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*Master Thesis*

**Performance evaluation of the DSM-WFP partnership  
by using the Logical Framework Approach**

*January 2009*

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*January 2009*

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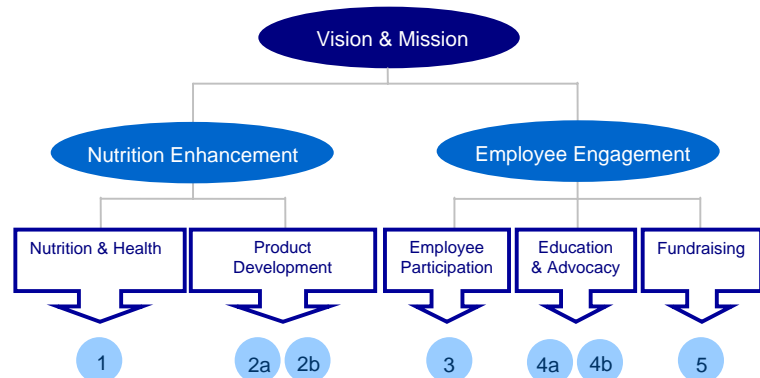
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*Simone Kohlhaas  
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## Executive Summary

Socially responsible leadership has become a fundamental paradigm in the business world. Almost all multinational corporations on the Fortune 500 list do run a partnership project with a UN organisation. Both the public and the private sector see cross-sector partnerships as an effective vehicle to pursue sustainable development goals.

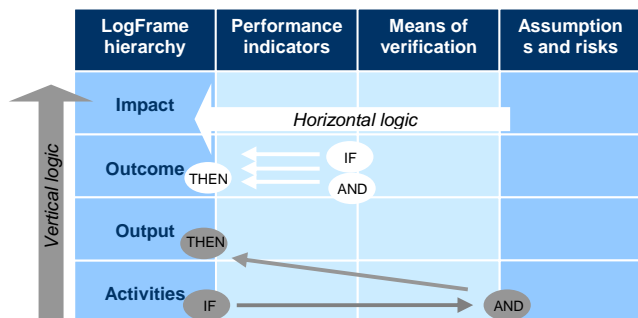


In May 2007, also Royal DSM N.V. (DSM) and the UN World Food Programme (WFP) entered a partnership with the vision “Improving nutrition – improving lives: together DSM and WFP can make a difference for 90 million people”. The scope of the partnership includes two main spheres of action: nutrition enhancement and employee engagement. I.e. DSM will help to improve the nutritional quality of the WFP food supply by donating money, products and scientific expertise. Next to this, DSM strives to increase the awareness of world hunger by involving its employees in advocacy and fundraising initiatives. Overall, the partnership comprises of 7 projects, which build the focal point of this thesis.

DSM needed an evaluation framework by which the accomplishment of the different partnership’s operations can be assessed. The results of the performance evaluation are valuable input when deciding on the future design and development of the DSM-WFP partnership. It was decided to apply the Logical Framework as it was regarded as the most universal evaluation framework, in which all kind of performance concepts can flexibly integrated.

The research objective of this thesis was to evaluate upon the performance of the DSM-WFP partnership by using the Logical Framework Approach. Evaluation was regarded as a process which includes two main phases: (1) the development of the LogFrames and (2) the application of the developed LogFrames. Additionally, the research process itself was evaluated (meta-evaluation).

The literature study revealed the main benefits of the Logical Framework: it supports (1) to establish the links between results and activities in form of a cause-effect relation, (2) to consider the results’ and activities’ context by identifying assumptions and risks, and (3) to derive verifiable indicators. Thereby, it offers to evaluate upon the strength and consistency of the operational design (vertical logic) and to evaluate upon the achievement of the single objectives (horizontal logic).



To draft a LogFrame for each partnership project, the internal documentation (e.g. project definition, work plans and progress reports) was used, and activities, desired results and risks were assigned to the single boxes. Compiling the vertical logic required three different approaches: completing the planning, updating and simplifying. Next, the horizontal logic (i.e. performance indicators and their means of verification) was developed. To reach objectivity, the draft LogFrames were presented to the individual project owners with the request for review and completion. However, this attempt failed.

