

# PROJECT FRAMEWORKS for DIFFERENT TYPES of PROJECTS



PPMS

# Overview

**Different Types of Frameworks are Necessary for Non-Standard “Learning Process” (i.e. non-infrastructure, non-blueprint) Projects**

# PROJECT (*Logical*) FRAMEWORK

## CHARACTERISTICS

**Project Loans** are typically provided by ADB to Developing Member Countries (DMCs) for *Specific Economic & Social Development Projects*

- Usually focused on *Infrastructure development*, with related *Goods and Services*
- But may also include *Technical Assistance* for related *Policy Development, Institutional Strengthening & Capacity Building* to improve service equity, efficiency and effectiveness

# Sample Project Framework FORMAT

<b>Design Summary</b>	<b>Performance Indicators &amp; Targets</b>	<b>Monitoring Mechanisms</b>	<b>Assumptions &amp; Risks</b>
<b>GOAL</b>	<i>i.e. - Long Term Objectives</i>		
<b>PURPOSE</b>	<i>i.e. - Immediate Objective</i>		
<b>OUTPUTS</b>	<i>i.e. - Project Specific “Deliverables”</i>		
<b>ACTIVITIES</b>	<i>i.e. - Key Implementation Tasks/Steps</i>		
<b>INPUTS</b>	<i>i.e. - Monetary, and other Resources</i>		

# Three Basically Different (Non Standard) Types

- 1. Policy-based “Program”** -- outlining key areas for effecting reform, (including the means and actions) -- using a Policy Matrix (PM)
- 2. “Shotgun” Project** -- Successive replications of a particular project intervention (or process) in several geographic areas
- 3. “Christmas Tree” Project** -- Multiple Packages intended for different Beneficiaries

*The Linkage*  
**between a**  
**PROGRAM**  
**POLICY MATRIX**  
**and a**  
**PROGRAM (*Logical*) FRAMEWORK**

# Policy Programs

## CHARACTERISTICS

Policy-Based Program Loans are typically provided by ADB to Developing Member Countries (DMCs) for:

- *Improving Governance (through Policy Development, Institutional Strengthening & Capacity Building) and/or*
- *Internal Re-lending for various Project & Sub-Projects*
- *Overall Economic Support*

# Policy Programs

## CHARACTERISTICS, Continued

The Loan Documentation *specifies a series of:*

- Areas for Policy Assistance Interventions
- Desired Output measures/objectives to be achieved
- Actions to be taken by the borrower DMC, and
- Tentative timing for funding releases by ADB (usually in two or three separate Tranches) after completion by the DMC of the pre-determined Actions -- All of which are outlined in a detailed Policy Matrix

# Sample Policy Matrix FORMAT




Policy areas <i>and</i> measures	Actions to be taken prior to first tranche release (expected mid-Dec 2002)	Actions to be taken prior to second tranche release (expected February 2004)	Actions ... prior to third tranche Etc.
<b>1. Increased resource allocation to the education sector</b>			
<b>1a. Establish national policy and institutional framework for the education sector</b>	<b>The Ministry will approve the finalized Education Strategic Plan and Education Sector Support Program</b>		
<b>1b. Increase education sector allocation</b>	<b>MEF will provide ADB with written confirmation that budget is consistent with ESSP requirement</b>		

# Sample Policy Matrix Alternate FORMAT

Policy areas <i>and</i> measures	Actions to be taken prior to Tranche releases	TRANCHE # & Expected Date		
		1 Dec 2003	2 Dec 2004	3 Jun 2005
<b>1. Increased resource allocation to the education sector</b>				
<b>1a. Establish national policy and institutional framework for the education sector</b>	<b>The Ministry will approve the finalized Education Strategic Plan and Education Sector Support Program</b>	X		
<b>1b. Increase education sector allocation</b>	<b>MEF will provide ADB with written confirmation that budget is consistent with ESSP requirement</b>  ETC., ETC.,	X		

# Seven Step Approach to Link data in a Policy Program Matrix with a Program Framework

## Policy Matrix Items      Program Framework

1. Policy Area       *Sometimes Purpose,  
but Usually Outputs*
2. Measures       *Activities*
3. Actions to be taken prior to  
Tranche Releases       *Output Indicators  
by Target dates*

# Seven Step Approach to Link data *continued*

*But -- for a Program Framework, Still Need to  
Add / Clarify:*

- 4. Goal [ & Sometimes Purpose ] Levels -- with Indicators and Targets*
- 5. Monitoring Mechanisms (All Levels)*
- 6. Assumptions & Risks (All Levels) -- Possibly from Key Covenants in the Program Documentation*
- 7. Inputs (i.e. Tranche Amounts)*

