EU SIFA INNOVATION FUNDING WINDOW III

Guidelines to Results Framework
SIFA FW3/CFP/1/2022

Guide to Drafting and Completing the Results Framework for the SmartME Application Form

1. What is Results-based Management (RBM)?

Used largely in donor-funded projects, Results-based management (RBM) is defined as orienting all action and use of resources towards achieving clearly defined and demonstrable results. In Results-based management, the milestones of the project are paid by the donor/funder only once all results specified in that milestone have been achieved. This type of management will be applied to the SIFA-funded project if your application is successful. The main tools of Results-based management are the Results Framework and the Results Chain.

1.1. Results Framework in the Context of SIFA Funding Window III (FW3)

SIFA FC FW3 is output-based funding that is contingent upon the grantee achieving specified outputs (established by output indicators) as per project milestones and as agreed upfront as part of the Work Plan. After achieving the output, the funding to the grantee will be disbursed by AUDA-NEPAD.

The use of output-based disbursement indicators is to be understood in the context of the SIFA FC FW3 objective: to support the validation of new or improved Technical and Vocational Education and Training (TVET) products, services, or processes in the market.
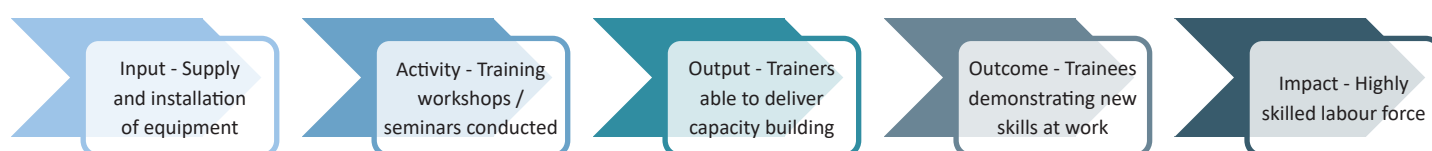
All funding disbursements to projects will be made against predetermined project outputs, using the indicators verifying that results have been achieved.

1.2. What is a Results Chain?

The Results Chain shows through which inputs, activities, outputs, and the final outcome and eventual impact will be achieved. The Results Chain is a combination of inputs, outputs, and indicators.

1.2.1. An Example of a Results Chain

The Results Chain shows through which inputs, activities, outputs, and the final outcome and eventual impact will be achieved. The Results Chain is a combination of inputs, outputs, and indicators.

Input - Supply and installation of equipment	Activity - Training workshops / seminars conducted	Output - Trainers able to deliver capacity building	Outcome - Trainees demonstrating new skills at work	Impact - Highly skilled labour force

1.3. What is a Results Framework?

The Results Framework describes the results' logic as illustrated in the Results Chain. A Results Framework is a tool that provides the basis for monitoring and evaluating the project's progress. The Results Framework is a matrix that summarises the three levels of results (outputs, outcome, and impact), related indicators, their baselines and target values, as well as related assumptions. The Framework is used to manage a project/programme and is used for monitoring and reporting.

The following elements make up the Results Framework:

Impact	This is the long-term result that the project aims to contribute towards. An example of an impact could be improved economic and social conditions, increased food security etc.
Indicators	Indicators are used to define the quality and quantity of the outputs of the project achieved after each milestone is fulfilled.
Outputs	Outputs are also called Deliverables, i.e., tangible or intangible goods or services produced because of a project activity that is intended to be delivered. Outputs are the focus of monitoring both agreed achievements for contractual purposes and the disbursement of funds. Outputs can be a report, a document, a final product, a process, a service, or any other building block of the project. In the SIFA FC FW3 project, the grantees are expected to achieve technical outputs after fulfilling each milestone included in the market validation project.
Outcome	These are medium or long-term changes that the project wants to see achieved after its completion. Examples of outcomes can be improved access to markets, improved production of a good/service, etc.
Baseline	This refers to the value of the indicator at the beginning of the project. This will then be assessed against the final value of the indicator once the project is complete.