Also the empirical phase of this research faced limitations. As the partnership is in the middle of the course, data on long-term results (i.e. outcome and impact) was not yet available. However, even when data was available, it was not directly suitable because the internal documentation and reporting practices were not in line with the developed indicators. Especially activity related data (such as time and quantity) was missing. This made furthermore a differentiation of overhead costs impossible. Finally, due to the time boundaries of a Master thesis and due to shortages of other resources, it would generally not have been possible to apply all 7 LogFrames to their full extent.

Consequently, the LogFrames had to be downsized. In a meeting of the partnership's steering committee, it was agreed which objectives must be regarded as crucial to the partnership's overall success. Focusing on these strategic objectives, it was discussed which performance indicators must be regarded as key as they reflect best the progress and achievement of objectives. However, this selection of key performance indicators suffered from the general trade-off between ideal and feasible.

Still, it was tried to collect all available data on activities and realised results to start a first evaluation of the partnership performance. However, evaluating upon efficiency, effectiveness, relevance, impact and sustainability was and will be challenging as targets for performance indicators were not set, and many activities and results seem too specific for internal or external benchmarking. In sum, evaluating upon the performance of the DSM-WFP partnership was more a comprehensive review, i.e. tracking and presenting the first developments on basis of the LogFrames' vertical logic, by which the strength and consistency of the operational design was verified.

Considering all challenges and limitations, it can recapitulatory be concluded that the research was not properly embedded. Three questions that need to be answered at the outset of an evaluation design have been neglected: (1) what is the context of the evaluation, (2) what is the purpose of the evaluation and (3) what is the scope of the evaluation. Putting more attention on those essential questions would have been a chance to clearly communicate the potential benefits of the LogFrame, to initiate a participatory approach and to jointly agree on the focus and on the degree of detail of the LogFrames.

# Table of Content

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Management Summary	IV
Table of Content	VI
List of Figures	VIII
List of Tables	VIII
<b>1 INTRODUCTION.....</b>	<b>9</b>
1.1 Research Background and Problem Statement	9
1.2 Research Objective	10
1.3 Research Framework	10
1.4 Research Questions	12
<b>2 THEORETICAL PART.....</b>	<b>13</b>
2.1 Introduction towards Corporate Social Responsibility	13
2.2 Introduction towards Strategic Partnerships	14
2.3 The Stakeholder Approach	15
2.4 Result-Based Management	16
2.5 The Logical Framework Matrix	18
2.6 Performance Indicators	20
<b>3 EMPIRICAL PART.....</b>	<b>22</b>
3.1 DSM-Profile	22
3.2 WFP-Profile	22
3.3 DSM-WFP Partnership Profile	23
3.4 Stakeholder Analysis	24
3.5 General Goal Hierarchy of the DSM-WFP Partnership	27
3.6 Development of the Logical Frameworks	28
3.6.1 Operational Designs of the DSM-WFP Partnership Projects	28
3.6.1.1 Project 1 – Benefits of Micronutrients	29
3.6.1.2 Project 2a – Corn-Soya Blend	30
3.6.1.3 Project 2b – Micronutrient Sachets for Home Fortification	31
3.6.1.4 Project 3 – Employee Specialists and Volunteers	32
3.6.1.5 Project 4a – Internal Education and Advocacy	34
3.6.1.6 Project 4b – External Education and Advocacy	34
3.6.1.7 Project 5 – Fund Raising	35

3.6.2	Performance Measurement within the DSM-WFP Partnership Projects	35
3.6.2.1	Project 1 – Benefits of Micronutrients	37
3.6.2.2	Project 2a – Corn-Soya Blend	38
3.6.2.3	Project 2b – Micronutrient Sachets for Home Fortification	39
3.6.2.4	Project 3 – Employee Specialists and Volunteers	40
3.6.2.5	Project 4a – Internal Education and Advocacy	42
3.6.2.6	Project 4b – External Education and Advocacy	43
3.6.2.6	Project 5 – Fund Raising	44
3.7	Application of the Developed Logical Frameworks	54
<b>4</b>	<b>ANALYTICAL PART .....</b>	<b>55</b>
4.1	Conclusions upon the General Design of the DSM-WFP Partnership	55
4.2	Conclusions upon the Performance of the Single DSM-WFP Partnership Projects	56
4.2.1	Project 1 – Benefits of Micronutrients	56
4.2.2	Project 2a – Corn-Soya Blend	58
4.2.3	Project 2b – Micronutrient Sachets for Home Fortification	58
4.2.4	Project 3 – Employee Specialists and Volunteers	59
4.2.5	Project 4a – Internal Education and Advocacy	60
4.2.6	Project 4b – External Education and Advocacy	61
4.2.7	Project 5 – Fund Raising	61
4.3	Conclusions upon the Development and Application of the LogFrames	61
<b>5</b>	<b>RECOMMENDATIONS.....</b>	<b>65</b>
	<b>REFERENCES .....</b>	<b>67</b>
	<b>APPENDICES.....</b>	<b>69</b>

