

# **Strategic Thinking by Non-Government Organisations for Sustainability: A Review of the Logical Framework Approach**

by

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## **Declaration**

By submitting this thesis electronically, I declare that the entirety of the work contained therein is my own, original work, that I am the owner of the copyright thereof (unless to the extent explicitly otherwise stated) and that I have not previously in its entirety or in part submitted it for obtaining any qualification.

Date: 4 March 2009

## Acknowledgements

This study has been an ambition of mine for many years, to explore the effectiveness of the valuable work undertaken by the non-profit sector. I wish to thank all those development practitioners who have contributed to this study freely sharing their knowledge and experiences and their interest in the results. I hope that this can be a contribution towards the sector. More especially to Dennis Tavill who started this quest by asking whether social development can ever be measured or justified beyond charity.

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## Abstract

The awareness of the environmental crisis and the impact of rising poverty globally has led to the search for sustainable solutions. The United Nations Millennium Development Goals (MDGs) describe the solution as a secure peaceful world, a healthier environment and a better quality of life for all. Non-governmental organisations (NGOs) are important development actors in realising this goal. They work within civil society and focus on the empowerment of the vulnerable and marginalised through the transfer of skills, resources and power. Their flexibility, commitment to social justice and strong relationships with the community allow NGOs to develop creative responses, developing new models for sustainable solutions.

A weakness of NGOs is the inability to provide reliable evidence of the effect, or impact, of programmes and their contribution towards a better society. Further the reliance on donor funding can change the focus of accountability from the beneficiaries to donors and stakeholders. The study is based in the given reality that NGOs are required to adopt a more strategic outcomes orientated approach to programme and project planning to be able to measure the impact of services to improve the effectiveness of services and prove their added value to society. This is most often done through the Logical Framework Approach (LFA) as a planning model, as many governments, multilateral aid agencies and donors use this model to develop policies and determine funding priorities. This study therefore gives an overview of the literature regarding the principles, benefits and challenges of the LFA from various sources. These are considered within the diverse and complex development context and how the complexity affects the use of this tool in planning, monitoring and evaluation.

The LFA is based on the Management by Objectives model. The LFA provides a relatively objective, systematic and thoughtful guide to project planning which enables organisations to measure their progress in realising goals. The visually accessible log frame explains how the use of resources will contribute towards reaching the goal. It enables the organisation to present their projects to a wider audience increasing its accountability to donors, stakeholders and beneficiaries.

Yet, organisations are often very critical of the use of the Logical Framework Approach as it assumes that society is a stable environment where factors can be manipulated to bring about expected results. It ignores the dynamic, complex and frequently unpredictable nature of society and the non-linear path of social learning and empowerment. Further the model can be misused and exploited to enforce power relationships resulting in the development of inappropriate or irrelevant projects that do not meet the needs of the intended beneficiaries.

The study concludes that, despite all the criticisms, the Logical Framework Approach can be a very useful tool and provides recommendations that will help find a balance between the structured planning process and the participative and creative social learning techniques. NGOs can be focussed

and accountable and still remain more responsive to the needs of communities.

## **Opsomming**

Die bewustheid van die omgewingskrisis en die impak van die wêreldwye toename in armoede het aanleiding gegee tot 'n soeke na volhoubare oplossings. Die millenniumontwikkelingsdoelwitte (MDG's) van die Verenigde Nasies beskryf die oplossing as 'n veilige, vredesame wêrld, 'n gesonder omgewing en beter lewenskwaliteit vir almal. Nie-regeringsorganisasies (NRO's) is belangrike ontwikkelingsrolspelers in die bereiking van hierdie doelwit. Hulle werk binne die burgerlike samelewing en fokus op die bemagtiging van die weerloses en gemarginaliseerde deur die oordrag van vaardighede, hulpbronne en mag. Hulle aanpasbaarheid, verbintenis tot sosiale geregtigheid en goeie verhoudings met die gemeenskap stel NRO's in staat om kreatiewe antwoorde te bied deur nuwe modelle vir volhoubare oplossings te ontwikkel.

'n Leemte van NRO's is die onvermoë om betroubare bewys te lewer van die effek of impak van programme en die bydrae daarvan tot 'n beter samelewing. Verder kan die afhanklikheid van skenkerfondse die fokus van verantwoordbaarheid verskuif van die begunstigdes na die skenkers en belanghebbendes.

Die studie is gebaseer op die gegewe realiteit dat daar van NRO's vereis word om 'n meer strategiese, uitkomsgerigte benadering tot projekbeplanning te volg om sodoende die impak van dienste te meet, die effektiwiteit van dienste te verbeter en die toegevoegde waarde daarvan aan die gemeenskap te bewys. Dit geskied meestal deur middel van die Logiese Raamwerk-beplanningsmetodologie as beplanningsmodel, aangesien baie regerings, multilaterale hulporganisasies en skenkers hierdie model gebruik om beleid te ontwikkel en prioriteite vir befondsing te bepaal. Hierdie studie gee dus 'n oorsig van die literatuur oor die beginsels, voordele en uitdagings van die Logiese Raamwerk-beplannings benadering uit verskillende bronne. Dit word oorweeg binne die diverse en komplekse ontwikkelingskonteks en daar word gekyk na hoe die kompleksiteit die gebruik van hierdie hulpmiddel beïnvloed tydens beplanning, monitering en evaluasie.

Die Logiese Raamwerk-beplanningsmetodologie is gebaseer op die doelwitbestuurmodel. Die Logiese Raamwerk-beplanningsmetodologie bied 'n relatief objektiewe, sistematiese en deurdagte gids vir projekbeplanning wat organisasies in staat stel om die vordering van die verwesenliking van die doelwitte te meet. Die visueel toeganklike matriks dui aan hoe die aanwending van hulpbronne sal bydra tot die bereiking van die doelwitte. Dit stel die organisasie in staat om die projekte vir 'n groter gehoor aan te bied en sodoende die aanspreeklikheid teenoor skenkers, belanghebbendes en begunstigdes te vergroot.

Organisasies staan egter dikwels baie krities teenoor die gebruik van die Logiese Raamwerk-beplanningsmetodologie omdat dit aanvaar word dat die samelewing 'n stabiele omgewing is waar faktore gemanipuleer kan word om die verlangde resultate te verkry. Dit ignoreer die dikwels dinamiese,

komplekse en onvoorspelbare aard van die samelewing en die nie-liniére aard van sosiale leer en bemagtiging.

Die model kan verder ook misbruik en uitgebuit word om magsverhoudings af te dwing wat lei tot die ontwikkeling van onvanpaste of irrelevante projekte wat nie in die behoeftes van die bedoelde begunstigdes voorsien nie. Die studie kom tot die gevolgtrekking dat, ten spyte van die kritiek, die Logiese Raamwerk-beplanningsmetodologie 'n baie nuttige hulpmiddel kan wees en doen aanbevelings wat sal help om 'n balans te vind tussen die gestruktureerde beplanningsproses en deelnemende en kreatiewe sosiale leertegnieke. NRO's kan gefokus en aanspreeklik wees en nogtans meer op die behoeftes van gemeenskappe reageer.

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## List of Abbreviations and acronyms

AusAid	Australian Agency for International Development
CBA	Cost-Benefit Analysis
CBOs	Community Based Organisations
CDD	Community Driven Development
CSOs	Civil Society Organisations
DFID	Department for International Development (UK)
EIA	Environmental Impact Assessment
GTZ	German Technical Cooperation or Deutsche Gesellschaft für Technische Zusammenarbeit
ICCO	Interchurch Organisation for Development Co-operation
IFAD	International Federation for Agricultural Development
LFA	Logical Framework Approach
M&E	Monitoring and evaluation
MDGs	Millennium Development Goals
NGO	Non Governmental Organisation
NPO	Non Profit Organisation
NZODA	New Zealand Official Development Assistance
OVI	Objectively Verifiable Indicators
PAR	Participatory Action Research
PME	Planning, monitoring and evaluation
PPCM	Programme and Project Cycle Management
PRA	Participatory Action Research
RDSP	Rural Development Support Programme
RRA	Rapid Rural Approach
SCBA	Social Cost-Benefit Analysis
SIA	Social Impact Analysis
UN	United Nations
UNEP	United Nations Environmental Programme
UNHCS	United Nations Centre for Human Settlements
US	United States of America
USAID	United Stated Assistance for International Development
ZOPP	Zielorientierte Projektplanung (Objective orientated project planning)

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# Chapter 1: Introduction

## 1.1 Introduction

Poverty has been identified as the greatest threat to the world due to the excessive use of natural resources and the potential for social upheaval that threatens economic prosperity (United Nations Environment Programme, 2002). A vast amount of energy and resources is spent trying to provide sustainable solutions that will increase the quality of life for all. In 1998 it was estimated that there were 98 920 non-profit organisations in South Africa with an estimated expenditure of R9,3 billion (Swilling & Russell in Everatt & Gwagwa, 2005). In 2000, the United Nations announced the Millennium Development Goals (MDGs) as a development framework to achieve the vision of a world with less poverty, a healthier environment and a better quality of life for all by 2015. The Goals have contributed towards a renewed interest and commitment to understanding how to reach poor people effectively, assess their level of poverty, develop appropriate responses and judging social performance (AusAid, 2003<sup>1</sup>; Kline, 2004; NZODA<sup>2</sup>, 1996). There has been a change in donor thinking from the support of ideological motivation to that of concrete measurable and replicable results (ICCO<sup>3</sup>, 2000). Soal (2001:1) states that "*knowing the difference that we (NGOs) are making is ... part of good development practice.*" Pasteur (2001) and Cranford (2003) note that development is a form of social experimentation as it is not possible to predict the final results or the effect on the lives of the intended beneficiaries. Further, as NGOs make use of public funds to provide services, it is suggested that they need to be transparent and accountable by providing compelling evidence of the difference the services have made in the lives of beneficiaries (Copestake 2004, ICCO, 2000 and Shapiro 1996). This study explores the requirements of project planning to be able to evaluate the effect or impact of services on beneficiaries and determine whether it has helped to improve their quality of life. Davis (2001) found that the inability to prove the effect of projects was a weakness. Liebenberg (1996) attributes this to the lack of modern management practices and untrained staff. During the course of the study it was found that donor funding has a significant impact on the operation of NGOs. While donor funding has encouraged the use of modern management techniques, it also poses a threat to the characteristics that make NGOs desirable to donors. The literature review explores theories influencing project planning and tools that can be of assistance to NGOs to show the value of their services.

## 1.2 Research Problem

Social development in South Africa represents a substantial investment of effort and resources dedicated to poverty alleviation and development. Swilling and Russell in Everatt and Gwagwa (2005:21) estimate that in 1998 the non-profit sector had an income of R14 billion and an estimated expenditure of R9,3 billion.

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<sup>1</sup> Australian Agency for International Development

<sup>2</sup> New Zealand Official Development Assistance

<sup>3</sup> Interchurch Organisation for Development Co-operation

Between 1994 and 1997, the Gibbs Review (2005) reported in an article on "The State of Social Giving" that in total individuals contributed an average of R920 million per month. Ritchie (2002:1) refers to research by Business Marketing Intelligence which found that Corporate Social Investment budgets increased from R495 million in 1987 to R2,105 million in 2001. More recently, Roussouw (2007) found that corporate social investment budgets increased from R2,65 billion to R2,88 billion between 2005 and 2006. In 2008 the MacArthur Foundation, based in the United States of America, announced a programme "*The Power of Measuring Social Benefits*". The Foundation has invested US\$35 million on research initiatives that seek to demonstrate the long-term effectiveness and benefits of programmes in terms of improving life chances for individuals and the larger benefit to society after the assistance has ended.

Most NGOs claim to be alleviating poverty by creating an enabling environment for people to realise their potential. However, the rise in poverty raises questions about the effectiveness of these interventions. Moolman (2008) summarises the concerns about the accountability within NGOs as "*A common critique of organisations working in the development sector is that of excess spending, with little result or impact. Whether this is a fair criticism or not, the vast majority of NGOs, CSOs and development agencies are cognisant of the need to demonstrate that they spend wisely on projects and interventions that are making a difference. This is only possible, however, if development work is underpinned by transparent monitoring, evaluation and response mechanisms that support our work. Unfortunately, we do not always get it right.*" One explanation given is that development can be considered to be a social experiment where the final results are based on a hypothesis that certain actions will bring about the desired changes (Cranford, 2003:80; Pasteur, 2001:4; Taylor, Bryan and Goodrich, 1990). There is no assurance that a project or intervention will alleviate the need and indeed such an intervention could in effect worsen the situation by encouraging dependency on the organisation. My experience of NGOs is that of passionate people redressing injustices. Services are often started without understanding the different aspects of the problem or considering different strategies or the consequences of those services. There is concern that NGOs are not able to provide reliable evidence of the effects of projects on alleviating poverty and in turn the value of their services (Davis, 2001; Everatt & Gwagwa, 2005; Liebenberg, 1996; Pratt, Adams & Warren, 2006).

Soal (2001) stresses that knowing and recording the difference that an intervention or organisation makes is a part of good development practice. Babbie and Mouton (2001) propose that monitoring and evaluation reports contain valuable information which should be shared and contribute towards building the body of development knowledge. Garbers (1996) agrees on the need for a strong body of development knowledge to be able to understand the nature of problems and appropriate responses. Bakewell and Garbutt (2005) have found that planning and the implementation of development projects, is limited by the experience and imagination of the project team. Thus current knowledge, enriched by experiences and new insights, improves the success of future projects (Soal, 2001).

ICCO (2000) states that conveying these results shows transparency and improves the credibility of the organisation among donors and stakeholders. It can contribute towards the call for NGOs to be accountable for their services as they are using public resources to help improve the quality of life for the poor and vulnerable (Azarnoff and Seliger, 1982; ICCO, 2000; Soal, 2001).

### **1.3 Purpose of Study**

The original intention of this study was the search for a user friendly means to prove the impact of social projects. This arose from my experience, and frustration, as a fundraiser looking for more than anecdotal evidence to encourage donors to support projects. However, it soon became apparent from the literature that measuring the effects of a project relies on outcomes orientated project planning, linked to a system of monitoring and evaluation also known as planning, monitoring and evaluation (PME). Planning and evaluation (or impact assessment), are also an extension of each other and cannot be considered independently.

Therefore, the study was amended to investigate the requirements in the literature for the planning of sustainable measurable projects, which can thereafter be linked to a system of monitoring and evaluation, which will also be briefly touched on in this study. It has been suggested that adopting a more strategic outcomes approach to planning will increase the effectiveness of programmes and provide evidence to be able to report on the changes in the original problem. There are many strategic planning and management models available that can measure changes. However, the study specifically reviewed the Logical Framework Approach (LFA) as a planning tool, as it is often a requirement for funding from bilateral and multilateral aid agencies (De los Santos, 2007). Funding, essential for service delivery, is a powerful motivator for adopting results orientated planning and modern management principles. The purpose of the study was therefore to review the LFA and its various stages through the eyes of the literature; its uses; abuses, challenges, critiques, as well as possible adaptations of the LFA and the way it is used in support of sustainable development projects, taking note of the postmodern and complex context it is to be used in.

Most of the literature consulted on project planning and the LFA was written in technical language that makes the information inaccessible to community based field workers. The study therefore, in addition to reviewing the LFA, also incorporates a chapter which explains and reviews the different stages of project planning in more detail. The purpose of this chapter is also to help community workers understand and implement the principles into their daily practice, but also to address some of the challenges and critiques from the literature in relation to this. During the course of research I developed a schedule of questions, based on the literature, to guide NGOs through the strategic planning process (Annexure 1). The results of this study will be shared with project managers and community workers with the purpose of helping them to develop and implement systems for effective measurable services, but keeping alive a healthy critical and adaptive learning attitude. The study therefore also investigated possible adaptations to the LFA to make it more responsive to the needs of development organisations.

## 1.4 Methodology

The study is based on a literature review of project planning as it relates to the work of grassroots NGOs, with specific reference to the Logical Framework Approach (LFA). This is an accepted form of research and Sleep and Clark (1999:306) describe the literature review as “a comprehensive appraisal of published and unpublished literature based on a broad range of research traditions and insights from clinical experience”.

Russell (2006) notes that this enables information to be drawn from a wider range of resources, bridging related areas into a unified statement about the research problem. Cooper (2003) refers to three different types of literature review, the integration of research, a critical analysis of existing research and the identification of issues central to a field. Each of the types of literature review can be used to create a context for a research question or stimulate future research by identifying gaps in information (Russell, 2006) and addressing methodologies that might have prevented progress (Cooper, 2003)

As an accepted research methodology, the literature review must meet the same academic requirements of primary research (Cooper, 2003; Draucker, 1999). According Sleep & Clark (1999:304), as with primary research, the literature review is based on a well defined research question, a clearly defined search of literature and the use of explicit criteria for the selection of papers and the critical appraisal of the quality of research evidence. Russell (2006) recommends that the literature review should be constructed in the five stages of problem formulation, data collection or literature search, evaluation of data, interpretation and presentation of results. Further, Russell (2006:2) notes that the broadest conceptual definition of the research topic helps to ensure the validity of the review. Sleep and Clark (1999:306) add that the comprehensiveness of the review adds to the reliability as the defined parameters helps to reduce the risk of author bias. Sleep and Clark (1999:309) recommend that the researcher needs an understanding of the diverse range of methodologies and methods of data collection and analysis to be able to make acceptable comparisons between different studies.

Sleep and Clark (1999:309) find that as the volume of research increases, literature reviews become more important as invaluable resources helping professionals remain current with new developments. The evaluation of the comparisons yields new insights that deepen our understanding of the problem, enrich the findings and guide future research (Draucker, 1999:371; Sleep & Clark, 1999). The information from the literature review can be used to create an estimate on the effect of an intervention or compare the effectiveness of alternative strategies, increasing the potential for success. This is then used to inform decision-making and promote best practice (Sleep & Clark, 1999).

As a first step in this study, valuable information was found in the funding guidelines of donors. It was interesting to find that donor organisations such

as WK Kellogg Foundation (2005) and Swedish International Development Co-operation Agency (Bakewell & Garbutt, 2005) are also investigating the problems and challenges surrounding the use of the approach. In the course of the research I found the Monitoring and Evaluation News web site, a news service focusing on developments in monitoring and evaluation methods relevant to development programmes with social development objectives ([www.mande.co.uk](http://www.mande.co.uk)). The web site provided access to valuable articles and links, to research organisations, which provided critical comment on the use and misuse of the Logical Framework Approach. The literature review was supplemented by discussions with development practitioners and staff from local NGOs. These discussions helped to provide a context for the use of the principles in daily practice and these insights guided the recommendations for implementation.

## **1.5 Key Concepts**

A strategic approach to project planning depends on planners understanding of the concepts of development, planning, the project management cycle, participation and NGOs. This section provides a brief explanation of the different concepts to create a context for the study.

### **1.5.1 Development**

The Concise Oxford Dictionary (1982:262) defines development as “*a gradual unfolding and state of advancement*”. ICCO (2000:12) describes development as “*a commitment to the advancement and emancipation of the poor in social, cultural, economic and political terms and to development marked by equity and freedom*”. NZODA (1996) sees development as change and how people organise themselves and use the available resources to improve their well being. Taylor and Soal (2003:1) expand this concept describing the purpose of development as “*to apply resources through processes that transform relationships in society*” and “*to ensure that those excluded and at the margins gain access to and control over decisions and resources that directly affect their lives.*” Babbie and Mouton (2001) suggest that development is an educational process where people gain awareness, skills and confidence. Chambers (1997) and Miranda and Hordjik (2001) propose that development enables people to become empowered to question their situation, negotiate a common understanding, create a shared vision and unite local efforts to respond appropriately.

The adoption of the Millennium Development Goals (MDGs) in 2000 has provided a vision of a secure, peaceful world with less poverty, a healthier environment and a better quality of life for all by 2015 (United Nations, 2007). It is a development framework of eight goals that has focused international efforts to work coherently towards a common end through people centred, time bound, measurable and achievable objectives that can measure progress (United Nations, 2007). ICCO (2000) has found that this has influenced development initiatives to become outcomes orientated with an emphasis on the quantitative impact and contribution towards the actualisation of the MDGs.

However, what should also be noted are the criticisms against the concept of development, especially where development is equated with economic growth, instrumental rationality (service delivery), modernisation along a predetermined path and westernisation (Nederveen Pieterse, 1998; Allmendinger, 2002).

### **Box 1: Millennium Development Goals**

(Source: United Nations, 2007)

- |        |  |
|--------|--|
| (i)    | eradicate poverty and extreme hunger         |
| (ii)   | achieve universal primary education          |
| (iii)  | promote gender equality and empower women    |
| (iv)   | reduce child mortality                       |
| (v)    | improve maternal health                      |
| (vi)   | combat HIV/AIDS, malaria and other diseases  |
| (vii)  | ensure environmental sustainability          |
| (viii) | develop a global partnership for development |

#### **1.5.2 Planning**

Claassen (cited in Muller, 2008:1) defines planning as “*a predetermined course of action to achieve a specified goal*”. Muller (2008) continues that at a professional level it is a general activity or process in an area of expertise or field of knowledge relating to the improvement of the condition of life of humans. The Community Chest of the Western Cape (2004:4) defines planning as “*the process of making decisions about the future*” to look beyond the normal everyday tasks and problems. York (1982:12) summarises the elements of planning as being “*goal directed future-orientated and continuous process as circumstances change. [Planning] is an essential part of decision making to achieve the required change through optimal means.*”

From a human settlement perspective various authors, such as Holston (1988), Carley and Christie (2000); Kok and Gelderbloem (1994) and Porter, Phillips and Lassar (1998), planning is defined as a concrete activity concerned with the creation and management of living spaces that meet the needs of communities, optimise functions and promote environmental beauty. Oelofse (2003), De Souza (2003) and Daniels (2001) place the emphasis on creating sustainable spaces which improves the quality of life for all, where residents can exploit opportunities to improve their circumstances, secure independent lives and maximise their potential in harmony with the environment. Muller (2008) states that development planning has been described as a way of promoting the economic and social advancement of less developed nations.

#### **1.5.3 Strategic Planning**

Muller (2008) describes a strategic approach as being concerned with the future, prioritising the most important aspects of a problem, rather than trying to address all problems comprehensively. According to Wikipedia (2008) “*Strategic planning is an organisation’s process of defining its strategy, or direction, and making decisions on allocating its resources to pursue this strategy, including its capital and people*”. Community Chest (2004:4)

describes strategic planning as being concerned with the organisation as a whole and what must be done to reach the organisational goals. This is used to analyse the environment to establish the impact on the organisation, defining the mission and long term goals, to define the services, developing quantified objectives and formulating strategies and procedures to reach the goals. Wikipedia (2008) refers to the different business analysis techniques that can be used in strategic planning as the “*SWOT analysis (Strengths, Weaknesses, Opportunities, and Threats), PEST analysis (Political, Economic, Social, and Technological analysis) and the STEER analysis involving Socio-cultural, Technological, Economic, Ecological, and Regulatory factors*”.

#### **1.5.4 Operational Planning**

Community Chest (2004:4) defines operational planning as “*the process of developing detailed short term decisions concerning what is to be done, who is to do it and how it is to be done.*”

#### **1.5.5 Logic Models**

Logic models are a theory of change where “*a linear mode of inputs cause a set of predictable outcomes*” (Bakewell and Garbutt, 2005:19). They follow the modern school of rational planning based on cause and effect and it is assumed that target behaviours can be defined in discrete concepts for further observation (Cranford, 2003; Harley, 2005). It helps to bring purpose, clarity, direction and accountability into project management by communicating the “*flow of logic*” between the key elements of a project and describing the effectiveness of an initiative (Bakewell & Garbutt, 2005: 2; Butcher, 2001:51; Hamilton & Bronte-Tinkew, 2007:3; Harley, 2005:27; McCawley, undated:1). The project design is reflected in diagrams or flow charts (Hamilton & Bronte-Tinkew, 2007:1; WK Kellogg, 2005). The LFA is the dominant tool used by the international development community (Butcher, 2001:51) and is discussed further in Chapter 4. However, it should also be noted that rational planning models like these can also be modified to address criticisms from various perspectives and can even be combined with other methodologies to better adapt to complexity, uncertainty, unequal power relationships and diversity, as this study will propose in later chapters.

