Methodological guidance

This guidance on results and indicators for development has been developed by INTPA Unit D4 “Performance, Results and Evaluation; Internal Communication, Knowledge Management and Collaborative Methods” jointly with INTPA Thematic Units. It is addressed to all colleagues involved in the preparation of Action Documents (ADs) and contract-level documents and offers support to build strong logical frameworks (identifying SMART results and measurable indicators) in line with INTPA priorities. Its main objective is to enhance the quality of INTPA interventions – both in terms of design as well as of monitoring and reporting in the course of implementation.

The need for such a guidance to support the definition of results chains and indicators at formulation stage was identified in the framework of the results reporting process led by INTPA D4, as well as through its systematic review of all action documents presented at Quality Review Meetings, focusing on Logical Frameworks.

This tool draws on a previous Sector Indicator Guidance for programming produced by INTPA D4 in 2013 in collaboration with INTPA Thematic Units, which provided a set of key indicators linked to policy priorities across different sectors, to be used for preparing programming documents (MIPs/NIPs/RIPs).

According to the OECD DAC terminology, the term of **results** covers the **outputs**, **outcomes** and **impact** of a development intervention. These three levels of results can be represented in a chain that is reflected in the structure of the Logical Framework Matrix (Impact - Overall Objective, Outcomes - Specific Objectives, and Outputs).

The present guidance covers the main sectors corresponding to INTPA priorities as reflected in the Global Europe Results Framework, and provides for each sector:

A diagram of the Results chain at sector level, which reflect EU policy priorities and commitments as articulated in key policy documents;

A short narrative explaining the underlying intervention logic;

A set of key indicators associated to each expected Result identified in the Results chain, along with eventual methodological notes and associated data sources.

Operational Managers involved in the preparation of ADs and contract-level documents can use this guidance to develop Logical Framework Matrix at contract level and accompanying narratives of the intervention logic. This guidance should support them to identify the main results (with corresponding indicators) that EU development interventions are expected to achieve in the sector of interest, mainly in terms of Impact - Overall Objective and Outcomes - Specific Objectives, and will also provide examples of relevant outputs.

Methodological note on the results chain

A Results chain is a diagram depicting a causal pathway of change. At sector level, it aims at representing the hierarchy of EU strategic priorities and covers expected results from outputs to outcome and to impact.

How were the Results Chains at sector level from this Guidance reconstructed?

- Key strategic EU policy and programming documents have been analysed to identify EU sector priorities and strategic objectives;
- From these documents and discussion with the thematic experts, the desired impact, expected outcomes and outputs were defined;
- Results statements were then organised by logical levels in the results chain and all possible links between them were indicated.

Components of a Results Chain (OECD DAC definition)

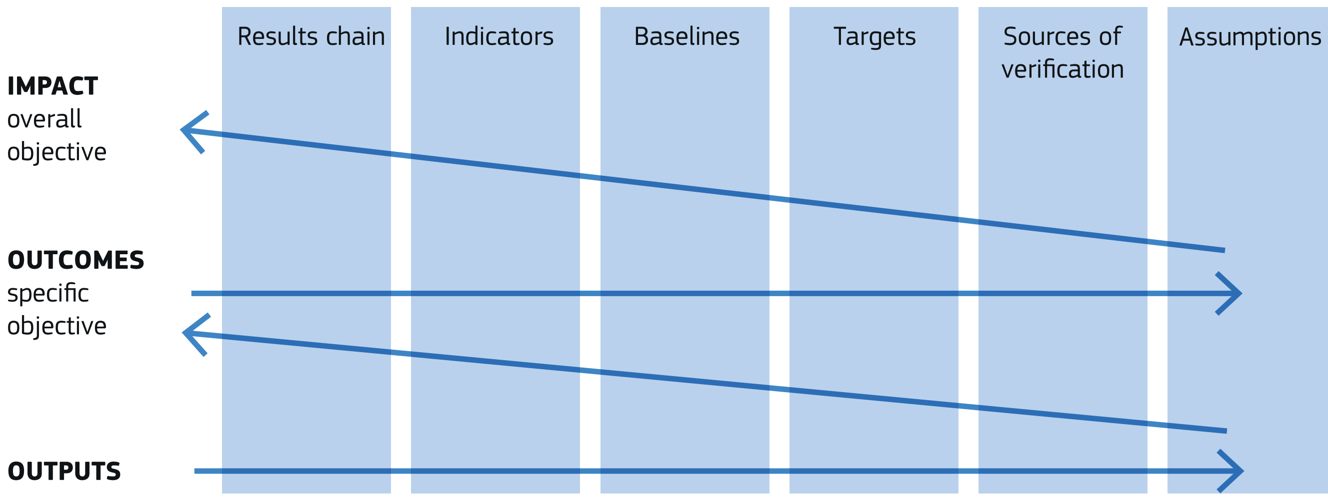
IMPACT overall objective	Long term change to which the action will contribute (at country, regional or sector level)
OUTCOME specific objective	Medium term changes in the behaviour of the target groups **under control of the target group**
OUTPUTS	The goods / servicies directly delivered by the EU-funded intervention - **under control of the intervention**
ACTIVITIES	What the EU-funded intervention does to produce the results (utilisation of resources)
INPUTS	Financial / Human / Physical Resources

Methodological note on the Logical Framework Matrix

The Logical Framework Matrix (or more briefly the Logframe) consists of a table summarising the following key elements:

- The project's hierarchy of expected Results;
- The key external factors critical to the project's success (Assumptions);
- How the project's achievements will be monitored and evaluated. For each expected result, there should be at least one indicator, with a corresponding baseline, target and data source.