## List of Figures

Figure 1: Research Framework	11
Figure 2: Vertical and Horizontal Logic in the LogFrame	19
Figure 3: General Goal Hierarchy of the DSM-WFP Partnership	27

## List of Tables

Table 1: Alliance Drivers and Enablers	14
Table 2: The Result Chain	16
Table 3: The Result Chain linked to General Dimensions of Evaluation Criteria	17
Table 4: Standard Logical Framework Matrix including Description of Content	18
Table 5: Stakeholder Table	26
Table 6: LogFrame 1 - Benefits of Micronutrients	45
Table 7: LogFrame 2a – Corn-Soya Blend	47
Table 8: LogFrame 2b – Micronutrient Sachets for Home Fortification	48
Table 9: LogFrame 3 – Employee Specialists and Volunteers	50
Table 10: LogFrame 4a – Internal Education and Advocacy	51
Table 11: LogFrame 4b – External Education and Advocacy	52
Table 12: LogFrame 5 – Fund Raising	53



# **1 INTRODUCTION**

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Introductory, the research background and the problem statement will be briefly delineated. Next, the research objective will be presented. Finally, the basic structure of the thesis and the associated, specific research questions will be introduced.

## **1.1 Research Background and Problem Statement**

During the last decades, the concept of corporate social responsibility (CRS) gained more and more attention. Scientists and managers recognised the positive relationship between socially responsible behaviour and a company's long-term business prospects (Porter and Kramer 2002). Therefore, businesses commit themselves on high level, i.e. in their mission statements, to consider economic, environmental and social concerns in their business operations. Companies engage themselves even beyond their ordinary business operations. Almost all multinational corporations on the Fortune 500 list do run a partnership project with a UN organisation (Mertens 2007). Both the public and the private sector see cross-sector partnerships as an effective vehicle to pursue sustainable development goals.

Following the paradigm of "The Power of Collaborative Innovation" (WEC 2008), Royal DSM N.V. (DSM) partnered with the United Nations' World Food Programme (WFP) in May, 2007. Basically, the scope of the partnership includes two main spheres of action: nutrition enhancement and employee engagement. I.e. DSM will help to improve the nutritional quality of the WFP food supply by donating money, products and scientific expertise. Next to this, DSM strives to increase the awareness of world hunger by involving its employees in advocacy and fundraising initiatives. As DSM does for its other, more commercial oriented business activities, DSM will also report on the results of the partnership's activities. In this sense, the following problem statement was derived:

*DSM needs an evaluation framework by which the accomplishment of the different partnership's operations can be assessed.*

Performance evaluation is generally an essential part of every managerial and administrative process as it serves the goal of control and accountability (internal and external). The results of performance evaluation are furthermore basis for organisational learning, future decision-making (feedback and redesign) and policy formulation (UNDP 2007).

Overall, there exist many models and systems for performance management (planning, implementation, monitoring and evaluation). Different disciplines have developed their own input-output models to assess and control performance. I.e. some frameworks focus more on financial performance (e.g. DuPont System of Financial Control), some accentuate more mission and strategy (e.g. Balanced Scorecard) and others emphasise the details of processes (e.g. Total Quality Management) (Krause 2005). For this research, the Logical Framework was chosen as it was regarded as the most universal framework, in which all kind of performance concepts can be flexibly integrated.

## **1.2 Research Objective**

The research objective of this thesis is the evaluation of the performance of the DSM-WFP partnership by using the Logical Framework Approach. Basically, evaluation is regarded as a process which includes two main phases:

- (1) the development of the Logical Frameworks and
- (2) the application of the developed Logical Frameworks.