#### **1.5.6 Log frames**

The log frame is a 4x4 matrix used by the LFA to present the different elements of the complex planning processes. It should be noted that the “*log frame is simply a tool for communication*” (Dearden and Kowalski, 2003: 502). It is not the planning process itself, but only provides a simplified, visual representation (a snap shot) of how a project is expected to work, what it is going to achieve and how it will be measure progress and results (AusAid, 2003; Dearden and Kowalski, 2003; Hamilton & Bronte-Tinkew, 2007:1; Pasteur, 2001:2). The columns provide the project narrative and the vertical logic of the relationship between the goal, purpose, objectives, outputs, activities and inputs (ICCO, 2000; IFAD<sup>4</sup>, 2007; Shapiro, 1996). The rows provide the horizontal logic of measuring change and identifying the evidence

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<sup>4</sup> International Federation for Agricultural Development

needed to verify progress (ICCO, 2000; NZODA, 1996; RDSP<sup>5</sup>, 2003; Shapiro, 1996). This information is used in monitoring and evaluating the project. Figure 3 in Chapter 4 illustrates a log frame.

### **1.5.7 Intervention**

Azarnoff and Seliger (1982) describes a social problem is a recognised set of defects in the human and social condition such as poverty, inequity or vulnerability. NZODA (1996) describes interventions as a purposeful, organised response to remedy the social problems and improve the quality of life of targeted beneficiaries. ICCO (2000) notes that this applies to all aspects of life: social, cultural, aspirations, economic, political and environmental, usually with the input by some or other external organisation, such as a NGO or state body (Chambers, 1997; Miranda & Hordjik, 2001).

### **1.5.8 Project or Programme Management Cycle**

The Project or Programme Management Cycle is a continuous process of identification, planning, implementation, monitoring and evaluation (Campbell, 2001; Pasteur, 2001:4). Programmes are interventions that attempt to address complex social problems at a wider level such as governance or democracy (Cranford, 2003). Action Aid suggests a 7-10 year time frame for the management cycle of programmes (Shaikh, undated: 1).

Projects are components of programmes. Projects have a narrow focus and are the specific, time limited services or collection of activities that will help to bring about the required change (Cranford, 2003:85; Pasteur, 2001; Shaikh, undated). There is generally a clear lineal relationship between inputs and outcomes (Pasteur, 2001:4).

### **1.5.9 Monitoring**

Monitoring is the continuous assessment of the activities, social processes, realities and performance during the life of the programme or project to improve the organisation's effectiveness and efficiency in realising goals (Bless & Higson-Smith, 1995; ICCO, 2000; Simanowitz & Brody, 2004). It is a continuous cycle of data collection, analysis where information is used for the next stage of informed decision making to improve and sustain successful strategies (ICCO, 2000; Pierce County, 1997). Monitoring is the ongoing analysis of information. Taylor et al (1990) describe monitoring as a form of action research. Soal (2001) notes that theoretical knowledge is enriched by the insights and learning which are generated through monitoring and evaluation.

### **1.5.10 Evaluation**

Evaluation is the periodic review of the project to determine whether there is progress towards the goal. Innes and Booher (2000:176) describe evaluation as "*involving the measurement and analysis of all factors that may contribute to a policy's success or failure, along with the careful design of research to isolate the policy variable from other factors*". York (1988:140) describes evaluation as a judgement of worth to "*determine the extent to which*

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<sup>5</sup> Rural Development Support Programme

*objectives were achieved and to identify the reasons for programme successes and failures.*" Bless and Higson-Smith (1995) state that evaluation can occur at regular intervals throughout the life of the project to determine the nature of change, both positive and negative and establish new baseline data. Babbie and Mouton (2001) refer to monitoring and evaluation as applied research since the results are compared to the baseline data, similar to the pre-test-post test experimental design. The information generated through ongoing monitoring is used in the periodic evaluations to measure changes in the environment (Pierce County, 1997).

### **1.5.11 Impact**

Kabeer and Mosely (2004) describe impact as the difference between the original and current situation, the added value and achievement in improving the human condition. Senge, Ross, Smith, Roberts and Kleiner (1998) propose that determining impact requires a change in thinking from quantitative results to quality-orientated work that has a lasting effect. RDSP (2003) notes that an impact assessment is conducted well after the end of the project. The impact assessment helps to determine whether the intervention has brought about significant or lasting change in the minds, circumstances and lives of the beneficiaries (Kabeer & Mosely, 2004; Kalksma-van Lith, 2002).

### **1.5.12 Participation**

The Concise Oxford Dictionary (1982:746) defines participation as "*having a share or taking part in a thing or with a person*". Chambers (1997) describes participation as establishing an open conversation of reflection and participatory dialogue, based on trusting mutually respectful relationships where each contribution is valid. Participation is a central theme of social learning and people centred development, as is the concept of empowerment. Participation is an inclusive process of consultation which results in sustained positive change where people are committed to a shared vision (Chambers, 1997; Erasmus, 1992:14; Kok & Gelderbloem, 1994; Miranda & Hordijk, 2001, Foley & Lauria, 2000; Roche, 1999; Seasons, 1994).

### **1.5.13 Non-governmental Organisations**

The Non Profit Act no 71 of 1997 (RSA, 1997) describes a non-government organisation (NGO) as "...*a trust or other association of persons established for a specific public purpose. The income and property of which are not distributable to its members or office bearers except at reasonable compensation for services*" (Honey 2001). The characteristics of NGOs can be summarised as private, self governing, voluntary, non-profit distributing organisations that address public interests for the promotion of social welfare, development, religion, charity, education and research to improve the human condition (Swilling & Russell, 2002). Marlena and Heinrich (2007) locate the NGO area of operation within civil society, the space between the family and the state. Khan and Thring (2003) link NGOs to social movements that highlight the realities of the poor, reinforce accountability and encourage pro-poor interventions. IFAD (2007) ascribes the success of NGOs in development to their close relationship with the poor, adaptability to local situations and capacity for innovation to provide meaningful solutions.

## **1.6 Sequence of chapters**

### *Chapter 1 Introduction*

This chapter introduces the study, explains the methodology and defines certain key concepts.

### *Chapter 2 Planning and Development Theories*

This chapter reviews the planning and development theories associated with humanism, modernisation, postmodernism and sustainable development. This will provide a theoretical context for the concept of well being and styles of planning. This chapter will look at the assumptions of each approach and their implications for service delivery.

### *Chapter 3 Non Government Organisations (NGOs)*

NGOs are important institutions of civil society which are concerned with the well being of the marginalised and vulnerable. They play a valuable role through creative responses to gaps in service delivery. This chapter examines the roles and characteristics of NGOs and the factors that influence their operations and sustainability.

### *Chapter 4 The Logical Framework Approach*

The increasing interest in the need to measure the impact of development projects has resulted in a call for NGOs to adopt more modern programme and project management tools. The structured approach of the Logical Framework Approach (LFA), based on rational planning theory, has gained prominence in the funding and reporting criteria of the government, multilateral aid agencies and donor community. Further elements are found in the funding requirements of trusts and foundations. It is to be noted that many authors are critical on the relevance of the LFA for NGOs and suggest that alternative tools are found. This chapter reviews the principles, strengths and weaknesses of the Logical Framework Approach and its contribution to sustainability through planning, management and evaluation.

### *Chapter 5 Planning Concepts for Implementation*

The technical language used in the literature, read for this study, on the project management cycle can alienate people. This chapter describes the concepts and processes in a more simplified manner, while also addressing some of the challenges and critiques from the literature in relation to these elements. It is hoped that the chapter will make the concepts more accessible thereby helping field workers to incorporate planning and monitoring in their daily practice.

### *Chapter 6 Recommendations and Conclusion*

This chapter will review the principles of outcomes based project planning, the use of the Logical Framework Approach and the implications for more effective NGO practice. Recommendations will be drawn on the adoption of a strategic approach concluding with areas for further research.

## Chapter 2: Development Theories

### 2.1 Introduction

In Chapter 1 development planning was defined as a predetermined course of action to achieve a specified goal with Muller (2008) adding that development planning refers to the promotion of economic and social advancement of less developed nations and communities, which could be seen as a form of social engineering. Soal (2001) refers to theories as a frame of reference to describe accepted principles that represent development activities. Garbers (1996) describes the role of theory as promoting a better understanding of the human condition and experiences together with how people make sense of their lives. Soal (2001:1) notes that theoretical knowledge is constantly evolving and enriched by learning and new ideas generated from reliable and valid research. Further, Soal (2001:2) states that the lack of a frame of reference means that “*we cannot refer to successes or failures in terms of generally understood and accepted notions of what a development practice aims to achieve*”. Kline (2004) highlights the importance of the choice of a theoretical model of society as it shapes the definition of the problem, the concepts of improved well being and in turn the choice of intervention. Kanbur (2001) argues that the lack of progress in development can be attributed in part to the lack of agreement on the definition of the problematic situation and the policies and actions needed to effectively address the problem. Kraak (in Everatt & Gwagwa, 2005) stresses the importance of current development theory for the writing of appropriate policy to address social needs. Harley (2005) adds that donors should use such theory to determine funding priorities and the projects to be sponsored. This chapter briefly reviews planning models linked to the four development theories of humanism, modernism, post modernism and sustainable development, which I thought represents the general influences of the concept of well being for NGOs working at a grassroots level. The chapter will look at the basic premises of the concept of well being and how each school of thought has influenced development practice.

### 2.2 Well being

Much of the development readings focus on poverty as the cause of the social issues. It is highlighted as an urgent issue which Norberg-Hodge (2002) and UNEP (2002) state is a threat to political and social stability as it engenders dissatisfaction and resentment. Poverty is a vast multidimensional concept which incorporates access to resources, structural inequity and vulnerability (Everatt, 2003; Goldman, 2000; Lok-Dessallien, 1999; Swilling, Simone and Khan, 2002; World Bank 2000/2001). It refers more to a larger geographical area. I proposed that at an individual and local level it is more appropriate to refer to well being or the lack of well being which can be defined in more specific terms. According to Everatt (2003:87):

*“In the 1960s poverty was defined by income; in the 1970s, relative deprivation and the basic needs approach became*

*dominant; in the 1980s, non-monetary concepts were added, including powerlessness, vulnerability, livelihoods, capabilities and gender. The 1990s saw the use of well-being and ‘voice’ in defining poverty, while the rights based approach has dominated the first decade of the new millennium. Each has its own (differing) indicators. Each has its own following among governments and donors, programme managers and NGOs – although few stop to make sure they are talking about the same thing.”*

Similarly, well being is often linked to vulnerability, however the quotes from the World Bank (2001/2001) and Lok-Dessallien (1999) show that it also includes structural causes for inequity. The World Bank (2000/2001: 19) describes vulnerability as follows: “*In the dimension of income and health, vulnerability is the risk that a household or individual will experience an episode of income or health poverty over time. But vulnerability also means the probability of being exposed to a number of other risks (such as) violence, crime, natural disasters or being pulled out of school*”.

According to Lok-Dessallien (1999: 5): “*Although poverty and vulnerability are often related, they are not synonymous. Some groups may be at risk of becoming poor because of inherent vulnerabilities (i.e., different types of discrimination based on class, gender, ethnicity, or factors such as disability, region of residence and family configuration). Furthermore, certain combinations of vulnerability may be strongly correlated with poverty, such as female-headed households or families living in remote and isolated mountainous regions. But not all members of a particular vulnerable group are invariably poor—hence the need to distinguish between the two when dealing with indicators. In short, poverty relates to deprivation, while vulnerability is a function of external risks, shocks, stresses and internal defencelessness. The high degree of correlation between certain combinations of vulnerabilities and poverty is increasingly leading development practitioners toward using the former as proxies for poverty. This can prove useful when trying to ascertain a general estimation of the extent of poverty. However, using a vulnerability indicator as a proxy for poverty necessitates careful analysis to determine the degree of correlation and regular testing to ascertain its validity over time*”.

The methods of achieving well being differ according to the underlying philosophy and values of the planners (Harrison, 2000; Watson, 2003; Rakodi, 2000; Mhone, 2003). Sandercock (1998) describes a variety of approaches to planning such as the blueprint master plan of the rational comprehensive model, social learning through the communicative models and transformation through revolution using the radical political economy (or Marxist) planning model. A review of the literature suggests that various authors believe that the focus of planning and implementation should rather be the existing unequal relations and the distribution of power, opportunity and resources; structural transformation and empowering the disempowered (Allmendinger, 2002; Burkey, 1993; Chambers, 1997; ICCO, 2000; Roodt, 2001; Taylor & Soal, 2003).

## 2.2 Humanism

Humanism is based on sociological traditions, which focus on the ability of people to take control of their lives and improve their circumstances (ICCO, 2000; Roodt, 2001). It is the principle behind Maslow's hierarchy of needs and the psycho-social model that influences welfare orientated activities. Hollis and Woods (1981) describe the psycho-social model as being the direct concern for the well-being of the individual. It stresses the innate worth of the person and the right of each person to live in a unique way provided this does not infringe unduly on the rights of others. According to Roodt (2001), the solution relies on acceptance, a trusting relationship and the self-determination of the individual to be able to make their own decisions to create a meaningful world. Hollis and Wood (1981) describe the role of intervention as to clarify the client's thinking, to accept maximum responsibility for their ideas and actions and to change the person's social functioning.

According to Chambers (1997), humanism does not only focus on meeting material needs, but also on the improvement of social conditions and the meeting of broad human aspirations. It is a people-centred approach where poverty is a consequence of people not being able to realise their potential and lead meaningful lives, resulting in alienation and a breakdown of society (Roodt 2001). Poverty is alleviated by prioritising human development, participation and self-reliance, enabling people to improve the situation through gaining skills and confidence, access to resources and authority (Chambers 1997, Roodt 2001, Trefoil 2002). ICCO (2000) suggests that development contributes towards a life with dignity, a more just and democratic society and the empowerment of the poor and marginalised. Community development relies on the active participation of people in issues that affect their lives and progress (ICCO, 2000; Roodt, 2001; Meyer & Theron, 2000; Taylor et al, 1990; Soal, 2001). People are empowered to participate actively in the decisions influencing their lives and maximise opportunities to improve their circumstances (ICCO, 2000; Taylor et al, 1990; NZODA, 1996). NZODA (1996) sees this as a process of enlarging people's choices. According to Chambers (1997), development should enable people to share, enhance and analyse knowledge about their lives and conditions, to plan, act, monitor and evaluate their progress.

In the humanist tradition, development initiatives are initiated by a more developed community, with the developer acting as a catalyst to mobilise people for change (Burkey, 1993; Roodt, 2001). The developers assist in the design and implementation of appropriate strategies and programmes (Trefoil, 2002; Jeppe, 1985; Roodt, 2001). Development is an educational process with the transfer of skills, resources and responsibility to the poor (Babbie & Mouton, 2001; NZODA, 1996). According to Soal (2001), the intended result is that the poor become independent and take ownership of the achievements with the progressive withdrawal of the developer (Soal, 2001).

Roodt (2001) highlights the criticism of humanism that the values and biases of a better way of life are introduced or imposed by an external group of people without necessarily incorporating the specific features of the target group.

There is also the potential for one exploitative system to replace another (Roodt, 2001). The question raised is who has the right to judge what is a better life? Chambers (1997) comments that humanism overemphasises the individual's ability to create a meaningful world and change, yet does not recognise the limits that social structures and institutions place on human behaviour and choice.

### **2.3 Modernisation / Modernism**

The rise of scientific thinking, after the Second World War, lead to the use of technology, reason and logic to address poverty (Harrison 2001). Allmendinger (2002:158) describes modernism as being based on the idea of liberty through knowledge, and assumes there is an absolute truth that determines any intervention. Poverty is defined as a state of deprivation based on a discrete characteristic such as income and can be addressed by accessing goods and services to meet those material needs (Wise in Harris, Wise, Gallagher & Goodwin, 2001). People are presented as objective, rational economic agents whose needs are met through material wealth, measured through the flow of money between production and consumption (Stiglitz, 2002). Capitalist industrialisation was believed to be the answer.

The rational comprehensive approach to planning was popular with its scientific technical approach to addressing social problems based on reason and logic (ICCO, 2000). Planning was seen as an objective, value-free process, capable of identifying and effectively addressing social needs. Development was run according to objective master plans, compiled by the expert planner. It was assumed that nature and free will can be controlled to achieve the desired results in a predictable future (Allmendinger, 1999: 159; Innes and Booher, 1999: 416; Wise in Harris et al, 2001). For McLaughlin in Allmendinger (2002) planning seeks to regulate or control the activity of individuals to minimise bad effects and to promote better performance in accordance with a set of broad aims and specific objectives. This rational thinking is prominent in models of programme and project management such as the Logical Framework Approach (LFA). It is also seen in the Millennium Development Goals that provide quantitative targets for the halving of poverty by 2015 and the philosophy driving the funding criteria.

Allmendinger (2002: 159) and Innes and Booher (1999: 416) are critical of the reductionist thinking that believes complex phenomena can be reduced to basic building blocks and mechanisms. It is suggested that the rational model cannot cope with complexity and the use of technical language often alienates people from the planning process, excluding important contributions from the community (Carley & Christie, 2000; Foley & Lauria, 2000; Harrison, 2001; UNEP, 2002). Harrison (2001) notes that the modernistic, state-driven master plan model is often removed from ethical and moral concerns and that the decisions as to actions are actually value-based judgements. Subsequent authors, such as Swilling (2004) and Holston (1998), have called this approach arrogant as it ignores complex social dynamics and call for a more inclusive process that recognises citizenship, rights and duties and the social dynamics of any human activity.

Sandercock (1998) records that the concern that the rational comprehensive model did not achieve the ideal city led to the development of other approaches that promoted the involvement of the wider community. There was the search for a flexible approach that can adapt as the issues change with intervention, resulting in equity planning, social learning and communication and radical planning models. Each model uses participation and consultation with the community on their needs and priorities but differ in the level of involvement. In the equity model, the planner is still the expert who consults with the community to consciously redistribute power and resources to the poor. In the social learning and communication model, the planner acts as a facilitator and offers the community assistance in creating alternatives based on their unique context of knowledge, needs and skills. The radical political economy (Marxist) planning model according to Sandercock (1998) assumes that real change can only occur through revolution and the planner is part of the community helping the people to organise and initiate action.

#### **2.4 Postmodernism**

Postmodernism has been described as a time-period or epoch, a style (pop culture in art, literature, architecture and even movies) and a method (a form of literary analysis, discourse analysis and deconstruction) (Dear, 1986, as cited in Harrison, 1996, 26). To these characterisations Allmendinger (2002: 160 - 167) has added postmodernism as a social theory (or attitude). As a social theory, postmodernism can be seen as both a critique of and a normative element of what ought to be (or not to be), but without prescription and closure (Allmendinger, 2002: 156 & 180). The concept does not have a fixed meaning and there are various different viewpoints within the postmodern perspective or way of thinking.

As a time period, Postmodernism is linked to the rise of globalisation and the interdependent networks in social and economic relationships (Harrison, 2003; Fernandes, 2003). The Rockefeller Foundation (2007) and Fernandes (2003) suggest that globalisation is neither good nor bad but a natural progression from modernisation where countries become interdependent through global trading networks. Innes and Booher (1999) describe society as a spontaneous, complex, unpredictable, diverse and unfamiliar environment. It is a dynamic system characterised by rapid change that is in constant motion, revising and recombining itself in response to feedback from the environment (Chambers, 1997; Innes & Booher, 1999:417; Sumara, 1998:42). Taylor and Soal (2003:4) provide an illustrative example on the nature of a complex society, through the quote by Margaret J. Wheatley:

*“A quantum universe is enacted only in an environment rich in relationships. Nothing happens in the quantum world without something countering something else. Nothing is independent of the relationships that occur. I am constantly creating the world – evoking it, not discovering it – as I participate in all its many interactions. This is a world of process, not a world of things.”*

Postmodernism can be also be seen as a critique of the unwavering beliefs of modernism in constant progress, scientific and instrumental rationality,

universality, objectivity and neutrality (Allmendinger, 2002; Harrison, 1996), as well as against modernisation as westernisation (Nederveen-Pieterse, 1998).

Postmodern thinking has taken various different forms and includes a variety of views, from the extreme to the more moderate. The extreme views have been described as 'destructive nihilism', 'intellectual anarchy' and 'the path to an intellectual wasteland' (Harrison, 1996: 28). According to Allmendinger (2002: 156) some theorists even argue for an extreme form of relativism and individuality, which negates any form of common action. The more moderate position recognises that modernity had both benefits and disadvantages. For example, Jurgen Habermas and his theories on 'communicative action', which is the model for collaborative planning, for example, believed we should "attempt to finish the unfinished project of modernity through other forms of thinking and knowing" (Allmendinger, 2002: 160). Postmodern thinking has forced people to engage with the criticism against modernity, to reflect and question what has originally been perceived as certainties and general truths (Allmendinger, 2002: 155 &159).

Postmodernism moves away from a single truth to the recognition of multiple realities and strategies each structured within the belief system of the observer (Herlein, Lambert-Shute & Benson, 2004:538). There is recognition that any observation is subjective and it is important to understand the underlying values and beliefs that guide the work (Herlein et al 2004). It requires a reflection of the whole experience, within a specific context, rather than practice to explore the richness of complex relations (Herlein et al, 2004; Sumara, 1998:44). Harley (2005) agrees with this view, stating that the context influences the nature of social interaction. The complexity of postmodernism requires reflection, emphasising the need for social learning, consensus building, collaboration and adaptive strategies which lead to greater productivity and social transformation (Herlein et al 2004; Innes & Booher, 1999:417).

Planning has been described as a typical modern project in a postmodern era, but Allmendinger (2002: 168 – 172) questions this viewpoint, as in practice planning takes a variety of forms, from the more modern (technical, rational, control-orientated) to more postmodern (messy, political) forms. Various authors have also proposed ways towards a more postmodern planning (Allmendinger, 2001 & 2002; Harrison, 1996; Sandercock, 1998), namely:

Questioning the rational way of knowing and thinking and also allowing for other ways

Acceptance that planning can never be neutral and that planning is always a political process

Avoiding prescriptive solutions and closure— allow for local differences, flexibility, adaptation, choice, and incrementalism

Be more aware of power relations and the dark side of planning and keep a critical attitude alive – be on the lookout for the possibilities of oppression and repression, domination, exclusion, control and social engineering

A planning based on modernism's original emancipatory and progressive potential, which promotes social justice, inclusionary

citizenship, an acceptance of difference, and allowing for resistance and disagreement

Rational planning models can be adapted to address some of the criticisms mentioned above. In addition these models can be combined with participative and collaborative methodologies. The dynamic, complex environment of post-modern society emphasises the importance of collaborative planning or consensus building. Innes and Booher (1999:415) describe consensus building as "*reaching agreements through fair, open, inclusive, accountable and legitimate processes which takes cognisance of vulnerable interests, important facts and challenges unnecessary constraints to arrive at an accepted solution*". The participants benefit through personal growth as people learn to work together and develop viable, flexible, long-term strategies for action (Innes & Booher, 1999:413).

In the social learning communicative planning model, people from different organisations and disciplines come together to establish needs and priorities, build local capacity and develop concrete and innovative strategies that meet the local conditions to create a new reality (Carley & Christie, 2000; Miranda & Hordjik, 2001; Watson, 2003; Swilling, 2004). Participation runs along a continuum, from consultation between professionals to broad-based community involvement. Everatt and Gwagwa (2005) differentiate between *community-driven* development and *community-based* development. Community-driven development is where power has been devolved to the community for the identification and management of programmes while in community-based development, the community is consulted but not necessarily involved in the project.

In studying consensus planning, Innes and Booher (1999:415) have found that a negotiated consensus is based on a common understanding of the issue to be addressed and a respect for all people's realities. It is a dynamic process where perceptions can change around what is to be done and how. Consensus building relies on agreements reached through fair, open, inclusive, accountable and legitimate process which takes cognisance of the vulnerable, important facts and challenges unnecessary constraints to arrive at an acceptable solution. Carley and Christie (2000) and Foley and Lauria, (2000) have found that it is important that there is the confidence that there will be some action following the recommendations to sustain the planning and projects. This assumes that the power relationships have been renegotiated so that the participants start from an equal position (Holston, 1998; Rakodi, 2005). Innes and Booher,(1999:415) note that the benefits are seen in the growth of confidence and ability to represent the community's needs and priorities and engage in joint decision-making and problem solving.

