Example Appendix 2, Result chain and Results

This example of appendix 2 is designed to provide some ideas how to set up the Project Results and Means of Verification. The presented results in this example are not designed as a format to be followed for your project, since they are not part of an actual project but rather a simplified situation. The examples do not have the aim to provide a complete set of results and sub-results as expected in a high-quality proposals. Result 1 follows the format of this result as provided in the tender documents, result 2 provide some examples in the area of improved river basin management, result 3 of access to safe drinking water and result 4 to efficient water use and final results

Name Applicant
[name of applicant]

Project Title
[Title of project]

Instruction

This file provides the formats for the result chain, the project Results/Sub-results and the Result planning. Please fill out the worksheets and provide them as Appendix 2 to the application.

Project result chain

Please summarize the projects intervention logic by filling out the result chain in the worksheet 'Result Chain'. Following the OECD-DAC methodology Inputs, Activities and the resulting Outputs, Outcomes and Impacts are described in the result chain. These should be quantified where possible. The result chain already contains some example entries. Please delete these and complete the result chain for your project.

Please number the Output and Outcome in the ID fields. Please number the Outputs using numbers (1, 2, 3) and the Outcome using letters (a, b, c). The Output and Outcome IDs will be used to link the project Results to the Output and Outcome (see below at Results/Sub-results).

For the OECD-DAC (2012) definitions of Input, Activities, Output, Outcome and Impact see below:

Inputs are the financial, human, material, technological and information resources used for the development intervention.

Activities are the actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources are mobilised to produce specific outputs.

Outputs are the products and services which result from the completion of activities within a development intervention.

Outcomes are the intended or achieved short-term effects of an intervention’s outputs, usually requiring the collective effort of partners. Outcomes represent changes in development conditions which occur between the completion of outputs and the achievement of impact.

Impact is the positive and negative long-term effects on identifiable population groups produced by a development intervention, directly or indirectly, intended or unintended. These effects can be economic, socio-cultural, institutional, environmental, and technological or of other types.

Please paste the completed project result chain as a figure (.jpg, .png, .eps, .pdf) in Appendix 1, Project plan, paragraph 2.4.1. This can be done by using the commando in MS Word:
Results / Sub-results

The Results/Sub-results and the MoV’s should be given in the worksheets result 1 to result x (as many results that the project identifies, but generally between 3 an 6).

Results and Sub-results are tangible project outputs and outcomes which will be demonstrated by deliverance of Means of Verification (MoVs). The project Results and Sub-results will be part of the Administrative decision. Besides the Results and Sub-results are important input for the assessment of the subsidy application (including best value for money).

A Result consists of several Sub-results that form a logical cluster i.e. work package or workflow (directed to output and outcome as mentioned in the project result chain). Achieving all Sub-results will lead to the achievement of the entire Result. Generally a project can be divided into 3-6 Results. The number of Sub-results may vary considerably.

Divide the steps in the project over clearly distinguishable results. For each sub-result you must formulate the Means of Verification, which will be used to verify whether a sub-result has been achieved.

Present the results in a logic manner, i.e. make logical clusters of sub-results into a result. Number the other results in a logical manner, preferably chronological. It is allowed (after Result 1) to carry out different Results simultaneously or that have an overlap in time planning. Activities related to development, implementation and operation of a Revolving Fund have to be added to Result 10 RF or Result 1.

Please make sure the Results and Sub-results are formulated in a SMART way (Specific, Measurable, Attainable, Relevant and Time Bound). Quantify where possible! Please note that the quality of the presented results will be part of the project assessment.

Result chain reference: Please insert the Output and Outcome ID’s as denoted in the Result Chain (1,2,3… / a,b,c…) that are connected to this result.

Incorporate ICSR into the Results and Sub-results. This has to be done as part of Result 1 (see format), but in other Results as well. For instance, X people, from which 50% female are hired.

Please add the Sub-results from the worksheet ‘Final’ to your last Result, i.e. the result that will be completed latest in time and will lead to the completion of the entire project.

Result 1

Result 1 is a special Result since it comprises the project initiation phase. Completion of Result 1 is essential for further implementation of the project. Result 1 has to be completed prior to starting the other Results. In contrast to other Results, Result 1 can only entail Results/Sub-results in the area of Technical Assistance. Results or Sub-results that involve costs for hardware cannot be included in Result 1.

Result 1 contains sub-results that form preconditions for a successful implementation of the project, i.e. formalising the partnership agreement, getting required permits etc.