Additionally, the research process itself will be evaluated, i.e. an evaluation of the evaluation (so called meta evaluation).

## **1.3 Research Framework**

The theoretical part of this thesis starts with an introduction of the basic theoretical background of the DSM-WFP partnership (i.e. corporate social responsibility and strategic partnerships). Next, the guiding theoretical concepts of the Logical Framework Approach will be presented (i.e. Stakeholder Approach, Result-Based Management, Logical Framework Matrix and performance indicators).

In the empirical part of this thesis, at first, the partnering organisations will be introduced. Following the Logical Framework Approach, next, a stakeholder analysis will be conducted to identify the different stakeholders and their interrelations with the DSM-WFP partnership. Then, the partnership's general goal hierarchy (mission, higher-level goals and strategies) is presented. As part of the development of the Logical Frameworks, firstly the specific operational designs of the single partnership projects will be described, i.e. activities and objectives will be discussed in the context of the underlying assumptions and risks (so called vertical logic). Secondly, it will be reasoned by which performance indicators the fulfilment of the single objectives can be measured (so called horizontal logic). As part of the application of the Logical Frameworks, it will be determined which objectives must be regarded as strategic, as they are critical to the partnership's overall success or failure, and by which key performance indicators those strategic objectives can be reflected. Finally, data around the various (key)performance indicators will be collected.

From the findings of the empirical part, it will be concluded on (1) the general design of the partnership and on (2) the performance within the single partnership projects. Furthermore, conclusions upon the research process itself will be drawn. Finally, recommendations on the future design and development of the DSM-WFP partnership will be derived.