Postmodernism has also been described as promoting neoliberal economic thinking where the free market is used to drive the efficient and effective production and use of resources to maximise growth for well being (Fernandes, 2003). According to Watson (2003), the state's role is the development of an enabling environment for public-private partnerships where the private sector is responsible for direct service delivery. However, Khan

and Thring (2003) warn that this is not suitable for basic services as the profit motive excludes the poor, increasing their vulnerability. Harrison (2003:13) agrees with the increasing vulnerability of the poor by describing neo-liberal economic thinking as reducing people and natural systems to capital production units. People do not have any special qualities or influence over the macro processes. This lack of influence means that the needs of the poor are often ignored increasing inequality, vulnerability and the sense of alienation and ignoring the fact that poverty is closely linked to social exclusion and political powerlessness.

What is also important is the context within which NGOs operate. According to Sewpaul and Hölscher (2004: 1-4) in their book '*Social work in times of Neoliberalism: A postmodern discourse*' the national and global sphere is influenced by the ideology of neoliberalism. It is seen in various policy documents, such as the March 1999 'Financing Policy for Developmental Social Welfare Services' of the Department of Welfare. According to them:

*"Neoliberalism signifies an increasingly undisputed primacy of economic over other forms of rationality, where complex political, social and cultural constellations seem to have been reduced to economic issues, where policy decisions appear to make very little sense unless they make economic sense, and where the concept of welfare seems to have been reduced to the limited version of economic welfare."* (Sewpaul and Hölscher, 2004: 3-4)

This discourse of neoliberalism is also seen in the managerial and market-based social work paradigms, which emphasises efficiency, a tendency for top-down decision-making, logical-positivism, economic rationalisation and the market as preferred mechanism for service delivery (Ife, 1997, as cited in Sewpaul and Hölscher, 2004: 5). This is in direct contrast to the original humanistic value system of social work and the original welfare state system within which it developed.

This discourse is problematic in terms of a more just and equitable society. It begs some questions, such as which interest groups get to decide what constitutes a social problem, what are the causes of the problems, whose needs are legitimate, what welfare services should be provided, etc (Sewpaul and Hölscher, 2004: 4). It also links to the aspect of power differences and the role they can potentially play in distorting planning processes.

Rees (2001:22) describes the modern (and postmodern) era as "*a global techno / economic hegemony in which humanity's material purpose has become its only purpose... where conspicuous consumption has become the distinguishing feature of our age*" and "*one of the major consequences of the situation (of) humankind thoroughly alienated from nature is an unsustainable course which degrades the natural environment and could plausibly end with the razing of the Earth*". There was the realisation that the environment has a limited capacity, and the urgency to protect it, lead to the development of the sustainable development school of thought which introduces and prioritises environment in development initiatives.

In this thesis a more moderate position with regard to postmodern thinking is supported. It is suggested that the most important lesson from the postmodern perspective is therefore to provide for a continual questioning and critical attitude in any planning process.

## 2.5 Sustainable Development

The Brundtland Commission Report “*Our Common Future*” defined sustainable development as meeting the needs of the present without compromising the ability of future generations to meet their own needs (AtKisson, 2001:353). This definition promotes a longer term, as well as a more equitable view, in relation to development.

Wackernagl (1996:32) expanded on this definition to explain the concept of sustainable development as “*sustainable development promotes a balance between the economy, society and environment so that people live in material comfort and peacefully with each other within nature without passing the costs on to other regions or the future*”. The planet is seen as an integrated living system where each activity has a ripple effect of consequences, impacts and synergy, creating a bigger change than the initial activity. Liebenberg (1996) notes that the sustainable development paradigm recognises that life relies on healthy ecosystems to provide food, water and other necessities. There is also the recognition that economic and social systems have limited growth in a finite environment. As with postmodernism, the holistic systemic approach to society acknowledges the complementary interplay and synergy of the different systems such as politics, social relationships, culture and economy (Trefoil, 2002; Senge et al, 1998). Thus development needs to respect the ecological and environmental resources, as well as social and cultural systems. The focus of development is a thriving social economy, socio-cultural responsiveness and institutional capacity without jeopardising the environment (Rees, 2001; Satterthwaite, 2001; Seasons, 1994).

Sustainable Development, as discussed by Pezzoli (1997), offers an interdisciplinary approach of analysing the state of the world in terms of economic, social and environmental factors. Muller (2006:1039) notes that sustainable development is also not a “one size fits all” concept and that there are dissenting ideological positions which can be placed on a continuum between what is often seen as polar opposite positions. Muller (2006:1039-1041) summarises these positions as:

- anthropocentric (human centred) vs. zoo-centric (animal centred);
- egalitarian (rise in living standards of the poor) vs. non-egalitarian;
- minimalist (nature for human survival) vs. robust (nature has own value);
- narrow (ecological focus) vs. broad (economic, social, environmental, physical and institutional focus),
- bottom-up (grassroots) vs. top-down participation;
- weak (functionalist mainstream views) vs. strong sustainability (critical, progressive and political)
- antigrowth (quality of life) vs. growth (the conservation of growth)

- conservative (minimalist, non-egalitarian, top-down and narrow interpretation of sustainability) vs. radical (strong, robust, egalitarian, bottom-up and broad interpretation)

The lack of well being is attributed to the lack of access to resources and the inability to cope with changes in the immediate environment. As Avery (2003) comments, *“Increasing human activities impact negatively on natural ecological processes. The three pillars of sustainable development – ecological, social and economic – are not in balance resulting in a global threat to human survival”*. An anthropocentric approach to development within this paradigm prioritises people-centred growth, access to resources and opportunities and environmental preservation before economic growth (Burkey, 1993; Chambers, 1997; Harris et al, 2001; ICCO, 2000).

The focus of economic growth and production would be an improved quality of life that empowers people to meet their needs through pro-poor policies.

It is proposed that access to resources reduces vulnerability to current and future poverty by broadening the strategic options to cope with, and recover from, shocks and stresses (Goldman, 2000; Harris et al, 2001; Morrow, 1993; Swilling, Simone & Khan, 2002). Participation, social justice and social learning, as discussed under post-modernism, are important elements of people-centred and sustainable development (Meyer & Theron, 2000:i). Burkey (in Meyer and Theron, 2000:4) defines the role of public participation in development as:

*“an essential part of human growth that is the development of self-confidence, pride, initiative, responsibility and co-operation. Without such a development within the people themselves all efforts to alleviate their poverty will be immensely more difficult, if not impossible. This process, whereby people learn to take charge of their own lives and solves their problems, is the essence of development”.*

A participative approach uses local and expert knowledge to develop attractive services by including the realities and aspirations of the beneficiaries for an improved situation (Chambers 1997, Glewwe & van der Gaag 1988, Miranda & Hordjik, 2001, Moore & Putzel, 2000; Pierce County, 1997). Burkey (1993) proposes that a people centred approach encourages the participation of the beneficiaries and celebrates diversity and human rights through community sharing. It is suggested that participation promotes a greater understanding, tolerance and co-operation that supports livelihoods and coping mechanisms. Thus participation, and consensus, planning is used to transform livelihoods and develop pro-poor initiatives (Burkey, 1993; ICCO, 2000; Liebenberg, 1996; Swilling & Russell, 2002; Taylor & Soal, 2003). It is a long term process that should be carefully facilitated. The rewards are a commitment to a shared understanding and vision of the proposed services leading to credible programmes that are implemented more quickly and at less cost (Dearden & Kowalski, 2003; Everatt & Gwagwa, 2005:36; Innes & Booher, 1999; Miranda & Hordjik, 2001).

**Box 2: Principles of People Centred Development for Sustainable Settlements** (The Manila Declaration of People's Participation and Sustainable Development in Meyer and Theron, 2000:157)

1. Sovereignty resides with the people, the real actors of positive change. The legitimate role of government is to enable people to set and pursue their own agenda.
2. To exercise sovereignty and assume responsibility for the development of themselves and their communities, the people must control their own resources, have access to relevant information and have the means to hold government officials accountable.
3. People assisting people with their development must recognise that they are supporting the people's agenda. The measure of the outsider's contribution is measured in the enhanced capacity of people to determine their own futures.

The implication for NGOs is to have a wider understanding of the problem and desired result in terms of the social, economic and environmental impact. According to Miranda and Hordjik (2001: 346), effective service delivery needs an integrated vision of the target community and its surrounds. Chambers (1997) adds that this understanding is linked to local indigenous knowledge, while Holston (1998) and Carley and Christie (2000) recommend that the analysis includes culture and social dynamics. The emphasis is on the efficient use of resources in service delivery that promotes equity and social justice (ICCO, 2000; Rogerson, 2003; Wackernagl, 1996). This fits best with the consensus planning model where participation is used to distribute power, opportunities and resources for empowerment and structural transformation (Sandercock, 1998).

## 2.6 Summary

Planning and development theories are important as they provide the context or frame of reference for implementation. They influence the definition of well being and the selection of strategies to achieve the desired social change. Each of the different theoretical approaches reviewed, humanism, modernism, post modernism and sustainable development can be observed in current service delivery. Many welfare orientated NGOs still place themselves within the humanist school of thought, focussing on the self-actualisation of clients through personal development. The scientific rational approach of modernism is seen in the planning models and tools such as the Logical Framework Approach (LFA) with the assumption of a predictable stable society. It is further assumed that factors can be manipulated to bring about expected results underlines the principles of the policies and funding criteria used by government and donors to address poverty.

Postmodernism challenges this scientific approach as society is described as an unpredictable, complex, dynamic system of interdependent relationships characterised by rapid change (Innes & Booher, 1999). It is recognised that an intervention in one area has a ripple effect throughout society changing the nature of the problem. Planning and service delivery in turn must also become

dynamic to ensure that activities can adapt, and are an appropriate response, to the changing needs. Postmodern planning introduces the concepts of collaborative planning models and participation in planning to harness the power of the interdependent relationships to address social problems and promote social equity. It introduces the need for monitoring to generate feedback in order to assess the effect of activities and adapt the plan as necessary. It also introduces the need for a critical and reflective attitude, allowing for different ways of knowing and thinking, making space for difference, listening for vulnerable voices, and allowing for flexibility and adaptive learning.

Modernism and postmodernism thinking frequently focus on economic solutions where consumption is viewed as a measure of well being. Economic solutions are based on the assumption of an infinite natural environment that can support unlimited development. The environmental crisis has shown this thinking to be faulty and that the environment, which provides the basic requirements of life, is a finite resource that has to be protected. The sustainable development model changes the focus to protecting the environment, introducing environmental and social (people-based) concerns into all forms of planning in addition to economic ones.

Sustainable development adopts a holistic approach promoting an integrated response that addresses the social, economic and environmental aspects of a problem for positive, lasting benefits for people and the environment that supports life (Chambers, 1997). The integrated approach challenges organisations to move away from a silo approach to planning and implementation to a multidisciplinary and collaborative approach to development, but taking note of the development of the beginning of some guidelines for a mode of planning that is based on postmodern critiques.

## Chapter 3: Non Governmental Organisations

### 3.1 Introduction

The previous chapter referred to planning and development theories together with the different strategies that were proposed to address the lack of well being. These theories are important as they provide a frame of reference (Soal, 2001) within which to develop and implement appropriate strategies that will bring about the desired social change. The implementation of these strategies relies on the intervention of many different development role players: the multilateral organisations of the United Nations, bilateral aid organisations, trusts, foundations, corporate social responsibility programmes, all levels of government and civil society organisations (Everatt & Gwagwa, 2005) such as nongovernmental organisations (NGOs) (ICCO, 2000; Soal, 2001; Taylor & Soal, 2003) and community based organisations (CBOs) (Yachkaschi, 2006). Each plays an important role in creating policies, spearheading programmes, providing the funding and providing a voice to the vulnerable to create a better society where everyone can enjoy a better quality of life.

ICCO (2000:9) attributes the growth of the non-governmental organisation (NGO) sector to the reduced role of the State in productive and social investment and the failure of globalising markets to provide productive employment and income for the poorest. Soal (2001) suggests that as local problems can be manifestations of global issues, then NGOs can be a micro response to global problems. South Africa has a rich history of NGOs providing services to meet social needs that were not addressed by the State. The 1998 study of Swilling and Russell called "*The Size and Scope of the Non-profit Sector in South Africa*" (discussed in Everatt & Gwagwa, 2005:15) estimated that there were 98 920 non-profit organisations in South Africa. This is a diverse sector, which Yachkaschi (2006) refers to as the "development industry", that ranges from sophisticated international northern non-profit organisations to informal community based organisations (CBOs). As the object of this study, it is important to understand the nature of NGOs, their role at the grassroots level and ability to providing sustainable solutions and account for the impact on social needs. A weakness is the reliance on donor funding which can interfere with the processes and characteristics of NGOs that is part of their success. This chapter looks at the characteristics NGOs, the roles they play and factors that influence service delivery. This provides a context for looking at the relevance of the Logical Framework Approach (LFA) in the next chapter.

### 3.2 Classification

The concept of NGO is used to refer to a wide range of non-profit organisations that range in sophistication from the formal, well-resourced multinational "northern" organisations, focussing on funding and policy development, to the smaller, informal grassroots CBOs that address the immediate needs (ICCO, 2000; Pratt et al, 2006; Yachkaschi, 2006).

The non-profit sector is enormous, Swilling and Russell (in Everatt & Gwagwa, 2005: 15) estimated that there were 98 920 non profit organisations in South Africa in 1998. Although NGOs are a heterogeneous group of organisations, there have been attempts to classify them in order to make sense of this vast sector (Erasmus, 1992; Everatt & Gwagwa, 2005; Liebenberg, 1996; Swilling & Russell, 2002). Swilling and Russell (2002) classify NGOs into development, survivalist and oppositional organisations. Development organisations focus on the transformation of resources to directly improve the social, cultural and economic well being of certain sectors of society. Survivalist NGOs operate in communities where people barely survive with members sharing or maximising meagre resources not provided by the state or private sector. Oppositional NGOs organise or mobilise people to pressurise bodies to make specific changes through advocacy and lobbying.

Liebenberg (1996:66) and Erasmus (1992) refer to Korten's four-generation classification of NGOs whereby organisations are grouped according to their services: relief and welfare; small-scale self-reliant local development; advocacy enabling the empowerment of local populations and public awareness through development education. According to Liebenberg (1996), Korten suggests that organisations move to the next generation of service delivery as each need becomes void, which implies moving to a higher level of functioning. However, Liebenberg (1996) believes that given the holistic nature of development, the previous functions cannot be discarded and an organisation can provide more than one type of service at any time. Erasmus (1992:5) finds Korten's classification artificial because NGOs are dynamic organisations engaging in a complex environment and suggests that it is more useful to "*distinguish NGOs from other forms of organisations so as to better understand their actual and potential role(s) in development*".

### **3.3 Characteristics**

#### **3.3.1 Organisation**

In South Africa, NGOs are registered as legal entities under the Non Profit Act (Act 71 of 1997). In section 1(x) a non-profit organisation is described as "a trust or other association of persons established for a specific public purpose, the income and property of which is not distributed to its members or office bearers except at a reasonable compensation for services rendered". A review of the literature finds NGOs described as non profit, organising, private, self governing and voluntary (Azarnoff & Seliger, 1982; Everatt & Gwagwa, 2005; Honey, 2001; ICCO, 2000; Liebenberg, 1996; Nelson, 2001; Swilling & Russell, 2002). Any surpluses generated by activities are used to further the aims of the organisation amassing resources to meet socially identified needs (Honey, 2001; Liebenberg, 1996; Nelson, 2001; Swilling & Russell, 2002).

#### **3.3.2 Beneficiaries**

NGOs can be membership or service based. Membership based organisations are comprised of people at grassroots level who determine the perspectives, priorities and activities to improve their situation (Erasmus, 1992; Liebenberg, 1996; Pratt et al, 2006; Yachkaschi, 2006).

Service based organisations are formed to help people other than their members, although the members may also benefit (Yachkaschi, 2006). They are more formal than the membership based organisations, employ staff to render services and are accountable to a voluntary executive (Erasmus, 1992; Yachkaschi, 2006). Many service based organisations began with a welfare focus of delivering goods and services to disadvantaged people. The shift to people centred development led to a change in service delivery towards more participatory processes and social learning that empowers people to create their own solutions (Erasmus, 1992; ICCO, 2000; IFAD, 2007; Liebenberg, 1996).

### **3.3.3 Social Justice**

NGOs are motivated by a commitment to social justice. They share a common vision of society based on human rights, equity and freedom as a universal community of interests (Erasmus, 1992; ICCO, 2000; Mhone, 2003). This passion is translated into programmes and projects that address poverty, exploitation and harm to the environment (ICCO, 2000; IFAD, 2007; Mhone, 2003). However, Liebenberg (1996) notes that, in spite of this shared passion, NGOs do not seem able to collaborate with government at the appropriate level and there is little co-ordination of the efforts between individual NGOs at the grassroots level. Bornstein, Smith, Nyar and Hyman (2003) **attribute** this to the competition for funding. They found that the competition for funding has resulted in a high level of isolation and rivalry between NGOs, especially where results reflect negatively on the organisation. This has interfered with the collaborative process of social learning and generally understood and accepted notions of development practice (Soal, 2001).

### **3.3.4 Community based**

NGOs are voluntary non-profit organisations that operate within civil society, which is defined as the space where collective citizen action occurs (Marlena & Heinrich, 2007). Erasmus (1992) refers to civil society as the space between state and business, while Honey (2001) refers to civil society and the space between state and family. The success of the participation rests on the strong mutually productive relationships with the poor, grassroots communities and other change agents (Erasmus, 1992; ICCO, 2000; Liebenberg, 1996). These have been developed over years and are based on trust and goodwill (Erasmus, 1992; IFAD, 2007). NGOs have extensive knowledge of the history, local conditions, context, norms and values which enables them to provide baseline information and advice on appropriate interventions (Erasmus, 1992; IFAD, 2007). These relationships make NGOs highly desirable to donors looking to access vulnerable, excluded or isolated communities and channel resources to support a vibrant society which can represent the interests of the poor (IFAD, 2007; Liebenberg, 1996; Pratt et al, 2006; Wallace, Crowther & Shepherd, 1998).

Everatt and Gwagwa, (2005) have found that NGOs that practise community-based development are often stuck in a service delivery approach which disempower people as a result of the onerous rules and planning requirements governing access to funding. According to Yachkaschi (2006)

and Wallace et al (1998) the increasing importance of donor funding has forced NGOs to implement formal management systems to meet funding requirements for financial accountability. It has put pressure on NGOs to produce concrete results quickly and routinely, which compromises the principles of social learning. Wallace et al (1998) have found that NGOs are becoming more responsive to donors and less to the communities that they serve. Yachkaschi (2006) sees this as a threat where organisations can lose their closeness to their beneficiaries, a characteristic that encourages donors to support them.

### **3.3.5 Innovative**

NGOs generally have a flat organisational structure where the authority for decision making is devolved to the field. Projects are able to respond quickly to changes in the complex, dynamic environment where any action leads to changes within the entire system (Erasmus, 1992; ICCO, 2000; Innes & Booher, 1999). NGOs are able to respond creatively through individualised, context specific activities that reconcile local resources, capabilities with development problems, issues and needs (Erasmus, 1992; ICCO, 2000; IFAD, 2007; Yachkaschi, 2006). It is suggested that the commitment to social justice and innovation enables NGOs to spend the time to implement an inclusive and participative process necessary for social experimentation.

The ability to experiment with ideas leads to the development of new models, tools and methodologies, many of which have been adopted by official development agencies and governments in different settings (IFAD, 2007). However complexity theory and the unpredictability of society, as discussed by Innes and Booher (1999) and Allmendinger (2002), means that the concept of best practice does not hold true.

The highly individualised, context specific strategies question the reliability of the results. It is difficult to generalise the findings or replicate the projects for similar results as success relies on the local conditions, resources and political will for transformation (Erasmus, 1992; Miranda & Hordijk, 2001). This could be an obstacle to the advancement of a development theory which relies on general principles and models to guide practice.

It is suggested that a more structured approach that can establish the conditions to produce information that meets the criteria of reliability and validity, projects can contribute to developing a local body of development knowledge which Soal (2001) suggests will contribute towards meaningful changes to create a more equitable society. Liebenberg (1996) cites inadequate management capacity, the lack of staff training and the inability to replicate projects to ensure sustainability as factors that inhibit the attainment of development.

Bakewell & Garbutt (2005), Bornstein et al (2003) and Pratt et al (2006) have found that it is the competition for funding and donor requirements for financial accountability, efficiency and impact they have motivated NGOs to engage with modern management tools. This contradicts the purpose of transparency

and accountability to the wider community stated by Azarnoff and Seliger (1982). Wallace et al (1998) have found that the insistence on adopting formal management systems for financial accountability, affects the organisation's flexibility and ability to respond to changes in the environment. Thus donor funding could be undermining the very characteristics that they seek to support.

### **3.3.6 Resilience**

Yachkaschi (2006) has found that the informal nature and flexible structures, especially within CBOs, allow NGOs to implement community development activities with few resources and remain resilient. There is the perceived advantage that NGOs are able to provide more appropriate services more cheaply (Erasmus, 1992). This is a controversial statement as Bornstein et al (2003) and Yachkaschi (2006) have found that NGOs are strongly influenced by their ability to access funding to complete their work. Yachkaschi (2006) has found that the informal nature of many NGOs, and especially CBOs, excludes them from many sources of funding such as the government and bilateral organisations. The changing donor environment has made funding more scarce and NGOs are willing to do anything to get funding, promising more activities for less money (Bornstein & Smith, 2007). This has implications for the quality and impact of services. The Manila Declaration on People's Participation and Sustainable Development (in Meyer and Theron, 2000:18) states that "*it is the commitment of the voluntary development organisation to serve the people and not the donor*".

Donors may influence projects to meet their own needs and funding requirements rather than adapt to the project and needs of the community (Everatt & Gwagwa, 2005:41). An example is insisting in the amalgamation of projects into a single larger entity even when they do not share common features (Bornstein, 2004; Everatt & Gwagwa, 2005; Wallace, 2003), which can lead to cultural differences affecting and limiting the efficiency and effectiveness of the projects.

## **3.4 Roles played by NGOs**

### **3.4.1 Catalyst**

NGOs, in their role as catalysts, help people to reflect, identify and articulate their needs and raise questions about the situation and systems that have brought about the unacceptable situation of poverty and powerlessness (Chambers, 1997; Erasmus, 1992; IFAD, 2007). The development process seldom begins spontaneously but is initiated by leadership with an external vision (Burkey, 1993:60). Manning (2001) has found that communities are often aware that something is wrong but are unable to identify the problem. Change only happens when people act differently and are encouraged to find better ways. The process of educating people gives them the ability to drive their own development and protect their interests regarding government, the market or other actors in society (ICCO, 2000; IFAD, 2007).

The role of catalyst is criticised for imposing an external vision on a group of people that does not necessarily incorporate the special features of that group

(Roodt, 2001). Burkey (1993) sees it as a temporary role to mobilise people towards participation and empowerment for lasting change.

### **3.4.2 *Facilitator***

Empowerment is described as the long term process of transferring skills and power to the poor so that they can take control of resources and processes that affect their lives (Azarnoff & Seliger, 1982; Burkey, 1993; Erasmus, 1992; IFAD, 2007; Wallace, 2003). The focus of any intervention, together with the design of an exit strategy, is the development of self-reliant communities where the people are able to act in their own interests. Participation is used as a means of including the vulnerable and marginalised people in developing pro-poor initiatives, strengthening civil society and gaining local support and ownership of projects (Bornstein, 2007; Burkey, 1993; IFAD, 2007; Roche, 1999). Participation is considered essential to the success of a project as the poor are expected to participate in their own development (ICCO, 2000; Roche, 1999). IFAD (2007) sees NGOs as best placed to facilitate this change as they can spend the time on dialogue and learning to ensure the sustainable transfer of skills.