Target	This is the final value of the indicator that will be achieved at a certain stage (milestone) or at the end of the project.
Means of Verification	This is the method that is used to collect information for the indicator as well as the sources of data that will be used for the indicator. Examples of these are progress reports, beneficiary group records, service provider records or other captured data. In the SIFA FC FW3 project, these also include technical outputs achieved for each milestone.
Assumptions	These are any conditions that can affect the project but are beyond their control. Assumptions can influence the project's performance and achievements and need to be monitored (and or achieved) for the project to see progress. Projects should analyse all assumptions that could affect the completion of the projects' outcomes and ensure that they have strategies to mitigate these (if possible).

2. Drafting a Results Framework for the SIFA Funding Window III Application

Each applicant will be required to draft a sample Results Framework and upload it as part of the application for the project grant. Below is an example Results Framework to guide you on how to complete it. The Results Framework should cover the entire implementation period (18 months) of your project, from beginning to completion and provide as much detail as possible of the planned work in each milestone. The Results Framework should be built with the same information as in your project application, e.g., outcomes, outputs, inputs, etc.

2.1. Example Results Framework

Activities	Output	Performance Indicators	Baseline (if established)	Target	Data Collection Strategy / Source / Verification
<td colspan="6" align="center" style="color:red">Outcome 1 – (add an outcome that is relevant to the first phase of your project)</td>					
1. Preparation Work Review of draft Work Plan with SIFA FMT and AUDA NEPAD	1.1. Final Project Work Plan	Work Plan established including: • Assumed justification for innovation and stakeholder needs • Scope • Objectives • Deliverable • Timetable & Milestones • Risks & Mitigation • Roles & Responsibilities • Overall Budget • Milestone Budget	Previous work done on the product and service process to inform the Work Plan	Disbursement of the first tranche of 15% of project funds	Signed Implementation Agreement by Lead Applicant Project Work Plan from Lead Applicant

Activities	Output	Performance Indicators	Baseline (if established)	Target	Data Collection Strategy / Source / Verification
Outcome 2 – (add an outcome that is relevant to the second phase of your project)
2. Market Analysis & Pilot Setup (Add the activities here that will be involved under Market Analysis here)	2.1. Market Research Report 2.2. Market Validation Plan	Market Research Report including: • Research methods and market analysis (surveys, interviews, focus groups etc.) conducted • Market size, target audience and competitor analysis conducted. Market Validation Plan including: • Where to test the innovation, • Requirements for the physical testing environment (equipment, infrastructure),	Previous research studies and competitor analyses conducted	Disbursement of the second tranche, e.g., 30% of project funds	• Technical and Financial Milestone Progress Report • Market Research Study conducted • Market Validation Plan • Surveys conducted • Interviews conducted • Feedback from user testing • Feedback from Peer Reviews (workshops, seminars, discussion groups) • Dissemination activities

Activities	Output	Performance Indicators	Baseline (if established)	Target	Data Collection Strategy / Source / Verification
		• With whom is it tested (users groups identified), • How the innovation is delivered to user testing • How the feedback is gathered and reported			
Outcome 3 – (add an outcome that is relevant to the third phase of your project)					
3. Market Validation (Add the activities that will be involved under Market Validation here)	Market Validation Report	Market Validation Report, including: • Reporting on against the testing plan (Goals, objectives and metrics set up) developed • Implementation of the testing process • Analysing data and summarising findings	e.g., Metrics from previous user testing conducted	Disbursement of the third tranche, e.g., 40% of project funds	• Technical Progress Report and Financial Report • Market Validation Report • Training report • Participants list disaggregated by gender and youth

Activities	Output	Performance Indicators	Baseline (if established)	Target	Data Collection Strategy / Source / Verification
		• Financing requirements for proposed innovation developed			
Outcome 4 – (add an outcome that is relevant to the final phase of your project)					
4. Evaluation & Closing (Add the activities that will be involved under the final evaluation and closing here)	4.1. Final Report, incl. business plan 4.2. Audit Report	• Final Report (template provided by SIFA) including a narrative on project objectives completed and market validation completed. • Audit Report (template provided by SIFA)	Draft Business plan before market validation project	Disbursement of the final tranche of 15% of project funds (Add project targets here based on activities involved)	• Project Completion / Final Report • Business Plan • Sustainability Report • Project Audit Report • Physical site visits