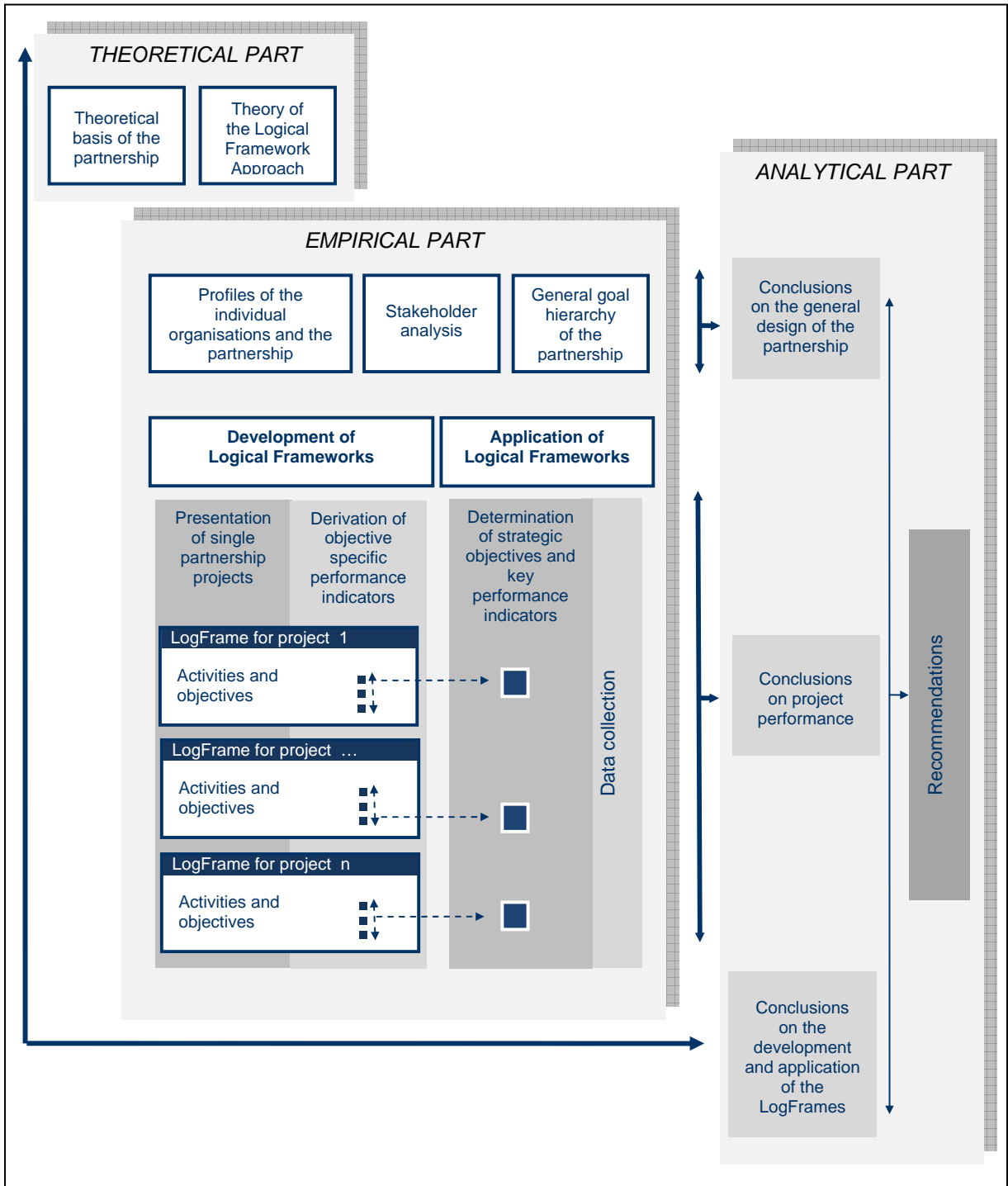


Figure 1: Research Framework

## 1.4 Research Questions

In order to achieve the research objective, the following specific research questions have to be answered during the course of this research project:

### **THEORETICAL PART**

RQ<sub>1</sub>: *What are the basic theoretical keynotes behind the DSM-WFP partnership?*

RQ<sub>2</sub>: *What is the underlying theory of the Logical Framework Approach?*

### **EMPIRICAL PART**

RQ<sub>3</sub>: *Which visions, missions, values and principles do DSM and WFP follow individually?*

RQ<sub>4</sub>: *Which vision, mission, values and principles do DSM and WFP follow in their partnership?*

RQ<sub>5</sub>: *Which stakeholders are potentially involved and which are finally to be considered as key?*

RQ<sub>6</sub>: *What is the general goal hierarchy of the DSM-WFP partnership?*

#### Development of the Logical Frameworks

RQ<sub>7</sub>: *What is the operational design of the single projects (activities and objectives)?*

RQ<sub>8</sub>: *Which factors outside managerial control may affect the single projects' performance (assumptions and risks)?*

RQ<sub>9</sub>: *Which indicators reflect the performance on the single projects' objectives (performance indicators)?*

RQ<sub>10</sub>: *How can the performance indicators be measured (means of verification)?*

#### Application of the Logical Frameworks

RQ<sub>11</sub>: *Which objectives must be regarded as strategic as they determine the partnership's overall success or failure?*

RQ<sub>12</sub>: *Which indicators reflect the performance on the identified strategic objectives?*

### **ANALYTICAL PART**

RQ<sub>13</sub>: *What can be concluded upon the general design of the DSM-WFP partnership?*

RQ<sub>14</sub>: *What can be concluded upon the performance of the single DSM-WFP partnership projects?*

RQ<sub>15</sub>: *What can be concluded upon the development and the application of the LogFrames?*

RQ<sub>16</sub>: *Which recommendations can be derived with respect to the future design and development of the DSM-WFP partnership?*

## **2 THEORETICAL PART**

---

Introductory, the basic theoretical keynotes are presented, namely corporate social responsibility and strategic partnerships. Next, the relevant theoretical concepts of the Logical Framework Approach will be described. First, the stakeholder approach will be introduced. Second, the principle of Result-Based Management is presented. Third, the Logical Framework Matrix will be described, and its underlying logics will be explained. Finally, the requirements on performance indicators will be presented.

### **2.1 Introduction towards Corporate Social Responsibility**

Nowadays, companies are not simply assessed on basis of their financial performance but also on basis of their contributions towards society. Therefore, companies explicitly include the paradigm of corporate social responsibility into their mission statements. Corporate social responsibility (CSR) is defined as “the continuing commitment by businesses to behave ethically and contribute to economic development while improving the quality of life of the workforce and their families as well as of the local community and society at large” (Holme and Watts 2000)

Given the increasing philanthropic attitude among the public, the research community as well as the business community agree that the concept of CSR will draw more and more attention. Capturing and addressing the most important public concerns regarding the relationship of businesses and society is regarded as an opportunity to gain a competitive advantage (Porter and Kramer 2002). This understanding makes public concerns a legitimate force in business strategy making (Carroll 1999).