As noted under innovation, NGOs are attractive to donors as they are able to engage in participatory processes for greater equity. Everatt and Gwagwa (2005:43) stress that development has its own pace that cannot be rushed to meet a bureaucratic requirement. Donors could undermine projects by insisting on meeting financial regulations and timeframes. Government and donors have been known to dump money on projects and expect that it be spent within a specific time period, regardless of the preparedness of the community.

### **3.4.3 *Social Watchdog***

NGOs have a better moral vision of society and are committed to the realisation of social justice and challenging the unacceptable reality of increasing marginalisation of poor, exploitation and harm to the environment (Erasmus, 1992; ICCO, 2000; IFAD, 2007; Mhone, 2003; GEF<sup>6</sup>, 2005:29). They play an important role in holding political leaders, government and business accountable for their policies and actions (Burkey, 1993; Carley & Christie, 2000). This is done by focusing attention on issues that undermine global development (GEF, 2005:29). Many northern NGOs are actively involved in advocacy to educate the public on the development challenges of poor countries and mobilising opinion for change (Burkey, 1993; Erasmus, 1992; ICCO, 2000, Pratt et al, 2006).

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<sup>6</sup> The Global Environment Facility

Fernandes (2003), as well as Haffajee and Robinson (2003) see the role of NGOs as brokering solutions in service delivery by highlighting the realities of the poor, contradictions, gaps in service provision and encouraging pro-poor interventions. Social justice is used to promote corrective action, independence, fairness and the ability and right to act in one's own interests.

Liebenberg (1996) believes that NGOs must maintain substantial independence in order to fulfil its mission as a social watchdog. This critical role and autonomy could be compromised through reliance on donor funding (Bornstein et al, 2003; Everatt & Gwagwa, 2005; Yachkaschi, 2006). The fear of losing funding and jeopardising their services may make NGOs less critical of governments and businesses (Bornstein et al, 2003), as was the case in South Africa when donor funding shifted from supporting civil society to the new democratic government (Bornstein et al, 2003). The NGOs' role can be further compromised when they become subcontractors implementing government policy (Bornstein et al, 2003; Everatt & Gwagwa, 2005:21; Liebenberg, 1992, Pratt et al, 2006). Bornstein (2004) has found that the lack of funding is having a significant impact on the functioning of NGOs as the social conscience and serving the community.

### **3.5 Summary**

NGOs are important role players in developing a vibrant civil society which can drive development for a better quality of life for all. They offer important services in creating awareness of an unacceptable reality and engaging the poor in developing services to meet social needs. These are accomplished through the roles of catalyst, facilitator and social watchdog. Their strength lies in their community relationships, flexibility and ability to engage in long term development processes to bring about positive change (IFAD, 2007). The flexible organisational structure, community orientation and creativity are attractive to donors wanting to support a vibrant civil society. However, there has been much criticism of the heavy reliance on donor funding, which can be a threat to the autonomy and innovation, and their inability to provide reliable evidence of the effect of projects (Davis, 2001; Liebenberg, 1996; Pratt et al, 2006). This has implications for funding where donors want more formal systems for accountability and proof of impact. There is therefore a need for a fine balance in the complex relationship between donors and NGOs, where the NGO is able to continue with the creative responses to meet social needs and provide proof of impact and financial control. Many donors use the Logical Framework Approach to planning and implementation and expect NGOs to present their work in the same format. The next chapter reviews the Logical Framework Approach and its potential to assist NGOs, as well as the challenges of this tool. It begins the investigation into the implications of planning for NGOs.

## Chapter 4: The Logical Framework Approach

### 4.1 Introduction

NGOs are ideally placed to address the social and structural issues associated with poverty and inequality. Their close relationship with the community and adaptability enable them to adapt to the constant changes characteristic of a dynamic complex development environment. A weakness of NGOs is the inability to provide reliable evidence on the impact of projects, which, according to Davis (2001) creates doubts as to whether NGOs know what they are doing. Davis (2001), ICCO (2000) and Pratt et al (2006) have recommended that NGOs adopt modern planning, monitoring and evaluation methods to be able to prove the effect of their services in improving the human condition. It poses the challenge of designing projects in a manner that allows for observable impact. York (1988) records that the interest in evaluation started in the 1950s when the role of NGOs was redefined to agents of change and institutions wanted evidence of change. Duflo (2003) has found that this interest has intensified with the increased concern on the effectiveness of development aid. Bornstein (2004) adds that aid agencies want to see progress towards the accomplishment of the Millennium Development Goals. The use of logic models was introduced in the early 1970s to assist organisations such as USAID to develop plans that can be evaluated for effectiveness and impact. Butcher (2001:51) and Cranford (2003:80) note that many international aid agencies use the Logical Framework Approach (LFA), also known as the log frame, to assist with planning, monitoring and evaluation and the allocation of funding.

It should also be noted that many authors such as Bakewell and Garbutt (2005), Cranford (2003), Pasteur (2001), Taylor and Soal (2003) and Soal (2001) are critical on the relevance of the LFA for NGOs and suggest that alternative tools be found, which is still a longer term objective. In the mean time the chapter focuses on the use of the LFA as it is still used by multilateral agencies and elements are incorporated in the funding requirements of trusts and foundations. This chapter briefly reviews the history of planning models then focuses on logic models. The discussion on the uses and limitations of the LFA concludes with adaptations recommended by different authors, including taking note of postmodern and other critiques of the problems of rational planning models.

### 4.2 History of Planning Models

The search for accountable service delivery can be traced to the 1950s in the United States of America (USA). There was a change in the perception of NGOs from being evidence of a caring society to a means of bringing about social change (York, 1988:3). It was the beginning of the impact assessment movement with its interest in predicting the likely environmental, social and economic consequences before the start of the project. The results of the impact assessment would inform the project team whether they should approve, adjust or reject a project or strategy (Roche, 1999:18). Planners used the Environmental Impact Assessment (EIA), Social Impact Assessment (SIA), Cost-Benefit Analysis (CBA) and Social Cost-Benefit Analysis (SCBA) -

the last two focus on the economic effectiveness of the project. The LFA forms part of the next generation of planning tools that attempted to integrate social and environmental impact assessments into coherent forms (Roche, 1999). The second generation recognised the importance of the content and team processes taken to attain it.

NZODA (1996) attributes the development of the LFA to the “Management by Objectives” model popularised by Peter Drucker in the 1960s. According to Campbell (2001), the root of the LFA lies within the US military and was developed by NASA to plan space programmes. It was adapted in 1969 to make United States Assistance for International Development (USAID) more accountable to the US Congress (Cranford, 2003; Dearden & Kowalski, 2003; Harley, 2005:29).

The introduction of the LFA was to overcome the challenges of projects that were poorly planned. It was found that few USAID projects took notice of the people they were designed to help; projects often went off at unplanned tangents; there was overspending and many projects failed to have any positive impact (Campbell, 2001). According to Harley (2005:29) the LFA became an integral part of USAID project management in 1970s. Soon afterwards it was adopted by the Canadian International Development Agency (CIDA). It was incorporated into project management systems of development agencies in the United Kingdom and most of Europe in the following decade. The World Bank then followed suit.

The 1980s saw the development of new methods of enquiry aimed at gaining a better sense of the reality by incorporating local perspectives and opinions in interactions that addressed the root causes (Chambers, 1997; Roche 1999). These included rapid rural appraisal (RRA), participatory action research (PRA) and participatory poverty assessments (PPA). Also in the 1980s, the German Technical Cooperation (GTZ) introduced participatory planning with the involvement of the beneficiaries and key stakeholders in the objective orientated project planning approach, or ZOPP. Then in the 1990s there was a shift in development concerns *“from ideology to a greater emphasis on concrete, measurable results and iterative achievements”* (ICCO, 2000:9). The debate moved to increasing pragmatism and questions about beneficiaries becoming active partners in development, effectiveness, impact, added value and attribution. In the mid-90s USAID and CIDA modified the LFA to include monitoring and evaluation known as results based management (Cranford, 2003:80).

There have been developments within participatory action research to facilitate the involvement of beneficiaries in evaluation. The techniques have been adapted to the specific needs of programmes and organisations, such as Reflect and the internal learning system. Chambers (2007:15) describes Reflect as *“a participatory methodology which combines Paulo Freire’s theoretical framework on the politics of literacy with PRA approaches and user generated materials from PRA visualisations”*. It is a political process for social change where facilitated groups meet to reflect and analyse, creating democratic spaces for reflection-action-reflection.

Chambers (2007:17) describes the internal learning system developed by Helzi Noponen in India as a participatory means of impact assessment. Noponen worked with participants, who were often illiterate, using diaries and workbooks as records of changes over time.

Chambers (2007:17) reports that Noponen found that the normal power relationships were reversed. as "poor participants 'are the first to learn about programme impact and performance, and alter plans as a result (they) are not only data gatherers, but they are also analysts, planners and advocates for change".

Catholic Welfare and Development (2003) uses of the action learning cycle model of reviewing, reflection, learning and implementation to guide planning and evaluation. The participants are asked to review activities and reflect on the process by answering the questions:

- What were the activities?
- What happened during the activities?
- What went wrong?
- What did we learn from it?
- What made it successful?
- Which were the obstacles?
- How are we going to work in the future?

Davis (2007) has reviewed an emerging technique called "*The Most Significant Change Technique*". This method focuses only on qualitative issues capturing the intangible processes that are important for development. The project team decides which issues will reflect progress within the project, then collect stories and experiences that reflect the issues. Conclusions about the impact of the project are drawn from the analysis of the narratives. These new techniques show a growing interest in evaluation and the importance of projects being planned in a manner that allows for evaluation.

This study focuses on the Logical Framework Approach to structure project planning in order to evaluate the impact thereof at a later stage. It should be noted that the project team must know what methods they will use to evaluate the project e.g. the pre-test-post test design, to ensure that the necessary information is available when starting evaluation.

#### **4.3 Logic Models**

Logic models provide a simplified, visual representation of how a project is expected to work, linking the intention, or ends, with the activities or means (AusAid, 2003; Bakewell & Garbutt, 2005: 2; Dearden & Kowalski, 2003; ICCO; 2000; IFAD, 2007; NZODA, 1996; Shapiro, 1996). As stated before under the definitions, the log frame is but a communicative tool or snapshot of the process.

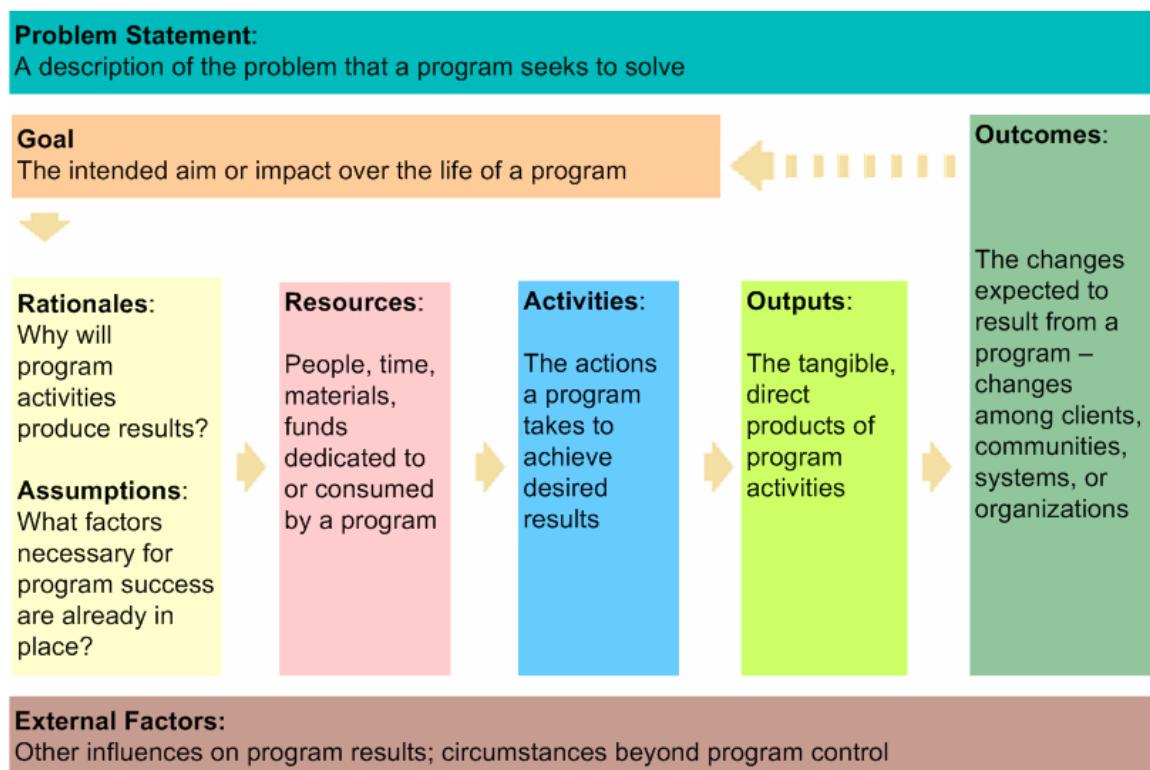
Logic models follow the modern school of rational planning based on cause and effect where "*a linear mode of inputs cause a set of predictable*

*outcomes*" (Bakewell & Garbutt, 2005:19; Harley, 2005:39). Campbell (2001) proposes that the logic model offers a holistic approach to planning by linking the problem, project and expected impact (figure 1)

The project design is reflected in diagrams or flow charts (figure 1) communicating the "*flow of logic*" between the key elements of a project and describing the effectiveness of an initiative (Bakewell & Garbutt, 2005: 2; Butcher, 2001:51; Hamilton & Bronte-Tinkew, 2007:3; Harley, 2005:27; McCawley, undated: 1).

The simplified summary of complex planning processes helps to bring purpose, clarity, direction, transparency and accountability into project management (Bakewell & Garbutt, 005:13; Campbell, 2001: McCawley, undated: 1).

**Figure 1 Logic Model Components (Innovation Network, 2005:4)**



The logic model structures the planning and design processes by defining the purposes, priorities and standards (AusAid, 2003; Campbell, 2001; Shapiro, 1996; NZODA, 1996). This structured approach helps the project team to consider all aspects of the project design (Box 3). It also ensures that the rationale, or logic, is consistent between the different elements and choice of indicators. It helps planners to ensure that the project achieves the purpose efficiently and effectively using scarce resources in the most appropriate way. They do not replace the different control systems such as environmental

assessment studies, gender analysis or financial control systems (Campbell, 2001; NZODA, 1996).

### **Box 3 The Stages of Developing a Log Frame (Campbell, 2001:22)**

- Define the goal
- Define the purpose
- Define the outputs
- Define the activities
- Define the inputs
- Verify the vertical logic
- Define the assumptions required at each level
- Verify the horizontal logic
- Define the objectively verifiable indicator (OVI) at the purpose, then output and then goal levels
- Define the means of verification (MOV)

#### **4.4 The Logical Framework Approach (LFA)**

The LFA is also known as the log frame, a 4x4 matrix (figure 2), which summarises the planning and design process into a visually accessible format (Bakewell & Garbutt, 2005:13; Campbell, 2001; McCawley, undated:1). It is a useful tool to communicate the project logic through the hierarchy of project elements in relation to the method of measuring change (Harley, 2005:29; ICCO, 2000). The rows provide the project narrative which describes the cause-effect relationship between each level in the hierarchy of objectives from the overall goal to the specific activities (ICCO, 2000; IFAD, 2007). Each level provides the rationale for the next level down. In reverse the completion of a level is necessary for the achievement of the next higher level (Shapiro, 1996; NZODA 1996). The columns represent the horizontal logic of the different elements needed to monitor progress and measure the overall achievement (ICCO, 1996; IFAD, 2007; NZODA, 1996).

There is some difference between organisations as to the number of columns that should be used. The Rural Development Support Programme (2002) suggests three columns: project narrative, indicator and means of verification, or evidence of change. ICCO (2000) and AusAid (2003) include a fourth column for the key assumptions or external factors that can influence positively or negatively the events described in the narrative. NZODA (1996) calls the fourth column “risks” and adds a fifth column to describe the risk management strategy or contingency plans, which it considers critical to the success of the project. Campbell (2001) notes that the emphasis on risks recognises the complexity of society and that implementation does often not occur as planned.

The model incorporates both quantitative and qualitative measures. The goal and objectives focus on the long-term outcomes which relate to an improvement in the quality of the original problem or lives of beneficiaries. Outputs refer to the specific results of the action plans also known as the operational plan. The action plan focuses on the immediate or short-term

changes linked to the activities and project implementation. RDSP (2003) refers to the quantitative concrete results which are the comparison of the actual results against the expected results. They are often reported as percentages.

**Figure 2 The Log Frame (ICCO, 2000:61)**

Narrative	Indicators of success	Means of Verification	Assumptions and risks
<b>Goal</b> What are the wider problems that the project will help resolve?	What are the quantitative ways of measuring or qualitative ways of judging whether the goal has been achieved?	What sources of information exist or can be provided cost-effectively?	
<b>Objectives</b> What are the intended short term effects of the project area or target group? What are the expected benefits and to whom? What changes will the project bring about?	What are the quantitative measures or qualitative evidence by which the achievement and distribution of benefits can be judged?	What sources of information exist or can be provided cost-effectively? Does provision for collection need to be made under inputs and outputs?	What conditions outside the control of the implementing organisation are necessary if the achievement of the project's objectives is to contribute to the overall goal
<b>Outputs</b> What outputs (kind, quantity and by when) are to be produced to achieve the objectives?		What are the sources of information?	What external factors must be present for the outputs to be likely to lead to the achievement of the objectives?
<b>Activities</b>	Summary of key inputs with costs What materials, equipment are to be provided at what cost over what period and by whom?		What external factors must be present if the implementation of the activities to produce the planned outputs on schedule?

The advantages of using the LFA are:

- placing the project within a wider development context
- focussing on the achievement of long term objectives
- contributing towards the goal of an improved state of well being.
- structure the project planning process
- linking the rationale of the strategy to the concrete action plans.
- Ensuring consistency through planning and implementation

#### **4.5 Uses and Limitations of the Logical Framework Approach**

As noted earlier the LFA is one of the most commonly used forms of logic model. The visually accessible format is seen to encourage transparency and

accountability encouraging the commitment of stakeholders to shared goals and methods (Bakewell & Garbutt, 2005:12; Campbell, 2001). Dearden and Kowalski (2003) have found that some of the problems experienced with log frames are not inherent to the log frame itself but can be contributed to in the way that the tool is used.

It is important to be aware of the weaknesses of a model to make contingency plans that will ensure the success of the initiative. This section will look at the uses and criticisms of the LFA.

#### **4.5.1 Outcomes Orientation**

Campbell (2001) describes the LFA as a holistic, visionary approach to project planning by focussing on the outcomes of definable long-term objectives to improve the quality of life. The focus moves from the number of people reached to the difference made in the lives of people, (Coetzee, 2004:82; McCawley, undated:2; NZODA, 1996; WK Kellogg Foundation, 2005).

The general approach in the literature is that the LFA is more suitable at the project level which has a narrow focus with clear outputs that can be achieved in a limited time (Bakewell and Garbutt, 2005:13; Cranford, 2003:85; Pasteur, 2001; Shaikh, undated). ICCO (2000) has found that the LFA is especially appropriate for blue print type infrastructural projects such as sinking boreholes where “hard” quantitative data is readily available (Cranford, 2003; IFAD, 2007; NZODA, 1996). Cranford (2003:80) and Pasteur (2001) have found that it is less suitable for complex social development issues such as democracy and governance, the type of issues addressed by NGOs. Coetze (2004:82) writes that the disadvantage of working at the project level is that “*a project orientated evaluation does not provide clear answers on the possible self-perpetuating change in life style on which one would have liked more information*”. However Cranford (2003) admits that it does help to show the immediate changes in the environment.

Although the focus of the LFA is solution-orientated, it begins with a detailed analysis of the problem which could affect the commitment towards collaboration and implementation. Bakewell and Garbutt (2005) and Dearden and Kowalski (2003) have found regional differences where it was considered culturally inappropriate to discuss problems openly. Further AusAid (2003) has found that beginning with the problem analysis can encourage a negative focus in the project. IFAD (2007) recommends that planners focus on the outcomes and move beyond the problem towards a solution.

A criticism against the outcomes orientation is that it assumes that results can be predicted, which Bakewell and Garbutt (2005) warn could lead to the perception that development is a mechanised process with guaranteed results. Cranford (2003:80) and Pasteur (2001:4) find that the LFA is more focussed on accountability rather than learning and improvement, discouraging the experimental nature of development. As Bakewell and Garbutt (2005:17) write, “*It forces you to plan on the basis of anticipated outcomes rather than enabling you to put in effort and see what happens*”.

Cranford (2003:80) adds, “*in practice most development initiatives are experiments, but the LFA sets them up to be judged by the criteria of what they set out to do*”.

Bakewell and Garbutt (2005:12) note that “*planning is limited by the experience and imagination of the project team*”. This influences the expected results and the choice of indicators to show change.

The emphasis on expected results can be problematic during the evaluation of the project as valuable qualitative information about unique dynamics could be ignored. Harley (2005:35) is especially concerned that the tendency to focus on positive progress towards the goal which could result in the negative and unintended effects being ignored regardless of the effectiveness of interventions. The project team could exclude, or reduce the value of, any important unintended consequences, the emerging opportunities and an understanding of the real outcomes and processes leading to such outcomes (Bakewell and Garbutt, 2005:14; Dearden & Kowalski, 2003:510; Harley, 2005:27). As such Harley (2005:32) suggests that it can be difficult to report on success as the dynamic and evidence of success may lie beyond the confines of the log frame. Together with Bakewell and Garbutt (2005), Harley (2005) recommends that it is important to examine and record the unexpected outputs.

#### **4.5.2 Measurement**

One of the strengths of the outcomes orientation is the intention to measure the effectiveness of initiatives. The use of quantitative and qualitative indicators of well being help to reflect changes in the environment, enabling the organisation to eventually determine the impact of the project on an ongoing basis it helps to ensure that the project is meeting the needs of the intended beneficiaries. At a management level it helps in establishing the efficient use of scarce resources. However, successful measurement relies on the selection of appropriate indicators that can provide accurate and relevant information. The usefulness of indicators relies on the accurate and detailed situational analysis in order to compare the current situation with the baseline information collected during the situational analysis.

Taylor and Soal (2003) and Kraak (in Everatt & Gwagwa, 2005) emphasise the importance of measuring progress as part of good development practice. Measuring results allows the organisation to reflect on the process and understand the impact on complex systems. This helps the project team to focus on areas for improvement and react accordingly. Innes and Booher (2000:179) have found that the process of reflection and action helps organisations become adaptive learning systems. Innes and Booher (2000:178) further note that the ongoing monitoring helps planners to understand the nature of complexity and get an idea of what could lead to positive results. This information is used by government to shape policy and donors to allocate funding for greater impact (Harley, 2005; Kraak in Everatt & Gwagwa, 2005).

The WK Kellogg Foundation (2005:7) refers to the log frame as “*a snapshot of the programme at any one time*” enabling a comparison of future changes. Bakewell and Garbutt (2005) attribute part of the success of the model on the use of appropriate indicators that can measure changes in the environment to determine the success or failure of the project reaching the goal. Bakewell and Garbutt (2005), Cranford (2003:80) and Meadows (2001) note that it is sometimes difficult to find appropriate qualitative indicators, with verifiable data, especially for the less tangible changes such as equity, empowerment and well being. Coetzee (2004:82) comments that “*it is clear that the Logical Framework Approach and similar evaluation procedures have been devised and tested in First World countries where statistical data is readily available and where... people accept surveys of all kinds as a matter of course*”. Coetzee (2004) concludes that the data requirements for the log frame would be more successful on a modern system where data is freely available. Harley (2005) notes that this data is not freely available in the developing countries, where the LFA is implemented, thus planning and the choice of indicators has to be adapted to account for the lack of relevant data. Harley (2005) suggests that this weakens the usefulness of the LFA.