# Project Framework with Policy Matrix Data

<b>Design Summary</b>	<b>Performance Indicators &amp; Targets</b>	<b>Monitoring Mechanisms</b>	<b>Assumptions &amp; Risks</b>
<b>GOAL</b>			
<b>PURPOSE</b> ← Sometimes			
<b>OUTPUTS</b>			
<b>ACTIVITIES</b>			
<b>INPUTS</b>			

# Using the Policy Program Matrix and the Program Framework together to improve Performance Management

## Policy Matrix

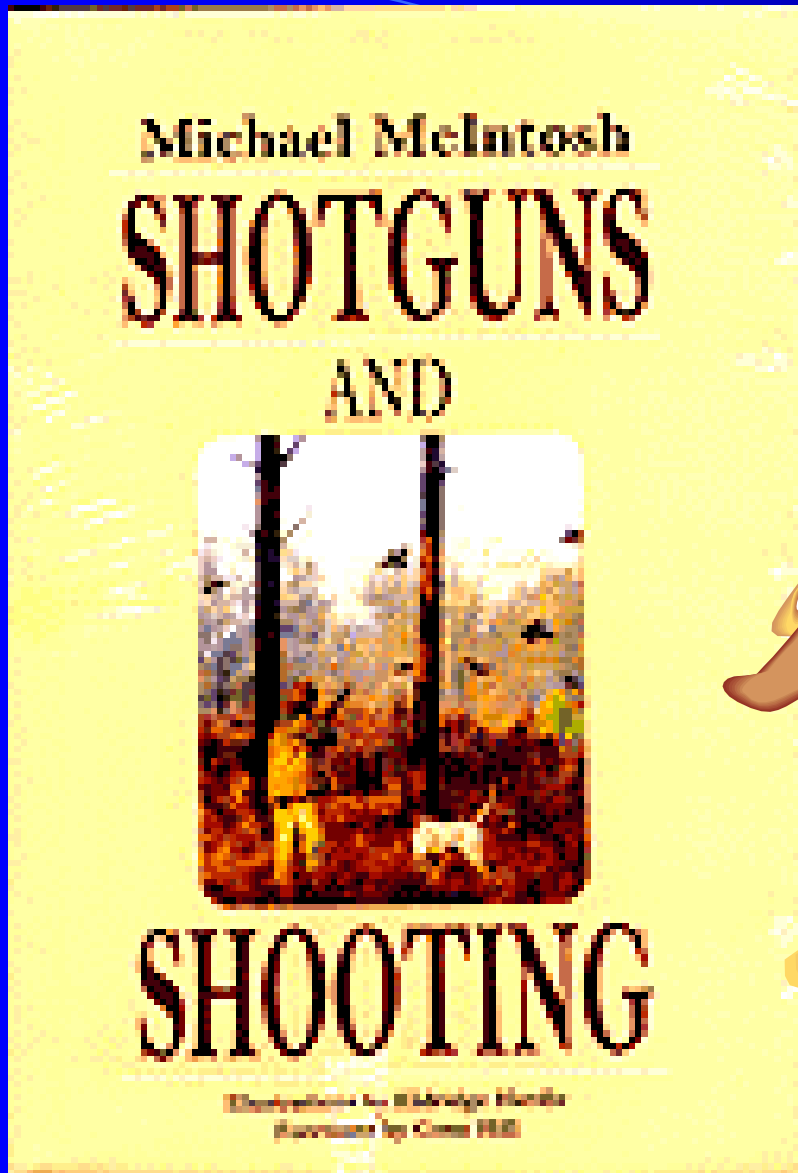
- Initially: to Design the Program intervention
- Subsequently: to Monitor Performance during Program Implementation

## Program Framework

- Initially: to establish Criteria for the Program's Performance Measurement
- Subsequently: to Evaluate Results after Program Completion

# Four Thoughts

1. **A Program Matrix & Program Framework**: are *interrelated* design, monitoring and evaluation *tools* for Policy-Based Lending
2. **The Key**: To a Policy “Reform Roadmap” lies in *specifying the Steps and anticipated Benefits*
3. **Identify Assumptions & Risks**: -- based on the *Program intervention hypothesis*. These are *Leading performance Indicators* to monitor during program implementation
4. **Caution**: Don’t impose numerous conditions for tranche releases, as it may result in an “administrative checklist” approach to implementation, losing sight of the reform steps and milestones