In general, every action that goes beyond the interest of the firm and the legislative provision can be regarded as corporate social responsibility. Businesses voluntarily address different economic, environmental and social issues. This broad scope of action is often summarised as triple bottom line or triple P strategy (people, planet and profit). Typically, CRS commitment and activities pertain to (Canadian Industry 2008):

- Corporate governance and ethics
- Health and safety
- Environmental stewardship
- Human rights (including core labour rights)
- Human resource management
- Community involvement, development and investment
- Involvement of and respect for aboriginal peoples
- Corporate philanthropy and employee volunteering
- Customer satisfaction and adherence to principles of fair competition
- Anti-bribery and anti-corruption measures
- Accountability, transparency and performance reporting
- Supplier relations, for both domestic and international supply chains

Overall, the DSM-WFP partnership incorporates a number of the named aspects (e.g. corporate governance and ethics, health and safety in a broad sense, community investment, corporate philanthropy and employee volunteering, and accountability, transparency and performance reporting).

## 2.2 Introduction towards Strategic Partnerships

Brinkerhoff (2002) defined the ideal type of a partnership as a “dynamic relationship among diverse actors, based on mutually agreed objectives, pursued through a shared understanding of the most rational division of labor based on the respective comparative advantages of each partner. Partnership encompasses mutual influence, with a careful balance between synergy and respective autonomy, which incorporates mutual respect, equal participation in decision-making, mutual accountability, and transparency“. During the last decade, “partnerships have emerged as the vehicle of choice for pursuing sustainable development goals because it has become abundantly clear that the pressing problems of ecosystem degradation, poverty, health, human rights, and peace and security have outpaced the ability of existing institutions to handle them” (AccountAbility 2008).

Many researchers stated that the challenge of sustainable and social development might best be tackled through strategic partnerships between businesses and NGOs or other local community groups (Gajda 2004; Warhurst 2005). This special form of strategic partnering between a public and private partner is often denoted as public-private partnership (PPP). Other terms that are used synonymously are multi-stakeholder partnership, multi-sector partnership, cross-sector partnership and public-private collaboration (AccountAbility 2008). Overall, partnerships for sustainable and social development are not different from conventional strategic business alliances. They deliver the same benefits currently attributed to strategic business alliances: risks are shared and resources and talents are pooled (Warner 2003).

Just as the similarity in benefits, the factors that drive and enable cross-sector collaboration are also similar. Austin (2000) named four typical alliance drivers for a strategic collaboration between non-profits and businesses. The magnitude of alliance drivers provides a first impression on the initial power of the partnership. Additionally to alliance drivers, Austin also identified four typical alliance enablers. Enablers are “a constellation of supporting factors that deal with relationship management and contribute to partnering effectiveness” (Austin 2000).

**Table 1: Alliance Drivers and Enablers**

<b>Drivers</b>	<b>Enablers</b>
(1) strategy, mission and value alignment	(1) focused attention
(2) personal connection and relationships	(2) communication
(3) value generation and shared visioning	(3) organisational system
(4) continual learning	(4) mutual expectations and accountability

The typical evolution process of cross-sector collaborations is shown in Appendix 1. The driver and enabler characteristics that are associated with the different evolution stages will later be used to evaluate on the general set-up the DSM-WFP partnership.

### **2.3 The Stakeholder Approach**

Nowadays, the stakeholder paradigm is guiding in all kind of management approaches. However, in CSR oriented management approaches, the inclusion of different stakeholder is even more crucial. Carroll (1991) stated that “there is a natural fit between the idea of corporate social responsibility and an organisation’s stakeholders. [...] The concept of stakeholders personalises social and societal responsibilities by delineating the specific groups or persons business should consider in its CSR orientation”.

Concisely, stakeholders can be defined as “any group or individual who is affected by or can affect the achievement of an organisation’s objectives” (Freeman 2003). According to this broad definition, it is obvious that a great many stakeholders can be identified. In general, stakeholders can be grouped into four main clusters (Henriques and Sadorsky 1999):

- (1) organisational (e.g. employees, customers, shareholders, suppliers),
- (2) community (e.g. local residents, special interest groups),
- (3) regulatory (e.g. municipalities, regulatory systems), and
- (4) media stakeholders.