AusAid (2003) suggest that NGOs could reduce their planning to simplified objectives, avoiding qualitative indicators that will allow for the logical relationships rather than address the problem. Azarnoff and Seliger (1982), AusAid (2003) and ICCO (2000) warn that there is the danger that the description of reality does not reflect the experiences of the beneficiaries. Chambers (1997) refers to this as reframing of reality. It could result in the design of projects that do not meet the needs of the intended beneficiaries. Harley (2005) cautions that changing the project design to meet the measurement criteria of the approach could result in important, but inconvenient, aspects being left out. The combination of reframing reality and the lack of appropriate indicators runs the risk of the log frame becoming a “*lack frame*” described by Gasper (1999 as cited in Dearden & Kowalski, 2003:504) as it is not an accurate reflection of the problem and context.

#### **4.5.3 Communication**

As noted in the introduction, the log frame gives a visually accessible summary of the development thinking or logic that links the problem, intervention and impact of the project. It can be an important communication tool that informs the outside world what the project intends to achieve and how the proposed activities will bring about the change. It is a useful structure to report activities, progress and changes in the environment. The log frame matrix can be an important tool to increase transparency, encouraging participation and the commitment of stakeholders (Bakewell and Garbutt, 2005; Campbell, 2001; Dearden & Kowalski, 2003). Dearden and Kowalski (2003) have found that the clear systematic design creates a common language that ensures consistency throughout the project cycle of identification, planning, implementation, monitoring and evaluation. It helps to identify the critical tasks that need to be carried out to reach the project objectives, enabling everyone to work towards the same goal (Campbell,

2001; Dearden & Kowalski, 2003; NZODA, 1996). It can encourage accountability by defining the responsibilities of each stakeholder.

Dearden and Kowalski (2003: 507) found that log frames can help resolve conflict by getting everyone to speak the same language. *"In this specific case, the very process of using PPCM tools and developing an agreed log frame enabled staff of the two different organisations to speak the same language and to agree on a set of new objectives for their programme and to build a strong team."* On the other hand, Bakewell and Garbutt (2005:12) found that organisations had difficulty communicating the concepts in a coherent manner as the logic is linked to western positivist thinking which can be difficult to grasp by other cultures. Dearden and Kowalski (2003:504) have described the use of the LFA as "*culturally imperialistic*" as it ignores other ways of thinking.

According to Dearden and Kowalski (2003: 502) "*It is important to emphasise that a log frame is simply a tool for communication that, if used correctly, adds clarity to the planning process and serves as a summary of the interaction and analysis that has taken place*". As a summary, the LFA should be read with the full explanation to reflect the whole process (Campbell, 2001; Dearden & Kowalski, 2003:504). This often does not occur in practice resulting in the criticism that the LFA gives a one-dimensional representation that does not "reflect the messy reality of development" (Dearden & Kowalski, 2003:504; Pasteur, 2001).

#### **5.4.4 Participation**

According to Dearden and Kowalski (2003: 502) "*One of the most important points to be stressed is that no log frame should be an end in itself. Instead, it should be thought of as the product of a participatory planning process that is user driven and objectives led.*" An inclusive, consultative process is an important principle for any development planning as stakeholders are actively involved in creating the shared vision and selecting an appropriate strategy, enhancing the success of the project (Miranda & Hordjik, 2001; NZODA, 1996; Roche, 1999; Soal, 2001). AtKisson (2001:362) found that the debate generated from the practical question of how to measure sustainability created a common ground for the building of relationships, community and consensus about the concept of sustainability and what people thought that it should be. Further AtKisson (2001) found that the planning process needed skilled facilitation for leadership and to ensure organised meetings that supported progress. Campbell (2001:2) finds the emphasis on a negotiated, participatory process and commitment prevents a mechanised approach to development.

AusAid (2003) proposes that the value of the LFA is derived as much from the synergy of co-operation. There is some debate as to the depth of understanding of the model for people to participate fully. AusAid (2003) further suggests that it is not necessary for all the participants to be able to use the log frame as long as they are involved in the planning process. However, according to Bakewell and Garbutt (2005), the LFA assumes that everyone understands the model and can participate fully, freely sharing

information. Not understanding the LFA would affect the quality of planning and participation. There is the possibility of reinforcing power relations by using the technical language to alienate and exclude people from participating fully in the process (Dearden and Kowalski, 2003:504). Dearden and Kowalski (2003: 504) have found that open communication is difficult when there is a lot of uncertainty or where people cannot agree on the problem.

#### **4.5.5 Flexible Management Tool**

Dearden and Kowalski (2003) describe the log frame as a flexible, living document which reflects a dynamic environment. It is important that the logframe is updated as new information becomes available about the changing context, evolving with the project as the plans and goals are amended in response to this new understanding (IFAD, 2007: 1; AusAid, 2003; ICCO, 2000; NZODA, 1996). There is the danger that the indicators become targets and the basis of contracts and reduce the flexibility of the document making it more difficult to modify the plan to the changing environment (Bakewell & Garbutt, 2005:13; Pasteur, 2001:4). Bakewell and Garbutt (2005) recommend that review and development procedures are built into reporting systems throughout the implementation phase to ensure that the log frame is treated as a living, flexible tool.

Dearden and Kowalski (2003: 504) acknowledge that it is possible to misuse the logframe, creating a ‘lockframe’ as shown in the following quote: “*After a log frame has been prepared, there is a danger of its becoming fixed as a ‘lockframe’, as Gasper (1999) has termed it. Sadly, many logframes are developed but then never revisited and/or updated. Overbearing and rigid managers have in many cases destroyed the real value of the logframe as a management tool*”.

Ironically a negotiated participative plan can also reinforce the ‘lock frame’ preventing modification to the activities or project as the project team has to return to the stakeholders to renegotiate any changes to the logic and plan (Bakewell & Garbutt, 2005:19). This can result in the danger of running inappropriate projects (Dearden & Kowalski, 2003; Shaikh, undated). In the light of this Pasteur (2001) and Shaikh (undated) recommend that NGOs negotiate and reach consensus on the goal and purpose but not the specific activities. This will allow the flexibility to adapt tactics to the changing context.

#### **4.5.6 Funding Tool**

The log frame is the format used by bilateral and multilateral agencies when considering applications for funding (AusAid, 2003; IFAD, 2007; NZODA, 1996; WK Kellogg, 2005). Most NGOs will complete the log frame to comply with donor requirements rather than use the LFA to guide the design process (Bornstein et al, 2003; Dearden & Kowalski, 2003; Soal, 2001; Yachkaschi, 2006). The tool is reduced to a “*logic-less frame*” where the thinking is not consistent (Gasper, 1999, as cited in Dearden and Kowalski, 2003: 503). As noted previously, AusAid (2003) suggest that NGOs could reduce their planning to simplified objectives and an artificial reality that will allow for the logical relationships. The log frame is designed to ensure that the expected

results are achieved and so make the organisations look more effective. Bakewell and Garbutt (2005:6), Wallace et al (1998) and ICCO (2000) expressed concern that NGOs could be pressured to produce visible sustainable impact quickly and routinely which results in development becoming a mechanised process. There is the danger that NGOs could become more responsive to the demands of donors and less to their clients (Wallace et al 1998).

#### **4.5.7 Complexity**

The LFA is based on the linear logic of the theory of cause and effect. It falls within the school of modernist thinking where rational planning theory holds that conditions can be controlled to bring about the desired results. Thus it is assumed that all project contingencies can be foreseen from the start and that there will be a predictable, linear, logical positive progression from activities to outputs to purpose to goal (Cranford, 2003:86; Pasteur, 2001:3). Bakewell and Garbutt (2005:12) use the analogy of an engine “*...as if we can turn the key in the engine of development and the wheels start turning*”. The model assumes that progress is a process of positive change towards the goal in a constant, stable environment.

Cranford (2003:86) sees this as a weakness of the LFA as it does not take account of the irregular process of development that follows a non-linear pattern with progressions and regressions. This simplistic and narrow view of the world ignores the complexity of development and the multiple realities which often defy a logical explanation. It raises the concern that the LFA is not sensitive to the context (Cranford, 2003:85; Harley, 2005:36). Shaikh (undated) proposes that development activities can take many different routes to reach the same goal and implementation should be allowed to flow in response to the environment and changing needs.

This is especially the case in developing countries where the LFA is most widely used (Harley, 2005:27; Cranford, 2003; Pasteur, 2001:3). It should also be noted that conditions between the North and South differ considerably, something that is not always acknowledged by donors. According to Harley (2005) “*The evidence shows that while the log frame brings purpose and clarity to project management, this very strength, in the form of technical rationality, brings attendant limitations to an understanding of real outcomes and processes leading to such outcomes. Inherent logframe limitations may be masked by the settled and stable conditions enjoyed by developed countries. In developing African countries, however, conditions and contexts are very different, and ...a particular set of contextual factors (can) lead to the logframe being played out in different ways*

”.

It is therefore important that the LFA be used in a more flexible and adaptable way and that certain adaptations be made to include multiple realities and different routes and feedback loops. One way of doing this is by promoting a social learning and participative orientation.

#### **4.5.8 Risk Management**

There are many factors beyond the control of the project, affecting the way things work (AusAid, 2003; Bakewell and Garbutt, 2005:12; Cranford, 2003:86; Harley, 2005:27; Herlein et al, 2004; Pasteur, 2001:3). Campbell (2001) suggests that the LFA is sensitive to the external environment as it requires planners to be explicit about the assumptions, uncertainties and risks which may affect the project and the achievement of its purpose (AusAid, 2003; Campbell, 2001; IFAD, 2007; NZODA, 1996). Pasteur (2001) and Azarnoff and Seliger (1982) found that there was often a reluctance to include the expected negative outputs and outcomes as there was the fear that it could discourage donors and stop funding. As such the detailed risk is usually not included in the project presentation which in turn affects the logic of the model (Pasteur, 2001). Harley (2005) has found that the applications of the LFA mostly do not encourage reflection on the unintended consequences of development. Harley (2005) recommends that project teams need to reflect on these changes as a positive intervention may lead to unintended negative consequences. Muller (2006: 1065) refers to these as wicked problems, where “*the more attempts are made to solve them, the more complicated they become*”. An example would be economic development leading to environmental damage and social disintegration, which could lead to people being less happy than they were before.

Risk management and coping with the unexpected is critical for the success of the project reducing the use of scarce resources on potentially inappropriate strategies (Bakewell and Garbutt, 2005:16; NZODA, 1996; Shaikh, undated). The intention is to encourage implementers to anticipate potential responses and look for mitigating measures to reduce the potential threat (Campbell, 2001; NZODA, 1996; Shaikh, undated, WK Kellogg, 2005:5). Shaikh (undated) suggests that the assessment should go beyond the listing of assumptions, to developing of contingency or mitigating plans. Bakewell and Garbutt (2005) have found that more time is spent on outcomes and indicators and “*risks are almost always poorly analysed and just put in for completeness’ sake*”.

#### **4.5.9 Training**

Soal (2001:1) describes the LFA as a sophisticated tool, which can be unwieldy, complicated and overbearing. AusAid (2003) acknowledges that the use of the LFA challenges even experienced users. There is a need for a high level of training and support to ensure that the LFA is used as intended (Soal, 2001; Bakewell & Garbutt, 2005:6). Dearden and Kowalski (2003) recommend that the successful implementation of the LFA requires skills in programme and project management cycle. The training needs careful facilitation with team building and adult education techniques to encourage full participation, commitment and the ownership of the tools. This would include the soft skills of management such as visioning, visualisation techniques, brainstorming, complex case studies, participatory work and team building. It is proposed that a successful project relies on the ability of the staff of NGOs to understand the importance of this strategic approach and integrate it into their daily practice

The training should include hard and soft skills such as visioning, listening, the ability to combine experiences, managing participation and establishing concrete goals from abstract concepts of well being. This can be seen as the ongoing process of internal skills training, strengthening capacity over time. The rewards are more focussed and effective projects. The organisation becomes more transparent, accountable and credible which in turn attracts greater support for more success. Not only will it help in completing the log frame but it has the potential to capacitate staff to provide effective services. Planning becomes a collaborative process in line with social learning, rather than the top-down instructions from an objective expert as in the rational comprehensive planning model.

#### **4.6 Adaptations of the Log Frame**

There appears to be a general consensus on the success of the vertical logic of the LFA to assist planning. Pasteur (2001:4) summarises the value of the vertical logic as providing “*a structure and procedures to guide project planning and ensure accountability*”. Many authors proposed that the insistence on measuring achievement makes evaluation a logical extension of the planning process (AusAid, 2003; Hamilton & Bronte-Tinkew, 2007:1; NZODA, 1996; Shapiro, 1996; WK Kellogg Foundation, 2005). ICCO (2000:21) however, qualifies this as the LFA has only been used at the design stage, the next phase of monitoring and evaluation still has to be tested. Bakewell and Garbutt (2005:19) recommend that the ideal is to find a tool that allows the logic and shows the progress without “*locking actors into inappropriate courses of action*”. Organisations have therefore adapted the LFA to reflect different aspects of development, as indicated below:

##### **4.6.1 WK Kellogg Foundation**

The WK Kellogg Foundation (2005:9) expands the LFA into three different logic models to represent the planning process more fully. These are the theory approach (conceptual), the outcomes approach and the activities approach (applied). The theory approach focuses on the theory of change that has influenced the programme design and plan; it looks at the beginnings of the project explaining the reasons for exploring an idea, specifying the problem and exploring strategies; it illustrates how and why the programme will work.

Hamilton and Bronte-Tinkew (2007:3) note that the model is “*often research based and is commonly used for persuading funders about a programme’s potential*”. The outcomes approach model focuses on the early aspects of the programme planning providing the intended results; it connects the use of resources with the desired results through workable programmes. McCawley (undated:4) and Hamilton and Bronte-Tinkew (2007:3) divide the outcomes into immediate, mid-term and long-term to show how participants will benefit from the programme over time. This model is most useful for designing evaluation and reporting strategies. The activities approach looks at the specifics of implementation and management. It describes the planned work

and services it will provide for the community (Hamilton & Bronte-Tinkew, 2007:3). It is therefore useful for monitoring and management.

The WK Kellogg Foundation (2005:4) records this information in a flow chart that shows the relationship between the resources and impact (figure 3). It reads from left to right and follows the “if-then logic”: *if* the resources are available *then* the activities can be implemented and *if* the planned work occurs *then* intended results will be achieved.

**Figure 3 W.K. Kellogg Foundation Logic Model Flow Chart  
(Source: [www.wkkf.org](http://www.wkkf.org))**



#### **4.6.2 Planning and Implementing Framework Analysis**

ActionAid is an international NGO which works according to a rights-based approach, rather than needs-based approach. According to Shaikh (undated) their objection to a needs based approach is that it “*does not question what needs to be done ...it tends to keep people’s rights with the State, market forces and civil society*”. The rights-based mode of implementation will often result in changing activities or tactics to respond to the environment as discussed earlier under complexity. ActionAid therefore uses an adapted log frame approach in their planning, which they call a Planning and Implementation Framework Analysis (PIFA) (figure 4).

PIFA has the elements of participation together with the vertical logic but avoids the rigidity of the linear logic and target indicators (see figure 4). PIFA has substituted the section on indicators and means of verification with the measure of achievement and means of measurement or standards of accountability. It allows for the flexibility of “*going through a different route to achieve the outcome or impact*” (Shaikh, undated:1). Thus a change in strategy does not affect the vertical logic. According to Shaikh (undated). ActionAid introduced the important component of a risk analysis column as it wanted to acknowledge that a rights based approach entails risks rather than assumptions during implementation.

It was intended to encourage the implementers to look for risk mitigating measures. The programme partners, participants and other stakeholders column was added to clarify which programme participants and other stakeholders they need to work with or influence to achieve the output-outcome-impact of the programme

**Figure 4 Planning and Implementation Framework Analysis  
(Shaikh, undated:3)**

Narrative Summary	Measure of Achievement	Means of measurement or Standards of Accountability	Programme Partners, Participants, other stakeholders	Risk Analysis
Goal / Impact				
Purpose / Outcome				
Output				
Activities				

#### **4.6.3 Technology of Participation**

The New South Wales Department of Housing developed the Technology of Participation to formalise community development projects and provide some form of accountability (figure 5). Butcher (2001:51) describes the tool as incorporating the vertical logic of the LFA together with bottom-up group decision making which encourages the involvement of residents. The Technology of Participation is based on a series of questions rather than defining what will occur as a series of statements. The goal becomes the starting point rather than an action. This information is then used to complete a log frame later as part of the application for funding. Butcher (2001:51) notes that it runs the risk of the objective becoming negative but this is remedied once the questioning process has been carried out. Butcher (2001:52) found that preparing the basic linkages made it easier for the group to contribute to the indicators of success and risks to complete the funding application.

**Figure 5: Technology of Participation (Butcher, 2001:51)**

What is the goal or vision?	
What are the obstacles or blockages to achieve the vision	↓
What might be the strategies to overcome the blockages?	↓
What might be the specific actions to realise the strategies	↓

#### **4.6.4 Project Guide for Planning**

After an assessment on the use of the LFA with sustainable livelihoods, Pasteur (2001:4) concludes that there is a need for a more flexible framework with clearly defined principles for engagement. She thus proposes an alternative framework that would maintain the vertical logic but does away with the more problematic aspects of the horizontal logic to guide project planning (figure 6). The project guide is based on “*the theory that the primary requisite is a clear set of mutually agreed principles for engagement and*

*partnership, a clear process for working, learning and monitoring progress*". The goal and principles are negotiated and fixed for the duration of the intervention but the purpose and process would be reviewed and renegotiated at different stages. The indicators would be more flexible and process orientated, developed in a collaborative manner with all stakeholders

**Figure 6: Project Guide for Planning (Pasteur, 2001:4)**

GOAL	
PRINCIPLES Mutually agreed principles for partnership work, between principal actors involved (donors, recipients and partners) These might include mutual transparency and accountability Mutual learning Capacity building; human rights; gender/ethnic/class equality	Key change areas (agreed with stakeholders) e.g. tracking availability of documentation, women's attendance at meetings.
PURPOSE Expected change or benefit to be achieved by the intervention	Key change areas: i.e. areas that will illustrate impact
PROCESS Processes by which the goal, purpose and principles will be achieved Process by which local capacity and sustainability will be build Processes for reviewing and dealing with unforeseen changes in the project environment Process for reviewing and updating the framework annually Process by which learning will happen i.e. process outcomes and impact M&E systems and other forms of learning	Key change areas e.g. processes successfully completed Change resulting from capacity building Learning achieved and how it is used.

#### **4.6.5 Output-to-Purpose Summary**

Dearden and Kowalski (2003:508) have developed an alternative matrix for the monitoring and evaluating of development initiatives. They recommend the use of the output-to-purpose matrix to track progress (figure 7). The form allows for the collection of data and information related to the indicators at different levels. It provides the space to include unexpected outputs with an analysis of their contribution to the project. The rating indicates the likelihood of achievement.

**Figure 7 Output-to Purpose Summary (Dearden & Kowalski, 2003:508)**

Project Goal:

Project purpose:

Project purpose	Impact and Sustainability	Recommendations and Actions	Rating
Indicator of achievement	Results of intervention		1
Outputs	Contribution to Purpose	Key issues	Rating
Output 1			1

Unexpected output	.		
<b>Key Issues</b>			

Rating: 1 – very likely to be achieved; 5 unlikely to be achieved; x – too early to assess likelihood

#### 4.7 Summary

The change in donor thinking has increased the demand for accountability and the ability to measure change. As most social development services are needs driven, it is proposed that the Logical Framework Approach can be a very useful tool to structure short term focussed projects that will contribute to an observable improved quality of life but that the critiques against the tool should also be taken seriously and that adaptations to the matrix might even be needed as in one of the alternative matrixes above.

Most authors agree that the vertical logic of the Logical Framework Approach provides important guidelines to structure thinking in the planning phase of the project cycle (AusAid, 2003; ICCO, 2000; IFAD, 2007; NZODA, 1996; W K Kellogg Foundation, 2005). There is less certainty about the effectiveness of the LFA in evaluation because it is not always possible to predict results, the tool does not address the complexity of society and development and the difficulty of working with qualitative characteristics and information (Bakewell & Garbutt, 2005; Cranford, 2003; ICCO, 2000).

AusAid (2003) warns that the approach is not a magical solution to good project design. However, it is suggested that it can be a powerful analytical tool when used in a flexible and participative manner to support planning and implementation. A very important aspect discussed in the literature regarding the uses and limitations has shown that there is the need to balance the structure approach to planning and the participative social learning processes. As in the 'Technology of Participation' matrix mentioned above, it might even be necessary to divorce the planning process from the filling in of the log frame for the funding application.

Also very significant is the demand of a dynamic complex environment which requires that NGOs should implement the log frame as a flexible planning tool to adapt activities to the changing environment. The value as a means of communication assumes that the log frame is developed in an open process where everyone shares the vision and is committed to the project. The project team has to be aware of the potential to alienate participants through the use of technical language and the emphasis on western positivist thinking that is foreign to other cultures. The literature therefore suggests that the LFA can be a useful aid if there is sufficient training and skill in its use and a critical attitude towards the tool is adopted at all times, taking note of the critiques mentioned in this chapter,

## Chapter 5: Project Planning

### 5.1 Introduction

The reliance on donor and public funding places a responsibility on the NGO for the efficient and effective use of scarce resources. This demands a commitment to accountability and transparency in their work. It is suggested that the rational planning model generates information to support the participative process of social learning that guides effective project management. The Logical Framework Approach (LFA) discussed, in Chapter 4, assists project teams with planning by providing a framework to structure the different levels of planning, thus translating the development rationale into effective activities, or services that will resolve the problem. The model offers a structured approach to the management cycle which Campbell (2001) and Pasteur (2001:4) describe as the continuous process of identification, planning, implementation, monitoring and evaluation. The structured approach to service delivery introduces the potential for integrating social research into daily practice. The objectives are the hypothesis, the activities the experiment and evaluation the conclusion. Babbie and Mouton (2001) refer to evaluation as applied research while Taylor et al (1990) call it action research, both valid methods of enquiry.

Unfortunately much of the literature on this is couched in highly technical language which Dearden and Kowalski (2003: 504) notes alienates people and interferes with the participatory process. Liebenberg (1996) noted that a major weakness of NGOs is that they employed unskilled members of staff which affected the effectiveness of the organisation. Bakewell and Garbutt (2005), Dearden and Kowalski (2003) and Soal (2001) all recommend that successful planning, and effective services, relies on people being trained in the principles and elements in the programme and project management cycle, which can be a substantial investment of resources. The purpose of this chapter is to look at the implications of adopting a strategic outcomes-based approach to planning by reviewing the different stages of planning: situational analysis, selecting indicators and designing the project in terms of the goals, objectives, outcomes, outputs and monitoring, according to the literature. It doing so this chapter will refer to the critiques and challenges highlighted in the literature in relation to these elements.

### 5.2 Why plan?

Some might ask why it is necessary to plan when there is so much work to be done. Wiek and Walter (2009:365) suggest that planning is only necessary if a “a compete resource is in danger of scarcity ..... referring to the goal of effective and efficient use of scarce resources”. According to NZODA (1996), social interventions are a resolve to take purposeful action to bring about changes. York (1988:34) states that the purpose of planning is to maximise the efficiency and effectiveness of programme results, so as to guide programme activities and the allocation of resources. Soal (2001) proposes that the challenge for the non-profit sector is to become more actively involved in the debate and show meaningful changes that create a more equitable society that has a better quality of life for all.

Davis (2001) and Pratt et al (2006) recommend the use of modern methods of planning, monitoring and evaluation to prove the effect of service and be accountable to their clients and donors. Ritchie (2002:10) adds that planning, together with funding, is important for the sustainability of the organisation and projects. “*A lack of funding and poor prospects of future funding, put NGO staff into crisis management and survival mode with no time to consider the future.*”

The importance of a structured approach can be seen in an examination of the Chinese adage sometimes attributed to Confucius:

*“Give a man a fish and he eats for a day,  
but give him a rod and he eats for life.”*

This statement assumes that access to skills and resources, i.e. the rod, addresses the immediate need and provides a sustainable solution for an improved quality of life. The structured approach is a reflection of the modernist approach of cause and effect and the ability to control consequences. In order to determine whether this statement is true, there is the need for a deeper analysis of the nature of the problem (situational analysis) and potential responses that will improve the situation. This information, and subsequent decisions, is then used in the design of the strategy or programme that is considered to be the most appropriate solution (planning). The success of the planning process is shown through ongoing monitoring which focuses on the effect of the intervention. Finally the assessment of the long term changes in behaviour (evaluation) helps to determine the success of planning and implementation and whether the initial assumption of cause and effect was valid. The process of planning and implementation needs to be supported by a system of monitoring and evaluation for a flow of information to make the necessary adaptations and adjustments to the original solutions in the project plan to ensure the success of the project. This includes the continual reflection and adaptive social learning by all parties, even the donors.