The Logframe should be completed at formulation stage and annexed to the Action Document - it is then further specified in the Project Document (at contract level). During implementation, it should be used as a management tool for monitoring and reporting purposes.



Methodological note on the intervention logic

The logic of intervention is a detailed and structured narrative that explains how, in the given context, the outputs will lead to the outcome(s) and the outcome(s) to the expected impact. It describes the "vertical logic" of the Logframe by articulating the first column (Results chain) and the last column (Assumptions).

Methodological note on indicators

An indicator is a variable specifying how performance can be measured and assessed. Indicators form the basis of the intervention's monitoring and evaluation system.
An indicator should:

- be relevant and closely connected to the expected result (so that any change in the value can be associated/correlated to the intervention);
- be clear and specific – what do we measure? (e.g. "Number of…", "Percentage of…", "Status of…");
- be measurable - data is available or can be collected at reasonable cost;
- not include elements of the target (e.g. "increased number of…");
- be disaggregated by sex where applicable (or by age, urban/rural population, or by wealth quintile…).

The mapping of existing indicators included in this guidance was conducted based on various sources suggested by INTPA thematic units. Indicators for which INTPA already has a commitment to report (e.g. MIPs, Policy documents, other) have been prioritised. The selection of other indicators was based on the following criteria:

- Does a clear link exist between the expected result and the proposed indicator? (Relevance)
- Is the indicator clearly defined and measurable?
- Can the indicator be disaggregated?
- Is data for the proposed indicator available from existing sources?
- Is updated data available on a regular basis?

Source of Verification

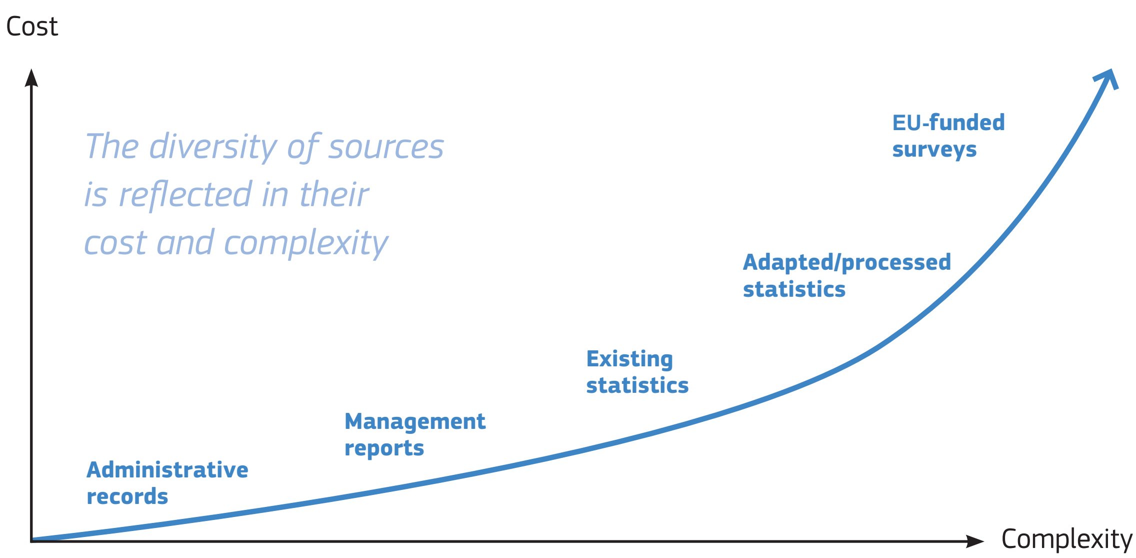
When indicators are being formulated, the Source of Verification (SoV) should also be specified.

The SoV should specify:

- **How** the information will be collected (e.g. from administrative records, special studies, sample surveys, observation, etc.) and/or the available documented source (e.g. progress reports, official statistics, engineering completion certificates etc.);
- **Who** will collect/provide the information (e.g. field workers, contracted survey teams, the district health office, the management team);
- **When / how** regularly it will be provided (e.g. monthly, quarterly, annually, etc.).

Data sources for indicators can be primary or secondary:

- **Primary data** are collected directly by the intervention (usually the implementing partner), and may include administrative, budget, or personnel data; surveys; interviews; and direct observation. The feasibility, complexity and cost effectiveness of primary data collection should be carefully considered.
- **Secondary data** have already been collected outside the intervention and is readily available from other sources. Secondary data should be accessible at no/little cost to the general public or the EU Delegation. Examples of secondary data include Government reports or existing statistics collected by international organisations. While secondary data can be more cost efficient than primary data, their quality, availability and reliability should be carefully considered.



Where possible and appropriate, EU-funded interventions should build on existing systems and sources rather than establish new ones, in order to support institutional strengthening objectives, avoid the creation of parallel information systems, and minimise additional cost. At the local level, civil society organisations, local government agencies and other service delivery agencies are likely to be keeping records that can provide relevant information to implementing partners. At a higher level, the Bureau of Statistics, local research agencies, donor and business reports may be useful sources.