In the worksheet ‘Result 1’ most sub-results of result 1 are already given. Obligatory Sub-results can only be deleted from the format of Result 1 if it is not applicable to the project. Where feasible follow the given example for Result 1. Please indicate if a obligatory Sub-result in Result 1 is deleted or modified.

Addition of sub-results in Result 1 is allowed.

Incorporate ICSR into the Results and Sub-results. This has to be done as part of Result 1 (see format), but in other Results as well. For instance, X people, from which 50% female are hired.

Result planning

When the starting and end date of every result is given in each of the worksheets (‘Result 1’ to ‘Result x’), a result planning is created in worksheet ‘Planning’. Please provide this planning as part of Appendix 2 to the application.
### Example Result chain

<table>
<thead>
<tr>
<th>Inputs</th>
<th>Activities</th>
<th>Outputs</th>
<th>Outcomes</th>
<th>Impacts</th>
</tr>
</thead>
<tbody>
<tr>
<td>Financial resources</td>
<td>Construction of wetland</td>
<td>Constructed wetland of at least Xha and a maximum water retention capacity of Y m³ realised and functional.</td>
<td>40% Increased water access in dry season for agriculture</td>
<td>Sustainable inclusive economic growth</td>
</tr>
<tr>
<td>Human resources</td>
<td>Development of management structure, including capacity building</td>
<td>Additional 100 water kiosks realised and functional.</td>
<td>Additional access to clean drinking water to 30,000 people in low income areas</td>
<td></td>
</tr>
<tr>
<td>Material resources</td>
<td>Effect monitoring constructed wetland</td>
<td>In 20 communities irrigation systems implemented and operational for Xha</td>
<td>70% of the participant farmers increase water efficiency with 50%</td>
<td></td>
</tr>
<tr>
<td>Technical resources</td>
<td>Construction or rehabilitation of water kiosks</td>
<td>Capacity building of communities</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Information resources</td>
<td>Connection of kiosks to distribution network</td>
<td>Yield and water usage monitoring and evaluation</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Assumptions (theory of change)

E.g.
- Sufficient demand available
- Proper regulatory framework
- Sufficient resources
- Causal linkages
- Environmental conditions
- Etc.

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**Please note:**

Please delete the example entry and complete the result chain for your project.

**Inputs** are the financial, human, material, technological and information resources used for the development intervention (OESO/DAC, 2002).

**Activities** are the actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources are mobilised to produce specific outputs.

**Outputs** are the products and services which result from the completion of activities within a development intervention (OESO/DAC, 2002).

**Outcomes** are the intended or achieved short-term effects of an intervention’s outputs, usually requiring the collective effort of partners. Outcomes represent changes in an individual, household, community, or policy environment.

**Impact** is the positive and negative long-term effects on identifiable population groups produced by a development intervention, directly or indirectly, intended or unintended.

If more room is needed, please insert additional rows.

Please copy the blue area as a figure into Appendix I (using paste special in MS Word).
1.1 Establishment of the partnership between <applicant>, <partner1>, <partner2> and <partnerx>.

1.1.1 Copy of the legally signed partnership agreement between <applicant>, <partner1>, <partner2> and <partnerx>, including any related documents such as annexes or side letters, in English or translated in English. The partnership agreement includes the roles and responsibilities of the partners and topics such as: management, decision making, disputes, financial arrangements, liability, exit strategy, ownership, IPR, use of project results, M&E, ICSR, communication. Also provide name, address and registration number of the partners and what law is applicable.

1.2 Completed budget for the project.

1.2.1 Breakdown of budget by Sub-Result.

1.2.2 If one or more budgets at Result level deviates from the Project Plan: Substantiate this deviation and specify the total costs for project management, Monitoring and Evaluation, Technical Assistance, Hardware and Revolving Fund Capital for this or these Results.

1.2.3 Liquidity prognoses for the remainder of the project.

1.3 Bank guarantee or loan agreement for the amount of € XXXX obtained.

1.3.1 Original bank guarantee or copy of the loan agreement.

1.4 Finalised technical assistance programme (including knowledge transfer).

1.4.1 Copy of the detailed technical assistance programme (including knowledge transfer), containing number of people to be trained, subject of training, time planning and implementer.

1.5 Completed design and engineering plan for: - Constructed wetland

1.5.1 Copy of the design and engineering plan of - Constructed wetland

1.5.2 Copies of permits required to commence building, in English or translated into English.

1.6 Completed hardware plan

1.6.1 Copy of the hardware plan, specifying type, amount, design, costs (investment), operation and maintenance costs and lifespan of HW.