The critical analysis would need to consider:

Why is the man hungry? (problem definition)

What is stopping him from satisfying his hunger? (situational analysis)?

Did he like eating fish and catching it? (right to choice)

Did anyone ask if he liked fish and was prepared to eat it? (community consultation)

Did he manage to feed himself?(immediate achievement)

Did fishing resolve the hunger? (desired effect)

Did teaching a man to fish remove or increase his self-sufficiency and if not why? (evaluation)

Is there enough fish to satisfy the hunger in the future? (environmental limits)

Did he sell the rod to buy more fish? (alternate strategy)

Did he catch more than he needed and started a business? (economic development)

Did he also teach others how to fish, helping them to become self-sufficient? (social development)

The change to a strategic management approach requires an investment of time and resources to restructure management procedures and structures to accommodate the data collection and analysis for monitoring in order to evaluate the effectiveness of activities. Wiek and Walter (2009) recommend that an organisation needs to carefully consider whether the problem is worth the effort and resources to embark on a more strategic approach.

As noted in Chapter 2 planning is a value laden process that cannot rely only on the technical collection and analysis of information for a master plan. The commitment to people centred development requires that NGOs incorporate social learning and collaborative processes which encourage an inclusive process where the beneficiaries are also part of the project management cycle. It implies that the organisation has the staff, time and resources to incorporate an intensive consultative process into their project planning. Wiek and Walter (2009:368) recommend that the process needs an organised and co-ordinated approach to be able to respond to the needs, requests and capacities of the stakeholders in order to arrive at quality decision. Even when co-ordinated by an external agency, it requires time and resources to participate in such a process. AtKisson (2001) also recommends that there has to be skilled facilitation and leadership to support the ongoing discussion and negotiation essential for a participative process.

AtKisson (2001) notes that is a new way of thinking that needs people to think carefully about what changes they want to cause and how to measure those changes. Collaborative discussions enable the stakeholders to define the concepts of sustainability and reach a consensus on the vision or goal. As discussed in Chapter 4, the selection of appropriate indicators is vital to be able to determine whether the project is making any progress. AusAid (2003) and ICCO (2000) have found that it is not easy to find qualitative indicators for social development projects. A substantial amount of time could be required to select appropriate indicators and establish the systems for the collection and analysis of information to be able to measure activities in order to reach a decision about the effectiveness of services. It could become necessary to reanalyse the problem and develop different strategies in order to bring about qualitative changes in the situation. Pierce County (1997) notes that there is a need for internal management systems will need to be developed for the collection and analysis of information about service delivery timely for management decisions.

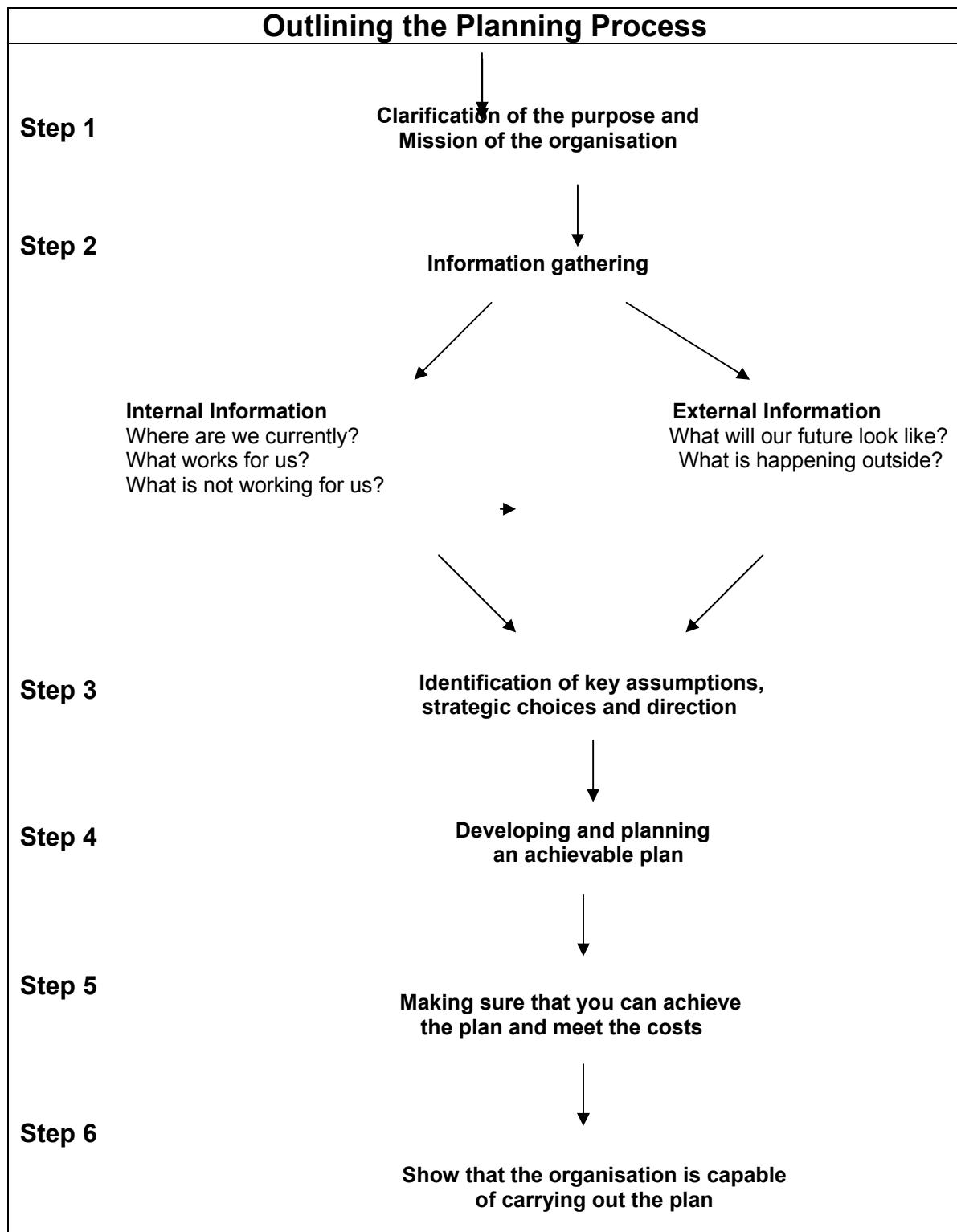
The success of outcomes based planning relies on the commitment and participation of the staff and leadership to want know the effect of the projects and integrate the skills into their daily practiced. It requires management systems, styles and a communication strategy that can make staff aware of how the process and information collected is relevant and used in decision making to improve the quality of the project and increase their effectiveness in the field. Such an analysis presumes that the project team is skilled in programme and project cycle management. The staff needs to develop the

skills to integrate the vision and principles of the outcomes orientation into their daily practice. It is expected that positive experiences, feedback and incentives linked to the implementation of management systems will reinforce the commitment to accurate reporting. The adoption of outcomes orientation as a management style requires a great deal of time and commitment as it will involve restructuring and changing practices. Training is needed in the principles and skills of development and the project management cycle. The training should include hard and soft skills such as visioning, listening, the ability to combine experiences, managing participation and establishing concrete goals from abstract concepts of well being. This can be seen as the ongoing process of internal skills training, strengthening capacity over time. The rewards are more focussed and effective projects. The organisation becomes more transparent, accountable and credible which in turn attracts greater support for more success. Not only will it help in completing the log frame but it has the potential to capacitate staff to provide effective services. Planning becomes a collaborative process in line with social learning, rather than the top-down instructions from an objective expert as in the rational comprehensive.

The rewards are more focussed and effective projects. Azarnoff and Seliger (1982) suggest that positive experiences, feedback and incentives linked to the implementation of management systems will reinforce the commitment to accurate reporting. The organisation becomes more transparent, accountable and credible which in turn attracts greater support for more success. Planning becomes a collaborative process in line with social learning, rather than the top-down instructions from an objective expert as in the rational comprehensive planning model. However modern management techniques can impact on the organisation and activities and has the potential to negatively affect the community relationships and innovation characteristic of NGOs and need to be carefully managed and continually reflected on (Bornstein et al, 2003; Yachkaschi, 2006). Further NGOs have to make value decisions that affect implementation such as accountability versus responsiveness to clients (Bornstein et al, 2003). The challenge for NGOs is to balance the requirements of formal management systems with the flexibility and creativity of social learning and empowerment.

Here we focus on the requirements of planning, monitoring and evaluation, according to the literature, should the NGO decide to adopt a strategic outcomes based tool such as the LFA. Ritchie (2002, 12) proposes that the planning process should consist of six steps (figure 8). The planning process consists of the situational analysis, selection of strategy, developing a project vision and objectives, project activities and developing indicators to measure the impact of the project, which would feed back into the original process. Each of these steps will now be discussed in more detail.

**Figure 8 The Planning Process (Ritchie, 2002:12)**



### 5.3 Situational Analysis

AusAid (2003) describes the situational analysis as a structured analysis of the existing situation conducted before the project design. The situational analysis is also called problem definition (Azarnoff & Seliger, 1982; PAWC<sup>7</sup>, 2002; Southern Hemisphere Consulting, 2002), problem diagnosis (ICCO, 2000), diagnostic evaluation (Bless & Higson-Smith, 1995), needs assessment (Community Chest, 2004), development strategy (Illbury & Sunter, 2005) or the preparatory, pre-feasibility stage (AusAid, 2003; NZODA, 1996). There is a general agreement in the literature that a thorough understanding of the problem, context and community is essential for the success of the project. As noted in Community Chest (2004:30) “*the more detailed your knowledge of the needs, the more accurately you can plan*”

Shapiro (1996) cautions that it is important to understand the problems, the community and how the development activities can help the beneficiaries before an organisation jumps into a situation. As noted in Chapter 2, society is a dynamic system that is constantly evolving (Innes & Booher, 1999; Samara, 1998). Chambers (1997) reminds us that this constant change is influenced by the results of other interventions, outside factors, policies and differences among the intended beneficiaries beyond the scope of the project. The situational analysis enables the organisation to understand and measure these factors together with the problem, the context in which it operates and the full implications of change on the target group. The analysis establishes a baseline against which the future changes, both positive and negative, can be measured (AusAid, 2003; Babbie & Mouton, 2001; ICCO, 2000; Jeppe, 1985; Soal, 2001; Taylor et al, 1990). The process goes beyond the presenting problem or symptoms in order to address the root causes; otherwise the problem will continue in the present, and in an amended, more complex form, as the dynamics change (Chambers, 1997; ICCO, 2000). AtKisson (2001:353) found that “*the practical question of how to measure sustainability, in all its facets, emerged as the best way to explore issues in more depth and to develop a sense of common understanding*”.

It is tempting to skip this phase and go directly to a solution without understanding the situation. However, Senge et al (1998) notes that if the solution were intuitively obvious it would have been implemented before. The situational analysis is vital in ensuring that interventions can be adapted to local conditions, thereby reducing the risk of failure. The situational analysis is never complete before the start of a project and needs to be extended and updated as additional information and insights become available through monitoring and evaluation (Azarnoff & Seliger, 1982; ICCO, 2000). A thorough situational analysis will provide a clear understanding of the problem, context and stakeholders leading to an assessment of potential responses or scenarios. Box 4 provides a summary of the planning processes that are part of the situational analysis.

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<sup>7</sup> Provincial Administration of the Western Cape

## **Box 4 Processes within the Situational Analysis (International Federation for Agricultural Development, 2007:7)**

1. have the end in sight
2. understand the nature of the problem and the context in which it occurs
3. realise that there is more than one way to address a problem
4. consider alternative strategies with their potential responses to find the best approach
5. identify the key behaviours that will help to benchmark change
6. estimate the data needed to monitor changes in behaviour
7. establish systems for the collection and analysis of the data

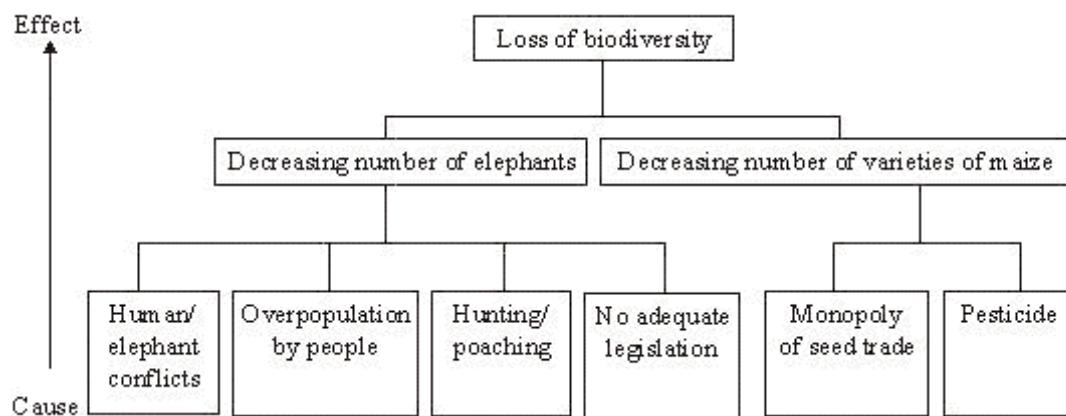
### **5.3.1 Problem Definition / Problem Analysis**

The first step in a situational analysis is a detailed description of the problem together with the factors expected to influence the outcomes of the interventions (AusAid, 2003; Babbie & Mouton 2001, Bless and Higson-Smith, 1995, ICCO, 2000). However, Chambers (1997) describes most social problems as multidimensional, where the source of the problem is not immediately obvious from the presenting problem. Also, Pierce County (1997) notes that most social problems have a recorded history of the incidence of the problem, together with the success and failures of previous interventions.

Most needs are initially described in abstract concepts such as poverty, stigma or unemployment. Yet, to find the root causes, it is important to have an accurate, precise definition of the need, which Senge et al (1998) says is not sanitised by political correctness. As Glewwe and van der Gaag (1988:2) state “*different definitions of poverty select different populations groups*” and will influence the recommendations for appropriate responses later. AtKisson (2001:353) found that the “*practical question of how to measure sustainability, in all its facets, emerges as the best way to explore issues in more depth and to develop a sense of common understanding*”. Innes and Booher (2000:177) propose that the discussion around the choice or development of indicators early in the process helps to shape people’s thinking on policies, the concept of sustainability and the project goal.

Senge et al (1998) suggest that planners should look at successive events which might show the symptoms and ask, “Why” or “Why is (the desired result) not happening” at least five times, or until the question cannot be asked any further, arriving at the root cause or causes. This thorough investigation highlights the need for intervention and begins to define the desired outcomes. AusAid (2003) recommends the use of a problem tree (figure 9) to help identify the cause-effect relationship between the problem and external factors.

**Figure 9 Example of a Problem Tree (Jackson, 2006:5)**



The problem analysis can focus either on the development problem or on the objectives (AusAid, 2003). The latter starts with a desired state and focuses on the constraints to achieving the objective. Taylor et al (1990) promotes the objective orientated approach, which responds to the needs of decision-makers. Planners need to identify the scope of the investigation, through a process of prioritising needs, as it is not possible to deal with a limitless range of problems (AusAid, 2003).

The most common questions, emerging from the literature, guiding the problem analysis appear to be:

- what is happening (manifestation);
- why it occurs (direct and indirect contributors);
- who is affected by the problem (potential beneficiaries);
- what is the effect on the environment
- in what manner (different experiences and perceptions) are people affected
- what keeps the problem in place
- what has been tried in the past and what were the results

### **5.3.2 Context / Stakeholder Analysis**

#### **Community Profile**

A community profile describes the local context of the target community in terms of the way of life, culture, faith, gender, vulnerable groups, political inclusion and the environment (Taylor et al, 1990). Understanding the community's expression of quality of life and efforts helps to appreciate the value, vibrancy, the energy of diversity and the unique coping mechanisms that decrease poor people's vulnerability to poverty (Swilling et al, 2002). The informal networks and reciprocal relationships, also called social capital, contribute towards social cohesion and communal well-being (Khan & Thring, 2003). The analysis must include an assessment of the environment to be in line with the principles of sustainable development.

Manning (2001) states that a relevant service has to understand and be able to adapt to the environment. Chambers (1997) reminds us that the changes are also in response to other projects, strategies and differences in the intended beneficiaries. Miranda and Hordijk (2001) in addition recommend a wider analysis of the social, economic, cultural, political and environmental context at the global, national and local level to prevent responses from being sabotaged by factors beyond the organisation's control. This forms part of the risk analysis recommended by NZODA (1996).

### **Stakeholder Analysis**

The community profile includes the characteristics, responses and concerns of the intended beneficiaries and key stakeholders together with the services, capacities, resources and goodwill already in the community. Stakeholders are the male and female beneficiaries (the target groups) and any local and central government agencies, the private sector, civil society, policy makers, communities and people (NZODA, 1996). AusAid (2003) defines the target group as those directly affected by the problems in question and who might be the beneficiaries of any proposed solution. Chambers (1997) reminds field workers to be aware of power issues within the community that may exclude people and that the value of participatory approach is the diversity of information generated from activities.

The stakeholder analysis helps to identify and define relationships between those groups who are affected by the problem and those that have an interest in, or a responsibility for, addressing the problem (AusAid 2003:9; ICCO, 2000; NZODA, 1996; Pierce County, 1997). The analysis records how each stakeholder is affected by the problem, their capacity to participate in addressing the problem, their relationship to other stakeholders and the commitment to strengthening leadership at the community level (AusAid, 2003; ICCO, 2000; Miranda & Hordjik, 2001).

AusAid (2003) provides a more structured approach to the stakeholder assessment (figure 10) by first looking at who is affected by the problem and how, their motivation to help address the problem. It examines the relationship of the stakeholders with others in the environment, whether they are in partnership or conflict with other stakeholders. The analysis helps to gauge the potential reactions of beneficiaries as well as identifying opportunities for collaboration with other organisations. (Bless & Higson-Smith, 1995). By integrating into an existing system, the organisation can adopt different strategies that will make better use of their resources for a sustainable impact (Glewwe & van der Gaag, 1998; ICCO, 2000; Jeppe, 1985; McGranaham, Songsore & Kjellen, 2001; Swilling 2004).

**Figure 10 Stakeholder Analysis Matrix – How affected by the problem(s) (AusAid, 2003:9)**

Stakeholder	How affected by problem(s)	Capacity / motivation to participate in addressing the problem(s)	Relationship with other stakeholders (e.g. partnership or conflict)

The second phase of the analysis looks at the expected impacts of the proposed intervention on the stakeholders (figure 11). AusAid (2003) notes that there will always be differences in people's access to resource and development opportunities; so it is important to gain an understanding of how different groups within the community are affected by specific development problems. AusAid (2003) suggests that the matrix will help the organisation assess the risk of pursuing a strategy together with the potential social and political support and opposition to the planned project. Strategies can be devised to counter opposition or strengthen support and the identification and involvement of the target group in the project design and implementation is a critical factor in promoting the sustainability of the benefits in terms of the transfer of skills, resources and power.

**Figure 11 Stakeholder Analysis Matrix – Expected Impacts of Proposed Intervention (AusAid, 2003:9)**

Stakeholder	Stakeholder's main objectives	Positive impacts / benefits	Negative impacts / costs	Net impact

### **Analysing the Capacity of the Organisation**

The ability to prove efficient and affective services relies on the capacity and resources of the organisation and its ability to respond to the need. This refers to the staff, financial, management, board of management and physical resources. Community Chest (2004:18) refers to the strategic questions that an organisation should consider when researching projects

1. What business are we in?

This refers to the mission stating what services the organisation provides and identifying the beneficiaries and the value that they receive from the services.

2. What are the internal strengths and weaknesses?

These are the core capabilities and critical skills that enable the organisation to provide services. The intention is to maximise the strengths and to build in strategies to address or reduce the effect of weaknesses

3. What external opportunities and threats do we face?

These are the driving and restraining forces. Strategies should focus on harnessing the opportunities and reducing the effect of threats.

4. What business should we be in?

This is looking at the future services of the organisation and creating a vision of where the organisation will be in a given period, for example three years hence.

Questions 2 and 3 are referred to as the SWOT analysis, an analysis of the Strengths, Weaknesses, Opportunities and Threats (figure 12). Once each aspect has been identified, the organisation must decide how to capitalise on the strengths, address the weaknesses, maximise the opportunities and minimise the threats. The format by Davidson (2008) (figure 12) is preferred as it presents a summary of both processes in one document highlighting the linkages between the different elements and rationale for strategies.

**Figure 12 Format for a SWOT Analysis (Davidson, 2008)**

STRENGTHS	CAPITALISE ON STRENGTHS
WEAKNESSES	ADDRESS WEAKNESSES
OPPORTUNITIES	MAXIMISE OPPORTUNITIES
THREATS	MINIMISE THREATS

### 5.3.3 Selection of alternative strategies

*“Stopping what has ‘always been done’ and doing something new are equally anathema to service institutions or at least excruciatingly painful”* (Peter Drucker, as cited in Ritchie, 2002:10).

There is always more than one way to solve a development problem (NZODA, 1996). Understanding the problem and context helps to identify appropriate strategies that the organisation can adopt to make better use of resources for meaningful change. IFAD (2007) encourages project staff to recognise that development is not a mechanised process but to create options and opportunities for creative responses.

There is a tendency to implement programmes that were developed elsewhere often without any adaptations to the local environment (Taylor et al, 1990). Miranda and Hordijk (2001) caution against transplanting examples of best practice as a plan must consider the local conditions, resources, skills and be based on local development and the political will for transformation.

Bless and Higson-Smith (1995) states that on a theoretical level, the social scientist must consider whether the content of the programme has been adequately adapted to the social reality and whether the conceptual definitions have been adequately operationalised. This is especially important when the body of social theory has its roots in another country. It cannot be assumed that conditions and people are the same all around the world and that theories developed in far off places are valid locally. Again the importance of thorough research is reinforced as the more knowledge that is available will allow for local adaptations and greater success.

Taylor et al (1990) and Illbury and Sunter (2005) recommend that the project team explore each potential strategy by developing scenarios. These scenarios help to evaluate and project the social effects of issues related to policies, plans, projects or changes to enable decision makers to make socially responsible decisions and involve people in decisions that affect their lives (Taylor et al, 1990). This is the time where the organisation's values, development philosophy, problem definition and concept of well being come together to inform the selection of a strategy and formalisation of the goal, objectives and activities to bring about the improved state of well being (Kline, 2004; Mhone, 2003). Pierce County (1997) suggests that this is when the organisation should begin to incorporate the principles of sustainable development into their practice. Illbury and Sunter (2005:50) propose that it is only at the end of this process that the purpose of the organisation will emerge, defining the desired outcome.

#### **5.4 Project Goal**

The goal, also known as the vision or aim, is derived from the strategic decisions made at the end of the situational analysis. It is a single statement, usually written in the present tense, of the wider development purpose to which the organisation will contribute in a sustainable way (AusAid, 2003; Babbie & Mouton, 2001; ICCO, 2000; NZODA, 1996; Shapiro, 1996). The Peace Parks Foundation (2004) describes the vision as "*a powerful mental image of what we want to see in the future which reflects what we care about most, represents an expression of what our mission will look like and is in harmony with our values and sense of purpose. It is rooted in reality but based in the future enabling us to explore opportunities as desired realities. The vision becomes a framework which guides us making choices and commitments for action.*"

Kabeer and Mosely (2004) describe the goal as a long-term response to structural poverty and social inequalities at a wider level beyond the scope of the organisation. The goal focuses on issues such as improving access to resources (Chambers, 1997; Roodt 2001), promoting self-reliance (ICCO, 2000) reducing poverty (NZODA 1996), building community cohesion (Miranda & Hordjik, 2001) and empowerment (ICCO, 2000). No one organisation can achieve the wider development goal, as it requires a collective response and is not necessarily reached until well after the end of the project (AusAid, 2003; Azarnoff & Seliger, 1982; NZODA, 1996).