# Case #2

## The Shotgun type Project



# “SHOT-GUN” PROJECTS



## CHARACTERISTICS [2 Sub-Types]

### A. Single Concept Project Interventions

-- **Predetermined Components/Outputs**

*Replicated* at **Different Administrative or Geographic Levels**

*i.e. Decentralized Governance:-- Urban Services, Housing Projects; or a Rice Production Program in several Provinces; OR*

# “SHOT-GUN” PROJECTS



## CHARACTERISTICS [2 Sub-Types]

B. Funding -- for diverse “Open-ended” Sub-Projects -- **To be designed locally and approved incrementally during Implementation -**  
**- Funding approval structure by the same Administrative Process**

*i.e. Rural Development:-- Community-initiated Sub-projects or local initiatives for Income-Generating activities to alleviate poverty*

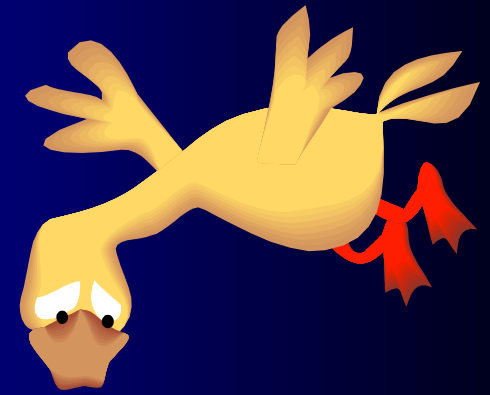
**[NOTE: Specific Indicators & Targets cannot be pre-determined]**

# Seven Step Approach to Develop a Project Framework for a “Shot-Gun” Project



- A. Develop a Model Process for a Single Intervention
- B. Describe the Scope (*Number of Entities or Geographic Coverage - i.e. # Towns, or Sub-Projects*) as the **OUTPUT**
- C. Designate the *End Objective of the Single Intervention Process* as the **OUTPUT INDICATOR**
- D. Note the *Total Number of Replications* anticipated (*if it can be predetermined*) as **OUTPUT TARGETS**
- E. Identify Key Processes as ACTIVITIES
- F. **Note** in the *Activity* Indicator Column that *performance* will be *monitored in a separate format* **AND**

# Approach for Monitoring a “Shot-Gun” Project



***G. Ensure that a GOOD Management Information System (MIS) for Monitoring the Key Activity Process Milestones IS DEFINED and ESTABLISHED -- PRIOR TO PROJECT APPROVAL***

***[For Example -- a formal “Line-of-Balance” (LOB) Management Information System, to Schedule & Monitor performance by different entities (or levels) vs. Key Activity Milestones]***

# Line of Balance (LOB) System for Replication-type Projects

## Graphic Technique -- Three Basic Charts

### *1. Production Flow Plan* -

Time-Scaled PERT/CPM Network

### *2. Objective* - Cumulative Delivery Schedule

### *3. Progress Status Chart* - Histogram of Key Activity Milestones

***[ NOTE: Contact Ken Smith at  
the PPMS/PPR Help Desk for a  
Demonstration in more detail  
of how a Line of Balance  
System functions ]***

**Case #3**  
**The**  
**Christmas**  
**Tree**  
**type Project**



# Christmas Tree Projects



## CHARACTERISTICS

*“Something for Everyone”*

- Packages of Differentiated Sub-Projects -- **May (or may not) be replicated for different entities**
- Numerous Diverse Outputs -- **Often Unrelated to the Project Purpose**
- **Often Implemented by Different EAs / IAs**  
*IDEALLY -- SHOULD NOT BE APPROVED!!*

# Issues



- **Too many players - Stakeholders - Vested Interests**
- **Participants did not understand basic concept of a “Project”, or the need for monitoring Development Objectives**
- **No Priorities -- No choices made which Sub-Projects were ‘critical’ for judging project “Success”**
- **Lack of Indicators for ‘Human Development’ Goal**
- **Lack of Focal Point or System to monitor implementation**

# Simplify the Project; or Develop Multiple Sub-Project Frameworks

- If Christmas Tree Projects cannot be avoided, keep such politically-driven projects as simple (*i.e. less complex*), and clearly defined, as possible
- **Probe the Risks and Assumptions in these types of projects -- They are often understated**
- **Projects should not be allowed to proceed to Effectivity until the PIU is established and staffed, and the DMC's Monitoring System is operational**