1.7 The location has been secured for: - Constructed wetland

1.7.1 Copy of legally signed land purchase contracts, in English or translated into English.

1.8 Final selection of 20 target communities and final irrigation plan completed.

1.8.1 Copy of selection report

1.8.2 Copy of irrigation plan, also including the selection of proper irrigation systems per community

1.9 Contractor selected for realisation irrigation systems

1.9.1 Copy of tender documents based on local rules and regulations

1.9.2 Copy of awarded contract with selected contractor

1.10 Completed monitoring and evaluation plan.

1.10.1 Copy of the monitoring and evaluation plan. This plan includes specification of the parameters to be measured and the used methodology(ies). The parameters must be suitable to monitor and evaluate the project progress (output/outcome) and ICSR-risks and mitigating measures. At least include the following parameters: xxxxx
<table>
<thead>
<tr>
<th>Result 1</th>
<th>Description</th>
<th>Sub-result 1</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.11</td>
<td>Completed baseline study.</td>
<td>1.11.1</td>
<td>Copy of the baseline study on the parameters as included in the M&amp;E plan.</td>
</tr>
<tr>
<td>1.12</td>
<td>EIA submitted to Designated Authorities</td>
<td>1.12.1</td>
<td>Copy of the Final Report on the Environmental Impact Assessment/ copy of the pre-audit of the Environmental Impact Assessment, English or translated into English.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>1.12.2</td>
<td>Copy of proof that the EIA has been submitted at the Designated Authorities.</td>
</tr>
<tr>
<td>1.13</td>
<td>Completed plan on mitigating measures to prevent negative impact on local communities.</td>
<td>1.13.1</td>
<td>Copy of plan including all necessary mitigating measures signed by the applicable authority.</td>
</tr>
<tr>
<td>1.14</td>
<td>The Applicant identifies the first essential supplier of the project.</td>
<td>1.14.1</td>
<td>Statement signed by the Applicant containing the name of the first essential supplier (the Act administrative fine notification obligations will be applicable).</td>
</tr>
<tr>
<td>1.15</td>
<td>Progress Report.</td>
<td>1.15.1</td>
<td>The Progress Report elaborating on the implementation of the project, containing all documents stated in this result.</td>
</tr>
</tbody>
</table>
2.1 Mitigating measures to prevent negative impact on local communities implemented.

2.1.1 Statement of applicable authority that mitigating measures as stated in the mitigation plan (R1) are implemented.

2.2 Contractor selected for realisation constructed wetland

2.2.1 Copy of tender documents based on local rules and regulations

2.2.2 Copy of awarded contract with selected contractor

2.3 Constructed wetland of at least X ha and a maximum water retention capacity of Y m³ realised and functional.

2.3.1 Document demonstrating the contract sum has been fully paid.

2.3.2 Pictures of building process

2.3.3 Copy of contractor’s approved progress reports

2.3.4 Aerial picture, including scale and coordinates of constructed wetland.

2.3.5 Legally signed protocol of receipt for the constructed wetland

2.4 Management of constructed wetland transferred to local governmental organisation

2.4.1 Copy of signed management agreement between local government and PPP

2.4.2 Copy of management plan at least spanning 10 years

2.5 At least 10 employees of local governmental organisation trained on management of the constructed wetland

2.5.1 Copy of training material

2.5.2 Copies of 10 signed training certificates at least mentioning name of trainee, name of trainer, date of issuing.

2.6 Report on functioning of constructed wetland for the period from completion of the constructed wetland to 2 years after completion.

2.6.1 Copy of report, at least including seasonal information on surface water inputs, groundwater levels, water quality, etc.
### Result 3

<table>
<thead>
<tr>
<th>Sub-result (outcome and output)</th>
<th>MoV</th>
</tr>
</thead>
</table>
| **3.1** Technically sound network with capacity for new kiosk connections. | 3.1.1 Report on network expansion calculations.  
3.1.2 Copy of report on construction of bottlenecks primary network.  
3.1.3 Copy of report on construction of bottlenecks kiosk construction. |
| **3.2** Fifty (50) water kiosk managers trained on site. | 3.2.1 Updated training logbook: training report drafted by a trainer covering all training subjects, all days on which training was actually given and names of trainees and trainers.  
3.2.2 Copies of one (1) training certificate per training level.  
3.2.3 Copy of training material and training manual. |
| **3.3** Fifty (50) new water kiosks established in low-income areas and 50 more rehabilitated. | 3.3.1 Copy of written agreement on site selection water kiosks.  
3.3.2 Photos of constructed water kiosks.  
3.3.3 Legally signed Protocol of Receipt for all equipment.  
3.3.5 Copy report rehabilitation of kiosks.  
3.3.6 Information on sales records water kiosks in first year after establishment. |
| **3.4** An additional 30,000 people have access to safe drinking water due to construction and rehabilitation of water kiosks | 3.4.1 Copy of report on achieved additional access, providing insight in capacity/kiosk, # people served/kiosk, drinking water turnover/kiosk, broken down by target group. |
| **3.5** Twenty (20) staff trained of ‘Project Partner’ on how to increase kiosk water efficiency. | 3.5.1 Updated training logbook: training report drafted by a trainer covering all training subjects, all days on which training was actually given and names of trainees and trainers.  
3.5.2 Copies of one (1) training certificate per training level.  
3.5.3 Copy of training material and training manual. |