The goal is broken down into specific measurable objectives to address the immediate causes of the problem (NZODA, 1996).

In identifying the goal, the organisation also identifies the point of exit, when the beneficiaries have the necessary skills and resources to solve problems and meet their current and future needs (Chambers, 1997, RDSP, 2003). This is in line with people centred development, where the emphasis is on self-reliant communities rather than on the government or NGO, to avoid creating the dependence that results from an open agenda (ICCO, 2000).

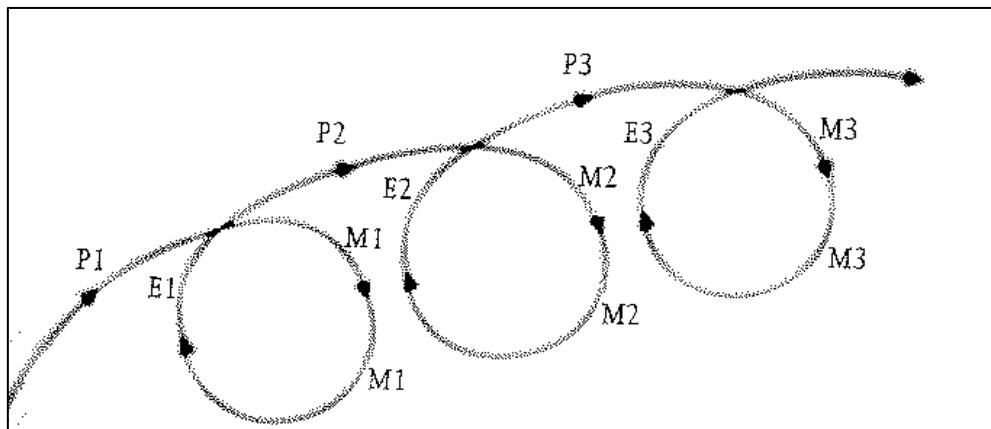
On completion of the situational analysis, results orientated project planning takes on two separate processes that occur at the same time. The first is designing the project in terms of objectives and activities that will contribute towards achieving the goal. The second, equally important process, is designing the systems for monitoring and evaluation to be able to measure changes in the environment and track progress (Bless & Higson-Smith, 1995; RDSP, 2003). In the LFA, this is the vertical logic, or narrative, and the horizontal logic, or measurement. For ease of reference the two processes are referred to as project design and pre-project design even though they occur at the same time

### **5.5 Pre-Project Design**

Accountable planning and management needs to be able to monitor for implementation and enforce compliance to sustainable practices. As noted earlier, AtKisson (2001) found that the practical question of how to measure sustainability emerged as the best way to explore issues in more depth. In the pre-project design, the planning team has to translate the goal and the expected impact into the indicators, or key characteristics, which will reflect the changes. The team must also identify what information or evidence will be collected to verify any changes. These will be used to create the loop of feedback necessary to adapt the project to the dynamic environment (IFAD, 2007:7). The organisation must select the evaluation model to be used at a later stage. Some examples are the internal learning cycle and the pre-test post-test experimental design.

Planning and evaluation then become an integrated approach, a living activity of repeated cycles (figure 12) where planning, monitoring and evaluation flow into each other (AusAid, 2003; Community Chest, 2004; ICCO, 2000:15; NZODA, 1996; Soal, 2001). This cyclical nature enables people to learn from experiences and feedback to improve performance (NZODA, 1996; WK Kellogg Foundation, 2005). The analysis is reviewed and plans amended as more information becomes available. Effective programme evaluation should enable the stakeholders to learn continually and improve the programmes (W.K. Kellogg's Foundation, 2003). ICCO (2000:20) notes that "*the comparison between the expected and actual outcomes puts in motion a further learning process, providing feedback for an adjusted hypothesis. Over time this ongoing chain of action and reflection becomes what is intended to be an upward learning spiral.*"

**Figure 13 The Learning Spiral – relating Planning to Monitoring and Evaluation (ICCO, 2000:20)**



### 5.5.1 Indicators of Change

Indicators are the observable trends and behaviours that reflect any positive or negative changes in the problem situation (Bless & Higson-Smith 1995). They are the reference points against which performance is compared to show if the programme is succeeding or failing to meet the objectives and whether the organisation can withdraw from the area (Azarnoff & Seliger 1982; ICCO, 2000). Innes and Booher (2000) describe them as the characteristics or trends which are valued by the community and what people want to know more about. Meadows (2001:364) states that “*indicators arise from the desire to measure what we care about*” and are important “*because they sit at the centre of the decision-making process*”. Cranford (2003:86) cautions that it should be remembered that indicators are used to measure progress and are not the targets of intervention.

Indicators can be performance related to the concrete results of activities, such as the number of people leaving a programme (Copestake, 2004), or impact related, such as changes in behaviour, focussing on the outcomes of the collective interventions (Bless & Higson-Smith, 1995). Innes and Booher (2000:173) have identified three types of indicators. System performance indicators which provide information about the overall health of the community or region, policy and programme measures that provide feedback on how the specific policy or programme is working and rapid feedback indicators that assist individuals and businesses to make sustainable decisions on a day-to-day basis.

AtKisson (2001:353) has also identified three different types of indicators: key indicators which provide the basic measures of sustainability, secondary indicators which are the larger number of indicators supporting the key indicators and the provocative indicators which attract media and public attention. AtKisson (2001) notes that the latter may have little scientific interest but reflect trends in humorous or surprising ways helping to maintain public interest in the programme.

Innes and Booher (2000:177) and AtKisson (2001) propose that indicators have a greater influence in shaping the debate around the question of how to measure sustainability and what characteristics that represent sustainability and the goal. It makes people self-conscious of the direction that they are taking and helps to create specific concrete goals. Innes and Booher (2000) recommend that organisations can use indicators as a catalyst for collaborative learning and the development of agreed goals and strategies. AusAid (2003) and ICCO (2000) suggest that it is vital that indicators are an integral part of the planning process and that time is spent in the selection, developing and identification of appropriate characteristics for each level of the project – goal, objectives and activities.

RDSP (2003) proposes that it is important to know what overall impact or change of the goal, purpose and outputs is expected before determining the indicators. This is found in the cut off definition of the problem or the description of well being, which defines the goal (Azarnoff & Seliger 1982; ICCO, 2000). NZODA (1996) states that indicators must be specific and measurable in order to collect the information and be able to monitor and evaluate progress in terms of timing, quality and impacts. Innes and Booher (2000:174) recommend that the indicators are chosen by everyone who will need to use and learn from them so that the information generated related to their own contexts and perspectives. The usefulness of the information reinforces the commitment of people to monitoring activities. In developing indicators, AtKisson (2001:354) suggests that the indicators should be reflective of trends fundamental to the long term goal, statistically measurable with data available for one or two decades, attractive to the local media to maintain interest in the project and comprehensible to the average person.

Innes and Booher (2000) agree with Babbie and Mouton (2001) that indicators must relate directly and clearly to a single aspect of the activity, objective or vision, independent of other variables that are used at the same time. However, Chambers (1997) cautions that focussing on only one issue with standards could be an oversimplification of the problem. It could lead to the project becoming out of touch with the reality or wrong. Also Innes and Booher (2000:178) and Meadows (2001) caution that indicators are “partial reflections based on uncertain and imperfect models” and represent a small part of a complex world. Care is needed to ensure that the indicators are true signs of change (Chambers 1997). Innes and Booher (2000:175) suggest that there should be different indicators on the status of particular problems to be aware of how they are changing.

Thus projects tend to need several indicators to be monitored. AtKisson (2001:356) found that it was important to limit the number of indicators to a manageable number. Pierce County (1997) has found that too many indicators can focus attention on the collection and analysis of data rather than project implementation. The choice of indicators also relies on the evidence, means of verification, to be collected of the changes (figure 14).

**Figure 14: Example of indicators of development process (AusAid, 2003:28)**

Objective	Possible indicators	Means of Verification
To increase awareness of, and community capacity to address, the local causes of environmental pollution	<p>Levels of awareness among different groups within the community (men, women, children) about specific environmental health and pollution issues</p> <p>Establishment of community based environmental health and management committee. Membership, meetings and number and type of activities initiated.</p>	<p>Sample survey at schools, women's groups and of male household heads conducted at the beginning of the project and after two years. Conducted by environmental health officers using questionnaires to rank levels of awareness of specific issues</p> <p>Records of elected committee members, regularity of meetings and minutes of decisions made. Analysed and scored against established criteria every six months by management committee members</p> <p>Observation of how meetings are conducted and levels of participation. Undertaken by environmental health officers in line with planned schedule of meetings</p>

### **5.5.2 Data collection**

During the situational analysis, the organisation would have been collecting information on the nature of the need and the criteria for an improved situation that subsequently becomes the goal. This is the important baseline data which will be used to compare the results of future activities. Pierce County (1997) has found that there is a mass of information linked directly and indirectly to the quality of life. The organisation has to make strategic decisions about the type and amount of information that will prove impact and facilitate decision-making. The organisation has to consider several issues: the type, amount, availability, accessibility, compatibility and costs of the data and the organisation's capacity to maintain the system (AusAid, 2003; ICCO, 2000; Pierce County, 1997). The same type of data must be used in the problem diagnosis and evaluation to be able to compare the different situations (ICCO, 2000). Bless and Higson-Smith (1995) remind planners that it is important that the information needs to meet the criteria of reliability and validity in order to be able to draw conclusions from the analysis and make generalisations about the effect of the project.

The challenge is to find appropriate measures that apply to the environment, society, and the economy. Most researchers prefer quantifiable data as it is precise and allows for further statistical analysis (Pierce, 1997; Taylor et al, 1990). However development requires qualitative data to measure the less visible changes, such as the social and psychological costs of changes in lifestyle, where the results are not immediately obvious (Taylor et al, 1990).

The focus of qualitative information is to “*promote better understanding and increase insight into the human condition, of human behaviour and experience and how people make sense of their lives and describe those meanings*” (Garbers, 1996:283).

It is often difficult to find appropriate indicators as Harley (2005) notes that many important behaviours do not meet the time-quantity dimensions. Bless and Higson-Smith (1995) and Taylor et al (1990) suggest that planners focus on observable behaviours that best reflect the desired qualitative change. Babbie and Mouton (2001) suggest that changes can be measured through observation or self-reports of feelings of well being or improvement. NZODA (1996) recommends that difficulty in finding an indicator for an objective could be a problem with the definition of the objective statement. This requires a re-examination of the outcome-orientated objective, reformulating it until a logical relationship can be found that can be measured by an indicator. Examples of indicators used by the Sustainable Seattle Campaign (AtKisson, 2001) and Meadows (2001) are listed in Annexure 2.

Pierce County (1997) notes that as the information is often not freely available, the challenge is for the organisation to develop an integrated system that will generate the necessary information throughout the life of the project, at a reasonable cost, without interfering with service delivery. Innes and Booher (1999:415) recommend that a system of data collection should be self-organising and evolving as it gathers information from the environment. The staff would then generate the information in the course of their daily activities. The information has to be available immediately for decision-making otherwise monitoring becomes a meaningless exercise (Azarnoff & Seliger, 1982:112; Soal, 2001). Pratt et al (2006) note that this requires the support of modern, formal managerial structure and the commitment of the staff and leadership. However, Pierce County (1997) warns that it is important for the project team to keep the focus on the alleviation of the problem and not get distracted by collecting data to prove the impact.

### **5.5.3 SMART Principles**

There is consensus in the literature that a successful project needs the goal, objectives, activities and indicators to be defined in exact detail giving clear boundaries for standards and achievement in order to measure the project results (AusAid, 2002; Babbie & Mouton, 2001; ICCO, 2000). They are often referred to as **SMART** objectives (City Council, 2005).

SMART is an acronym for **S**pecific, **M**easurable, **A**chievable, **R**ealistic and **T**ime related (Bless & Higson-Smith, 1995; Cape Town City Council, 2005; Community Chest, 2004; RDSP, 2003; Southern Hemisphere Consulting, 2002).

#### *Specific*

This means stating exactly what change or result is expected from the goal, objective or activity. Southern Hemisphere Consultants (2002) refer to this as translating abstract concepts into operational definitions with observable

changes in behaviour. The statement should be able to answer one of the following three questions:

- How should the people in the target community behave if the programme is successful?
- What should they be able to do?
- What type of action is expected from them?

#### *Measurable*

This is the expected degree of quality or quantity of change against which performance is measured.

#### *Achievable*

The organisation should have the capacity and resources to reach the targets at a reasonable cost.

#### *Realistic / Relevant*

The programme must be appropriate to achieve the desired results of the vision and objectives. ICCO (2000) notes that the purpose is to provide attractive services that meet the needs of the intended beneficiaries.

#### *Time Related*

There is a time frame for implementation and the realisation of the expected results, helping to avoid the open agenda.

## **5.6 Project Design**

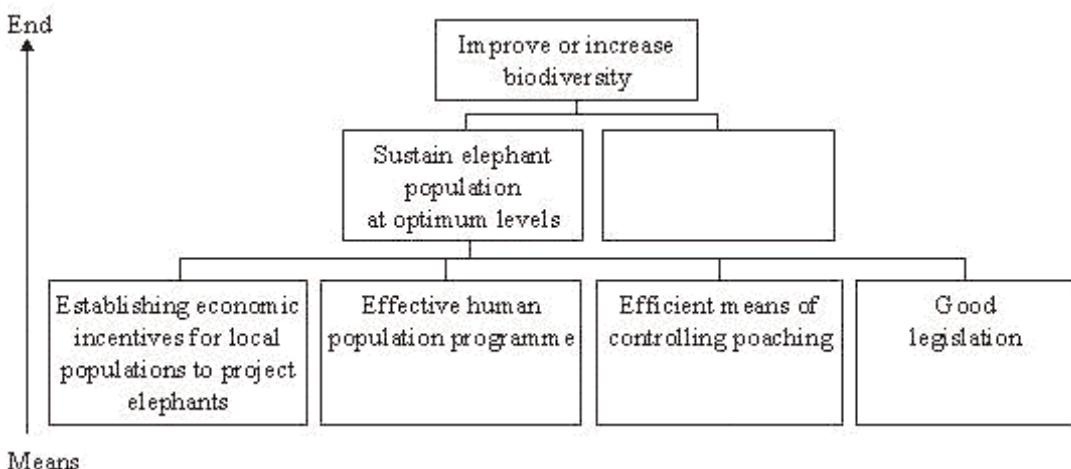
### **5.6.1 Project Objectives or Purpose**

Bless and Higson-Smith (1995) describe objectives as the working hypothesis that an intervention will produce certain desired changes, or outcomes, in line with the organisation's development goals. ICCO (2000) differentiates the objective from the goal by defining objectives as addressing the immediate causes of the wider problem. Objectives are a more precise and immediate statement of what the project is expected to achieve and who will benefit from the planned activities by the completion of the project (ICCO, 2000; NZODA, 1996; Shapiro, 1996).

The objectives are drawn from the examination of potential responses in the situational analysis (ICCO, 2000; Southern Hemisphere Consulting, 2002). It may be necessary to break the objective into subsets of objectives, each with their own indicators and targets for implementation (AusAid 2003).

The success of the project relies on a few clear, specific statements of what is to be achieved, according to the SMART principles (Azarnoff & Seliger, 1982; NZODA, 1996; Shapiro, 1996)

**Figure 15 Example of an Objectives Tree (Jackson, 2006:6)**



### 5.6.2 Project Activities

All of the above actions contribute towards the development of attractive services that will address the root causes of problems with limited risks (ICCO, 2000). In the LFA there is often confusion between the project outcomes and outputs. Outcomes are the overall, or collective, results of the objective or goal reflecting changes in the environment (AusAid, 2003; NZODA, 1996). The outputs are the concrete results of the activities or services which the plan guarantees in order to contribute towards achieving the objective and goal (AusAid, 2003; NZODA, 1996; RDSP, 2003; Shapiro, 1996). Community Chest (2004) refers to this as operational planning which is “*the process of developing detailed and short term decisions concerning what it is to be done, who is to do it and how it is to be done. They include the development of annual budgets, deciding on the detailed means of implementing the strategies and formulating courses of action for improving and coordinating current operations*”. The action plan (figure 11) identifies the activities, resources and people needed for implementation together with the location, duration and costs for the expected concrete results (City of Cape Town, 2005; NZODA, 1996; RDSP, 2003).

This is the area where the project team or manager has control over implementation and the consequences (Azarnoff & Seliger, 1982). Operational planning is the focus of most management theory. The project manager is tasked with providing effective services with the greatest efficiency in using scarce resources (Simanowitz & Brody, 2004). The indicators are usually linked to the number of people assisted or showing the desired change (actual) as a percentage of what was expected (planned) (ICCO, 2000). The action plan (figure 16) is not part of the LFA as it is concerned with implementation rather than planning. It requires more detailed information. It is the basis for monitoring, to judge the progress of the project.

**Figure 16 Action Plan (Muspratt-Williams, 2004)**

Expected result	Activity	People	Resources	Time frame	Cost

### **5.6.3 Monitoring and Evaluation**

A strategic outcomes-orientated design needs to be supported by a system of monitoring and evaluation to measure progress against the baseline data. As noted earlier, monitoring is the continuous assessment of the social processes, realities and performance to improve the efficiency and effectiveness of programmes and projects in realising the goals (Simanowitz & Brody, 2004). It is also referred to as reviews (ICCO, 2000), formative evaluation (Bless & Higson-Smith, 1995) and action research (Taylor et al, 1990), applied research (Babbie & Mouton, 2001).

There is some difference in the literature as to the frequency of monitoring. Bless and Higson-Smith (1995) suggest that monitoring occurs at regular intervals during the life of the programme while bilateral agencies such as AusAid (2003) suggest that it is an ongoing process and that evaluation should occur at regular intervals. The monitoring systems and procedures must be developed during the planning phase to ensure that data collection and analysis is integrated into project implementation. This provides evidence for informed decision making as the organisation can track the progress of the programmes, ascertain that they are reaching the intended beneficiaries, assess the quality and effect of services and understand the changing needs and realities (Bless & Higson-Smith, 1995).

Innes and Booher (2000:176) describe evaluation as “*the measurement and analysis of all factors that may contribute to a policy’s success or failure along with careful design of research to isolate the policy variable from other factors*”. The result is the overall outcome on the target group that may be an indirect extension of the programme results (RDSP, 2003). Monitoring enables the strategic plan to become a living document by integrating the annual planning and evaluation workshops with project management.

The most cited reason for evaluation is to decide on the intrinsic value of a programme (ICCO, 2000; Soal 2001), improve the quality of services (Kline 2004) and contract compliance (Azarnoff & Seliger 1982). Bornstein et al (2004) have found that the need for funding is the main motivator for undertaking evaluation. The literature provides a number of compelling reasons for NGOs to incorporate monitoring and evaluation into their planning (Box 5).

**Box 5 Summary of the Uses of Evaluation** (Based on Azarnoff & Seliger, 1982; Babbie & Mouton, 2001; Bless & Higson-Smith, 1995; Glewwe & van der Gaag, 1988; ICCO, 2000; Jeppe, 1985; Manning, 2001; Miranda & Hordjik, 2001; Pierce Country, 1997; Soal, 2001)

Well defined systems which produce reliable and valid information can be used to improve the success of the project. Project managers, donors and policy makers can use evaluation to determine:

- goal attainment
- results of actual delivery of the planned services

- whether the services are reaching the intended beneficiaries
- which strategies work best for the clients
- changes in the external environment
- modifications to respond to changing demands for services
- validity of strategies
- capacity of the organisational infrastructure and systems
- challenges and to guide management decisions so as to improve and sustain the successful strategies
- ways to improve performance and set clearer, more realistic goals
- projects to receive funding
- public accountability
- public policy suitable to the local context
- theories and obtain knowledge on changes in behaviour as a result of projects
- how to reduce risks and uncertainties
- avoid negative consequences
- which resources to refocus
- potential opportunities that can be identified and then responded to

#### **5.6.4 Reporting**

Reports are vital for successful monitoring and evaluation and should provide valuable information, timeously, on the progress to date and lessons learnt during implementation. A monitoring or progress report should be written in an understandable and accessible manner that describes the methods, adjustments, progress, results, comparisons and conclusions of the intervention (Bless & Higson-Smith, 1995; ICCO, 2000; Shapiro, 1996; Taylor et al 1990). The focus is to explain the intended and unintended differences between the actual results against the expected results of the plan, usually reported as a percentage (RDSP, 2003).

Soal (2001) has found that it can be difficult to report on the effects of a project as it is often part of a longer term, more comprehensive intervention. Describing quantitative results might seem trivial or futile when seen in isolation, without referring back to the wider programme. This highlights the importance of linking project planning and implementation to goal and the bigger picture. It helps to keep the strategic plan current as it becomes a reference document that is essential for effective management.

The highly individualised nature of responses emphasises the need to add new insights to the body of development knowledge. Ideally, the evaluation report provides the synthesis of the results and analysis with recommendations for future action. Reports have a greater value than financial accountability by becoming a record of responses and consequences to activities providing valuable information on the effectiveness of strategies and a better understanding of the nature of problem.

It is suggested that it is imperative for all development organisations to record and share their experiences and insights to add to the body of development

knowledge, furthering the profession. This in turn has the wider benefits of contributing towards more successful projects, better policies and helping donors refine their funding policies for the alleviation of poverty and improving society.

### **5.7 Summary**

This chapter has described the different elements of project planning which are used in the applied planning tools such as the LFA, as well as the issues and challenges relating to each as identified in the literature. The challenge for service providers is to prove the effectiveness and sustainability of projects to improve the human condition (Soal 2001). It is suggested that a detailed outcomes based plans can help to produce activities with measurable results. Project planning is a more abstract reflective process than the actual service delivery or implementation which receives the most attention. The temptation to skip planning and start implementation nevertheless runs the risk of repeating past mistakes. The complex and unpredictable environment, or nature of society, nevertheless means that there is no 'best practice' that can be transplanted to other situations. It is important that the planning team takes the time to conduct a thorough situational analysis and selection of indicators to ensure that projects meet the specific needs of each situation. The assessment of the need, role players, uncertainties and the capacity of the organisation, helps the organisation to investigate different options or scenarios before deciding which strategy to follow. It is only once these decisions have been made that the organisation can consider measurable outcomes and specific activities to reach the goal. In moving towards sustainable service delivery, NGOs need to show their contribution towards the significant changes in the problem situation. It requires a change in thinking from the quantifiable concrete results of activities to the qualitative outcomes of collective projects.

The organisation has to be accountable and demonstrate the usefulness of the programme and the responsible use of resources to other stakeholders such as the government, donors, supporters and the beneficiaries.

## Chapter 6: Conclusions and Recommendations

### 6.1 Introduction

Planning has traditionally been seen as the activity of turning abstract ideas into concrete plans to be able to achieve certain goals. The competition for scarce resources, such as donor funding, has increased pressure to provide evidence of efficient and effective service delivery. The study has proposed that introducing a more structured approach to the social learning approach characteristic of NGOs, could assist in the development of sustainable projects that can provide evidence of the effect, or impact, on the intended beneficiaries. It must be noted that there are various criticisms regarding the possibility of misusing these rational planning processes. As Duflo (2003) notes, donors, and especially aid agencies, are under pressure from their supporters to provide evidence of the value of their funding. The use of public money requires that NGOs be accountable and transparent in the use of the money and the results in addressing the problem. As such, funding has been a push factor for NGOs to incorporate elements of a strategic approach in their work to show accountability, especially financial accountability.

The study focussed on the use of the Logical Framework Approach (LFA) model, a rational planning tool adopted by donors, as a guide to using a more structured and strategic approach to project planning and management. Such a system needs to be supported by a system of monitoring and evaluation for a flow of information to make the necessary adaptations in the project plan to ensure the success of the project. This includes the continual reflection and adaptive social learning by all parties, even the donors.

### 6.2 Outcomes Orientation / Strategic outcomes based planning

The current quantitative focus on service delivery encourages dependency on the organisation as success is measured by the number of people receiving services. A people-centred strategic approach to planning focuses on the qualitative transfer of skills, resources and decision making power to beneficiaries in order to achieve the long term objectives of self-reliance and improving the quality of life of the intended beneficiaries. People are then empowered to be able to meet their own needs and maintain the improved situation of well being. Success would be the ability of the organisation to withdraw from the community.

