation, but build resilience at the individual level by improving skills, employability and therefore, livelihoods opportunities. P.9 (…) the focus is on children and youth in schools, as this target group is often more open for new behaviours and can be agents of change in their communities. P.10 (…) physical threats such as Gender Based Violence which women who engage in public spaces face, is reduced. P.10		
5.3. Hypotheses on activity level are clearly articulated.	Yes.	As the activities are very clearly derived from the output, no hypotheses are needed.	1
5.4. External factors outside the management's control which could critically influence the success or failure of the project (assumptions) are articulated.	In parts.	Page 16 provides a table including critical assumptions. They are not linked to any specific outcome or output though.	0.5
6. Indicator for change			**4/8**
Outcome indicator			
6.1. Indicators are relevant and credible	Yes	Indicators clearly relate to the problem as well as the outcomes articulated.	1
6.2. Indicators are specific	In parts.	Indicators are not disaggregated by sex, but they are unambiguous.	0.5
6.3. Indicators are qualitative and quantitative	In parts.	Indicators are quantitative but not qualitative.	0.5
6.4. Indicators do not include the target, but only state what is to be measured	No.	All indicators state the target.	0
Output indicator			
6.5. Indicators are relevant and credible	Yes	All indicators are relevant to the specific outputs.	1

6.6. Indicators are specific	In parts.	Indicators are not disaggregated by sex, but they are unambiguous.	0.5
6.7. Indicators are qualitative and quantitative	In parts.	All indicators are quantitative. Most indicators are measurable, although some refer to the "increased knowledge" of a project's participant, which will need to be specified further in order to be measurable.	0.5
6.8. Indicators do not include the target, but only state what is to be measured	No.	All indicators include the target.	0

Score Calculation for 2017 BMZ Syria:

2017 BMZ Syria	Score	Out of	Percentage	Score out of 10	
1. Participation	1	2	0.50	5.0	
2. Context Analysis and Problem Statement	4.5	9	0.50	5.0	
3. Conceptualisation of impact	2	3	0.67	6.7	
4. Pathway of change	6.5	9	0.72	7.2	
5. Hypothesis and Assumptions	3	4	0.75	7.5	
6. Indicators for change	4	8	0.50	5.0	
TOTAL	21	35		36.4	Good

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Theorie und Praxis