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Fifty water kiosks constructed and fifty kiosks rehabilitated providing an additional 30,000 people with access to safe drinking water.

- Start-date: 1-nov-15
- End-date: 1-nov-17

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*Result chain references:*

- **Fifty water kiosks constructed and fifty kiosks rehabilitated providing an additional 30,000 people with access to safe drinking water**
  - Start-date: 1-nov-15
  - End-date: 1-nov-17

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7 van 9 Result 3
### Result 4

<table>
<thead>
<tr>
<th>Title</th>
<th>Start-date</th>
<th>End-date</th>
<th>Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.1</td>
<td></td>
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<td>4.1.1</td>
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<td>4.2</td>
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<td></td>
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<td>4.7</td>
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<td></td>
<td>4.7.1</td>
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<tr>
<td>4.8</td>
<td></td>
<td></td>
<td>4.8.1</td>
</tr>
</tbody>
</table>

#### Result 4.1
- Irrigation systems constructed and operational as described in the irrigation plan, but at least improving water use efficiency for in total Xha divided over 20 communities.

#### Result 4.2
- At least 200 farmers are trained on efficient water use and irrigation, including operation and maintenance of installed irrigation systems.
- Copy of training material.

#### Result 4.3
- 70% of the participant farmers are able to 50% increase in water efficiency (water:yield) as shown by the monitoring programme.

#### Result 4.4
- Mitigating measures identified ICSR risks are implemented.
- Updated copy of the ICSR risk analyses (conform OECD guidelines) from result 1. From this updated copy it becomes clear that the mitigating measures have been implemented.

#### Result 4.5
- Recommendations made in the Environmental Impact assessment have been implemented.

#### Result 4.6
- Sustainability Pact has been developed and signed by local partners responsible for continuation of the activities after the project.
- Copy of Sustainability Pact ("Duurzaamheidscompact") signed by relevant parties that will be responsible for continuation of the activities after the project period. The Sustainability Pact at least includes:
  - roles and responsibilities of parties
  - technical, operational, and financial sustainability
  - representation of stakeholders

#### Result 4.7
- Final Report.
- Final Report covering both the project implementation results (output and outcome) as stated in the grant award letter. Besides the final report also includes information on the project’s impact and sustainability.

#### Result 4.8
- Yield and water usage monitoring programme completed.
- Copy of annual monitoring reports of irrigated land and control groups.

#### Result 4.9
- 70% of the participant farmers are able to 50% increase in water efficiency (water:yield) as shown by the monitoring programme.

#### Result 4.10
- Mitigating measures identified ICSR risks are implemented.
- Updated copy of the ICSR risk analyses (conform OECD guidelines) from result 1. From this updated copy it becomes clear that the mitigating measures have been implemented.

#### Result 4.11
- Recommendations made in the Environmental Impact assessment have been implemented.

#### Result 4.12
- Sustainability Pact has been developed and signed by local partners responsible for continuation of the activities after the project.
- Copy of Sustainability Pact ("Duurzaamheidscompact") signed by relevant parties that will be responsible for continuation of the activities after the project period. The Sustainability Pact at least includes:
  - roles and responsibilities of parties
  - technical, operational, and financial sustainability
  - representation of stakeholders

#### Result 4.13
- Final Report.
- Final Report covering both the project implementation results (output and outcome) as stated in the grant award letter. Besides the final report also includes information on the project’s impact and sustainability.
The result planning will be generated based on the input of Result 1 to Result x.

Please copy the graph into the project plan.

- **Project Initiation Phase a.o. Partnership Agreement baseline and ICSR**
- **Realisation of constructed wetland for water retention**
- **Fifty water kiosks constructed and fifty kiosks rehabilitated providing an additional 30,000 people with access to safe drinking water**
- **Improved irrigation systems installed and operational**