The rational approach to planning assumes that it is possible to consider all factors and design a project that will bring about the desired results, enabling the organisation to withdraw from the environment. However these assumptions are challenged by post-modernism and complexity theory describes society as an unpredictable, dynamic system of interconnected networks of relationships (Allmendinger, 2002). Cranford (2003), Pasteur (2001) and Taylor et al (1990) have written about the experimental nature of development and how it is not possible to predict the outcomes of a project. It is suggested that the LFA makes provision for the unpredictability through the

inclusion of assumptions and risk and risk management strategies in the vertical logic (NZODA, 1996).

Further, by adopting a social research approach to service delivery, NGOs can use the expected outcomes as a guide that the project is progressing towards the goal. The unexpected outcomes and “failures” then are recognised as valuable contributions in better understanding the nature of the problem, increasing the potential of finding a more successful solution, thereby contributing towards the building of development knowledge (Harley, 2005; Soal, 2001).

The strategic approach requires an objective or more detached assessment of the manifestation, causes and context of the problem leading to a specific definition of the need and the desired outcome. Effective projects rely on a detailed understanding of the problem, context, stakeholders, contributing factors and the capacity of the organisation. An accurate situational analysis is the foundation of a successful project as it is the basis for the vision, goal and the organisation’s response. The analysis is extended to include the consideration of different strategies through scenario planning which can evaluate the potential responses, consequences and risks of each strategy before investing substantial, and scarce, resources into a project. It would include other variables that could influence project implementation.

The project management cycle needs to incorporate a process of continual reflection and adaptive social learning to ensure that the projects responds to the changes in the environment and is more successful (Azarnoff & Seliger, 1982; Bornstein, 2004; ICCO, 2000; Liebenberg, 1996; Soal, 2001). It enables organisations to learn from the mistakes of others, replicate initiatives and identify where the plans need to be adapted to meet the specific dynamics of a different setting.

Thus monitoring systems and procedures must be developed during the planning phase to ensure that monitoring is integrated into project implementation. An integrated monitoring system supports the flexibility of the NGO by enabling it to adapt to changes in the environment, cope with uncertainty and become more responsive for greater impact. The lack of such an information system could lead to the risk of the organisation becoming locked into inappropriate strategies. On a more positive note, the information also enables the organisation to see progress and celebrate their success.

### **6.3 Measurement**

One of the strengths of the outcomes orientation is the intention to measure the effectiveness of initiatives and make decision around the efficient and effective use of scarce resources. The success of measurement relies on the selection of appropriate indicators that can provide accurate and relevant information. However, as noted in Chapters 4 and 5, the selection of appropriate qualitative indicators, with information that can be easily collected, can be difficult for social development requiring in-depth research and analysis. It is often not possible to find logical links between the goal,

indicators and activities, or to find appropriate indicators. Further, the organisation has to ensure the integrity of the data so that comparisons can be made for reliable conclusions. Wiek and Walter (2009) advise that the organisation needs to consider whether it is prepared to spend the time, resources and budget on developing the systems needed to provide proof of effective service delivery.

#### **6.4 Building Development Knowledge**

Bakewell and Garbutt (2005:12) note that planning is often limited by the experience and imagination of the project team. This in turn is based on the development theory which defines the characteristics of well being. Soal (2001) has written about the importance of contributing towards development knowledge for establishing a baseline to measure accomplishments and guide practice. As development theory influences project planning by defining the concept of well being and influencing the choice of strategies to address the problem and the indicators to show change, it is important that it reflects the current reality. This requires that all organisations contribute their knowledge and experiences to build this body of knowledge. Without this sharing, Soal (2001) writes that we are doomed to repeat the same mistakes over and over. It affects the ability to explain the nature and effect of projects as each success must be proven anew and failures explained in terms of the unique features. This also curtails the ability to persuade people of the validity and impact of projects. Kraak (in Everatt & Gwagwa 2005) notes that it also reduces the ability to create policy that reflects the reality.

#### **6.5 Participation**

Participation should be seen as a key element of any development activity as the process of social learning encourages collaboration, sharing resources, empowerment and skills transfer through the project implementation. It is essential in ensuring the support of stakeholders and beneficiaries, especially later during implementation, for the success of the project. A participative approach enables the different stakeholders to come together to co-ordinate their efforts to reach a shared vision through a negotiated strategy, each being open to the ideas and opinions of others. It should be noted that a participatory approach does not remove the individual's responsibility within the implementation of the project.

NGOs have the flexibility to incorporate participatory processes in the project design. The commitment to equity and social justice usually results in NGOs creating an environment of mutual respect where people, and especially the beneficiaries, can listen, learn and work together. The success of the participatory process relies on the NGO having the resources of time, staff and funding to support this collaborative long-term strategy. The pressure to produce results sometimes compromises the empowerment process so organisations have to decide on what is the appropriate level of participation.

## 6.6 The Logical Framework Approach

The LFA is a sophisticated planning tool summarised in the log frame matrix. The LFA can be a very useful management tool by providing a holistic approach to project design, linking planning to implementation and reporting. The LFA can be a great help to fundraisers as the systematic and visually accessible summary provided by the log frame, is important for communicating the project's rationale, expected results and potential risks to a wider audience. It becomes a valuable tool to secure community approval, awaken interest in the work of the organisation and approach donors for support. The need for donor funding has been a strong motivator for NGOs to use the LFA. However, many organisations complete the log frame as a description of the project, rather than using the model to increase the effectiveness of service delivery, missing an important opportunity.

However, the model is not without its faults and the project team needs to be aware of the weaknesses and make adaptations to counter the limitations. As already mentioned, the LFA is more appropriate for certain types of projects (such as blue print type infrastructural projects with readily available "hard" quantitative data) and less suitable for complex social development issues such as democracy and governance (ICCO, 2000; Cranford, 2003; IFAD, 2007; NZODA, 1996; Pasteur, 2001).

There is also the risk of reframing reality, making the project indicators and expected outcomes fit the model to satisfy donors. This could result in a description of reality that does not reflect that experienced by the beneficiaries. It can also result in important dynamics being left out of the plan as it does not fit the log frame.

While the LFA can help with the design of detailed effective projects it could also lock NGOs into fixed rigid management systems that can stop the innovation and creativity that is so important for social learning. Reducing the ability to adapt to changes can lead to services becoming inappropriate or irrelevant. It is vital that NGOs maintain this flexibility possibly by reaching includes a negotiated consensus on the goal and purpose to co-ordinate efforts but leaving the process of implementation to the implementing NGOs to adapt as information is received from the environment. Organisations, although critical of the Logical Framework Approach, have been able to adapt the model to meet the realities of development. An example is the PIFA model of ActionAid, which incorporates a human rights approach to planning and service delivery.

Critics of the model point out that there is the danger that the organisation's focus changes from serving the beneficiaries to accounting to donors, and funding criteria interfere with the innovation and social learning. NGOs need to maintain a fine balance between accountability and innovation. There is a need to find a compromise between the focussed structured plan and the empowerment processes of social learning. It is suggested that the LFA is best used as an attitude of management and planning rather than only a means to record information.

## **6.7 Recommendations**

- 6.7.1 The commitment to people centred development and social justice needs NGOs to become more concerned with the impact of their services and the added value of their contribution to the improvement of society. They should use the vertical logic of the LFA to help focus project planning, consistently linking the assumptions and decisions through each aspect of the plan providing the means to record project results.
- 6.7.2 Project design should meet the requirements of social research so that all results, especially the unexpected results are recognised as valuable information about the problem. Organisations need to look beyond the scope of their project and share their experiences and results to develop a body of knowledge that will help to improve the effectiveness of future projects.
- 6.7.3 As NGOs operate in a dynamic, unpredictable environment, it is important that service delivery incorporates a process of reflection and action by including monitoring and evaluation into the project design. This learning can be used to strengthen the creativity and passion for fighting poverty and celebrate successes. Planning then becomes an integral part of service delivery rather than an isolated annual strategic planning and evaluation workshop.
- 6.7.4 Given the dynamic environment, the effectiveness of a project rests on the ability to show changes in the environment. It is recommended that the organisation should conduct a situational analysis every few years to evaluate changes in that time and to establish new baseline data that will influence future project development.
- 6.7.5 It is also suggested that there is a need for a compromise between the structured plan and the empowering processes of social learning. There needs to be the commitment to engage with both processes and become a learning organisation.
- 6.7.6 There is the need for planners to continuously reflect on the limitations of the tool, to prevent being locked into the power relationships and inappropriate services. This will result in creative methods of improving the use of the tool for more effective services. Especially important is to assess power relationships; the effect on diversity and vulnerable voices.

## **6.8 Areas for further study**

This study has looked at the concepts and principles of a strategic outcomes-orientated approach to project design. It is suggested that such an approach could increase the organisation's effectiveness in addressing the problem by providing objective benchmarks against which to measure progress towards the goal. Field workers will be able to provide evidence of changes in the environment and progress towards achieving the goal.

### 6.8.1 Implementation of the Logical Framework Approach

It is necessary to test this assumption as to whether the use of the LFA does increase effectiveness. However many of the concepts and processes have been inaccessible to practitioners in the past. A follow up study would need to test if it is possible for the grassroots NGO field workers to integrate the outcomes based approach into their daily practice and evaluate whether such an approach contributes towards more effective services.

### 6.8.2 An Exploration of Monitoring and Evaluation

There are a wide number of tools and methods available to assist with the collection of information. Further research is needed to identify suitable methods and tools for collecting and analysing information linked to the capacity of grassroots organisations. The study would need to consider issues linked to attributing the nature and extent of change to the project.

### 6.8.3 Assessing the Effectiveness of Projects

Another theme for future research would be to apply these principles in a case study of an existing project. The recommendations from such a study would be of great assistance to the organisation to make important strategic decisions to improve the effectiveness of their work for sustainable change that meets the goal.

## 6.9 Conclusion

The study began with a search for a guide to plan effective services in a manner where the results could be measured, enabling NGOs to prove the value of their services. It was proposed that a more structured approach to planning could provide a solution. The search led to a review of planning and development theories which shape our concepts of problems, well being and quality of life. It was found that structured planning models belong to the modern scientific school of thought which assumes that activities occur in a stable environment where it is possible to predict results. The postmodernism school of thought showed that this is not the case and that society can be an unpredictable, dynamic, complex network of relationships. The interactions within these networks create synergy resulting in new unexpected reactions. The study focussed on the use of a method which integrates the structured rational planning model with social learning. The more objective analytical collection of data is used to support the participative processes of collaboration and skills transfer to address the problem. It is thought that the social learning model helps to adapt the premise of a predictable future, of the rational planning model, to the unpredictable nature of society proposed by post-modernism thinking. This requires a skilled facilitator, rather than an expert, to harness the synergy of the interaction between stakeholders to drive the project towards realising the goal.

The review of the Logical Framework Approach (LFA), the model promoted by multilateral aid agencies, showed that structured planning is not necessarily an easy or unproblematic solution. The LFA is a sophisticated tool that requires participants to be conversant in the principles and skills of the programme and project management cycle. This is often not the case in many grassroots NGOs, particularly in Cape Town. Implementation requires

additional training to all members of staff to be able to implement the model. The model assumes that each person will participate equally, freely sharing information, insights and experiences to plan appropriate services. However, the model often ignores the power relationships between stakeholders, professionals and community members and the vulnerable and excluded members of the community. Planners need to be aware of these issues, realising that the exclusion of these people can jeopardise the results and efforts made to ensure inclusiveness for quality participation and collaboration.

Project teams need to be aware that the plans shown in the log frame are but a snap shot of the dynamic environment and as such cannot be implemented rigidly as a blue print or master plan. The organisation has to create monitoring and reporting systems that can feed new information to the plan continually, encouraging flexibility and avoiding becoming locked into inappropriate services. The LFA can then provide a useful structure to guide planning. However, project teams need to be aware of the challenges mentioned earlier and creatively adapt the process to meet the needs of the organisation. By finding a workable compromise between the structured analysis of the LFA and the flexibility of a participative and social learning approach, it is proposed that NGOs can deliver relevant and effective services which result in the sustainable improvement in the quality of life of the beneficiaries.

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## **Annexure 1**

### **Strategic Planning framework (Muspratt-Williams, 2004)**

Impact looks at the changes in the problem. It is a long term accomplishment that cannot be achieved / created by any one organisation. It is an outcomes based orientation based on the results of collective activities. The questions below are a guide to structuring thinking in the strategic planning process.

### **Situational Assessment / Problem Diagnosis**

#### **Problem**

Need to describe it as clearly as possible from an international, regional, nation, provincial and local perspective looking at:

##### ***The manifestation of the problem***

What is happening? What does it “look” like?

Where does it happen?

Who is affected by the problem (direct & indirect beneficiaries)?

A description of the intended beneficiaries (psycho demographics)?

How are they affected?

How are people excluded as a result of the problem?

What is the result or effect of the problem (immediately & indirectly)?

#### ***History***

How long has it been a problem?

How has it changed over time?

What caused the changes?

What has been tried before?

What worked, how and why (effective / “successes”)?

What did not work and why (not effective / “failures”)?

#### ***Potential causes***

What are the symptoms of the problem?

Why does it keep happening?

What is keeping the problem in place?

What could influence any changes in the problem (support & threat)?

#### **Community Context**

This is describing the way of life, culture, faith, vulnerable groups, politics, physical environment in the area in which the problem is found.

Income level

Gender

Educational levels and facilities

Resources available to each group

How do people spend their leisure time and what resources are available

Crime and feelings of security

Different groups of people and how they live their lives  
 How do people cope with difficulties?  
 Are there limited resources?  
 What services are available in the community?  
 What services are missing?  
 What are the critical issues and priorities?

### **Actors / Stakeholders**

Who else (person, organisation, business, leadership, or agency) is affected by the problem?  
 How do they (person, organisation or agency) influence the problem (supporting or addressing the problem)?  
 Who is responsible to address the problem and how?  
 Who is actively involved in the arena / issues at all levels?  
 What is their interest / focus/ agenda?  
 What are their concerns?  
 What are their hopes?  
 How do they relate to other stakeholders?  
 How do they affect this organisation?  
 What services does each stakeholder provide?  
 How will the stakeholders be affected by the proposed strategy?  
 Are there any gaps in service delivery?  
 Where can the organisation intervene?

### **Organisational Capacity**

#### **SWOT**

Identify the strengths, weaknesses, opportunities and threats and how can the organisation's strengths and skills be used to address the critical issues.  
 What is the focus of the organisation?  
 What services do we provide?  
 What development theories or values underpin these services?  
 Who are our beneficiaries?  
 What value do they get from our services?  
 What resources do we have to provide services?  
 What specialised and critical skills do we have for service delivery?  
 What are the weaknesses of the organisation?  
 What factors (driving and restraining) affect our services?  
 What opportunities are there for service delivery?  
 What are the threats?  
 What is the probability that the threat(s) will affect the project / services?

Identifying areas of intervention

What systems does the organisation need to put in place to be effective and accountable?

- Monitoring
- Management
- Evaluation
- Data collection, capturing and analysis
- Reporting

- Amending plans
- What new resources are needed and how will they be accessed?

## Planning

The organisation needs to be specific about what it wants to achieve, identifying appropriate indicators with the evidence / means of verification (Specific, Measurable, Achievable, Relevant, Time limited). In order to prevent dependence there has to be an exit strategy or exit point which influences the intervention. At each stage we need to identify the assumptions and risks as these will affect the results. The organisation will need to incorporate these into the plans and adapt programmes as information becomes available to achieve the expected results.

The evaluation of results is much easier if the goals, objectives and outputs meet the **SMART** requirements of Specific, Measurable, Achievable, Relevant and Time related. The team should be able to answer the questions of:

- How should the intended beneficiaries behave if the programme is successful?
- What should they be able to do?
- What type of action is expected from them?
- How much change is expected from the intervention?
- What quality of change is expected?
- Does the organisation have the resources and capacity to provide the service?
- Can the organisation reach the targets at a reasonable costs?
- Is the project appropriate to achieve the expected results?
- Are the proposed services attractive to the intended beneficiaries?
- When will the project come to an end?
- When can the results be seen?

## Vision

In order to formulate the single statement about the future state of well being, the project team has to analyse the research and define the better state of well being. This would require the team to answer questions such as:

- What will be the better situation? (impact)
- Why is this a better situation?
- What is the philosophy behind this thinking (cause and effect)?
- Who is expected to benefit directly and indirectly?
- How will they benefit directly and indirectly?
- How will you know that you have achieved the vision? (indicators)
- What evidence will there be that it has been achieved? (means of verification)
- What are the assumptions and risks?

## Objectives

What needs to happen to improve the situation and achieve the vision?

How will this help to improve the situation?

What is the philosophy behind this thinking (cause and effect)?

Who is expected to benefit directly and indirectly?

How will they benefit directly and indirectly?  
 How will you know that you have achieved the vision? (indicators)  
 What evidence will there be that it has been achieved? (means of verification)  
 What are the assumptions and risks?

### **Programme Activities**

What results do you want to achieve?  
 How will they help to achieve the objective?  
 What is the philosophy behind this thinking (cause and effect)?  
 Who is expected to benefit directly and indirectly?  
 How will they benefit directly and indirectly?  
 How will you know that you have achieved the vision? (indicators)  
 What evidence will there be that it has been achieved? (means of verification)  
 What are the assumptions and risks?

### **Project Activities**

What activities are you going to run?  
 What results do you expect from the activities?  
 Who is expected to benefit directly and indirectly?  
 How will they benefit directly and indirectly?  
 Where will the activity be held?  
 When will the activity be run and for how long (duration)? Giving specific dates for start and finish if possible  
 Who will be involved in the activity from SANCA and other role-players?  
 What resources do you need for the activity?  
 How will you record the activity or show that the activity has occurred?  
 How will you record the effects of the activity?  
 How much is it going to cost? Budget

## Annexure 2

### Examples of Indicators

It must be remembered that indicators are the characteristics that are valued and to be measured to understand the changing environment and encourage collaborative learning.

Meadows' (2001:390-391) sample indicators:

#### **Natural Capital**

- Renewable resources used or total natural resources used
- Time to oil or gas depletion or lead time for renewable substitute
- Loss of primary forests
- Fish caught per unit of fishing effort
- Soil organic matter content
- Output to sink
- Carbon dioxide emissions per capita
- Quality of river water
- Number of synthetic chemicals in use
- Area used for organic agriculture

#### **Built Capital**

- Average productive lifetime of capital
- Maintenance inputs to capital stock
- Capital stock or end use output
- Resource throughput
- Ratios between different forms of built capital

#### **Human and Social Capital**

- Infant and child mortality rates
- Total fertility rate
- Education level of the bottom 10% of 20-year olds
- Education and skills attributes of population matched with education and skills requirements of built capital
- Average layers of management between employees and owners
- Income of the top 10 % or income of the bottom 10%
- Percent of government office holder's total income coming from bribes, payoffs and private campaign contributions
- Per cent of time necessary to secure survival needs
- Per cent of time contributed to civic, religious and other non-profit causes
- Juvenile crime rate

#### **For ultimate ends – happiness, realisation and fulfilment**

- Population of the local totem species
- Proportion of leisure time per person (and equity of its distribution)
- Human openness in the streets
- Number and size of places in rest and beauty e.g. forests, parks
- Flexibility in choosing transport mode and housing
- Per cent of people who say they have enough

**Economic**

Capital assets  
 Labour productivity  
 Investment as percent of GDP  
 Energy consumption per capita and per monetary unit of GDP  
 Material consumption per capita  
 Inflation  
 Investment in research and development  
 Income distribution  
 Consumption expenditures  
 Unemployment  
 Percentage of households in problem housing

**Environmental**

Surface water quality  
 Acres of major terrestrial eco-systems in tact  
 Contaminants in biota  
 Accumulated quantity of spent nuclear fuel  
 Status of stratosphere ozone  
 Greenhouse gas emissions  
 Ratio of renewable water supply to withdrawals  
 Fisheries utilisation  
 Invasion of exotic species  
 Timber growth or removal  
 Identification and management of toxic waste sites  
 Outdoor recreational activities  
 Extreme weather events

**Social**

Population  
 Children living in single parent households  
 Teacher training level  
 Contribution of time and money to charity  
 Birth to single mothers  
 School enrolment level  
 Participation in arts and recreation  
 Crime rate  
 Life expectancy  
 Educational achievement rates  
 Homeownership rate

AtKisson's (2001:356 – 358) summary of the Sustainable Seattle Indicators of Sustainable Community, 1995:

### **Environment**

- Wild salmon returning to spawn
- Wetlands health
- Biodiversity
- Soil erosion
- Percentage of pedestrian friendly streets
- Impervious surface area
- Air quality
- Open space

### **Population and Resources**

- Population growth rate
- Residential water consumption
- Solid waste generated
- Pollution prevented and renewable resource use
- Farm acreage
- Vehicle miles travelled and fuel consumption
- Renewable and non-renewable energy use

### **Economy**

- Percentage of jobs concentrated in top ten employers
- Real unemployment
- Distribution of personal income
- Health care expenditure
- Hours of work at the average regional wage to meet basic living needs
- Children living in poverty
- Emergency room usage for non-emergency purposes
- Community capital

### **Youth and Education**

- Adult literacy
- High school graduation
- Ethnic diversity of teachers
- Arts instruction
- Volunteer involvement in schools
- Juvenile crime
- Youth involved in community service

### **Health and Community**

- Equity in justice
- Low birth weight infants
- Asthma hospitalisation rates
- Voter participation
- Library and community centre usage
- Public participation in the arts
- Gardening activity
- Neighbourliness
- Perceived quality of life

## **Annexure 3**

### **Example of Content Required for a Proposal (NEPAD Outreach Fund II – February 2003)**

#### **Suggested Content of a Proposal**

##### **Project Basic Information**

- Project title;
- Name of organization/contact-person;
- Mailing address and street address;
- Telephone and fax numbers, as well as e-mail address.

##### **Introduction/Background**

- Context, rationale and background of the project.

##### **Description of the project**

- Objectives and nature of the project;
- Types of participants and reason for their participation;
- Dates and venues;
- Management approach.

##### **Expected Results**

- *Short-term results* - for example, organize and hold a conference; summarize and analyze the comments made at the conference, prepare any next steps that may be required, forward results local government and NEPAD authorities
- *Medium-term results* – for example, local government and NEPAD authorities are better aware of the recommendations of conference participants and civil society organizations are recognized as effective partners in the NEPAD process.
- *Long-term results* – for example, NEPAD programs reflect the recommendations of a project/conference and civil society organizations are more involved in the implementation of NEPAD.

##### **Detailed Budget**

- Outline expenses required for project. For example, rental of venue, travel and accommodation, fees for resource-persons, administrative costs. Please note: the NEPAD Outreach Fund does not pay for equipment or other revolving costs;
- The budget should be presented in Canadian dollars.

### **Description of the organization submitting the project**

- Objectives;
- Legal status; Management structure;
- Funding sources;
- Number of employees;
- Summary of organization's activities;
- If the organization is new, please provide two references and the résumés of board members and/or key personnel.

### **Annexes**

Proposed program;  
 Proposed lists of participants;  
 Other relevant documents.

## **Suggested Content of Final Report**

### **Basic Project Information**

- Title of project;
- Name of organization;
- Overall budget and CIDA contribution;
- Duration of project.

### **Description of project**

- Objective;
- Nature of project;
- Types of participants and reason(s) for their participation;
- Topics covered;
- Dates, venues.
- Please include program in annex;
- Management approach (including who managed the project).

### **Summary of Results**

- Discuss expected results and actual results;
- Analysis of any gaps between expected and actual results;
- Analysis of the gender equality measures and their contribution to the project;
- Sustainability of results achieved.

### **Lessons Learned/Conclusions**

- Lessons related to achievement of results;
- Lessons related to implementation of the project.

### **Financial Report and Reconciliation**

- Detailed expenses;
- Report on unused funds. Any unused portion of funds and/or related interest not used for the purpose of the project must be returned to CIDA.

### **Annexes**

- Actual program;
- Actual lists of participants;

Other relevant documents.