However, organisations cannot explicitly consider all their stakeholder relations. They have to prioritise and focus on those stakeholders that are vital to mission fulfilment; i.e. “priority is also a matter of strategic choice” (Harrison and St. John 1994). The stakeholder approach is integral part of the Logical Framework Approach, and in the course of this thesis it will be shown which stakeholders are considered as key in the context of the DSM-WFP partnership.

## 2.4 Result-Based Management

During the last decades, Result-Based Management (RBM) became a guiding management approach in many development agencies. “RBM represents a shift away from focussing on inputs and activities towards the measurement of results. In [development oriented] operations this means focussing on changes in the behaviour and livelihoods of beneficiaries” (WFP 2008c). Overall, RBM is regarded as a participatory and team-based management approach that bases on four main pillars (UNDP 2000):

- (1) the definition of strategic goals which provide a focus for action;
- (2) the specification of expected results which contribute to these goals and the alignment of programmes, processes and resources behind them;
- (3) ongoing monitoring and assessment of performance, integrating lessons learned into future planning;
- (4) improved accountability, based on continuous feedback to improve performance.

Consequently, RBM can be understood as a life-cycle approach that includes planning, implementation and monitoring, reporting and the feedback loop of learning and adjusting (TBS 2006). The core element of RBM is the result chain. As indicated above, in the context of development programmes, a result is understood as a describable or measurable change in state that is derived from a cause and effect relationship. Following this notion, the result chain is regarded as the causal sequence of an operation by which desired objectives can be achieved; beginning with inputs, moving through activities and outputs and culminating in outcomes and impacts (WFP 2008c).

**Table 2: The Result Chain** (WFP 2008c)

<b>RESULTS</b>	<b>Impact</b>	The positive and negative, intended or unintended long-term results produced by an operation, either directly or indirectly
	<b>Outcome</b>	The medium-term results of an operation’s outputs
	<b>Output</b>	The products, capital goods and services which result from an operation; includes changes resulting from the operation which are relevant to the achievement of outcomes
	<b>Activities</b>	Actions taken or work performed through which inputs are mobilised to produce specific outputs
	<b>Inputs</b>	The financial, human and material resources required to implement an operation

Given the explicit orientation towards results, it is obvious that monitoring and evaluation are an integral part of RBM. Whereas monitoring refers more to a continuous, day-to-day progress measurement, evaluation is more of a periodical character and examines a broader range of information (i.e. project performance and project context).



Within the “Monitoring & Evaluation Guidelines” of the WFP (2008), monitoring and evaluation are defined as follows:

*Monitoring is a continuing function that uses the systematic collection of data on specified indicators to inform management and the main stakeholders of an ongoing WFP operation of the extent of progress and achievement of results in the use of allocated resources.*

*Evaluation is the systematic and objective assessment of an ongoing or completed operation, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, as well as efficiency, effectiveness, impact and sustainability.*

Apparently, monitoring and evaluation slightly differ in their focus and in their use. However, in both cases it is empirically tested, “whether or not the hypothesis articulated in the operation design [...] holds true during the course of implementation and following completion of that operation” (WFP 2008a). Both the principle of result orientation and the principle of operation design testing are assimilated in the Logical Framework, which will be presented in the next chapter. The table below shows how the result chain concept is linked with the general dimensions of evaluation criteria.

**Table 3: The Result Chain linked to General Dimensions of Evaluation Criteria** (WFP 2008c)

<b>Impact</b>	<i>Impact</i>	<i>Sustainability</i>
	<ul style="list-style-type: none"> <li>• What changes did the operation bring about?</li> <li>• Were there any unplanned or unintended changes?</li> </ul>	<ul style="list-style-type: none"> <li>• Are the benefits likely to be maintained for an extended period after the project ends?</li> </ul>
<b>Outcome</b>	<i>Effectiveness</i>	<i>Relevance</i>
<b>Output</b>	<ul style="list-style-type: none"> <li>• Were the operation’s objectives achieved?</li> <li>• Did the outputs lead to the intended outcomes?</li> </ul>	<ul style="list-style-type: none"> <li>• Were the operation’s objectives consistent with beneficiaries’ needs and with the regular policies?</li> </ul>
	<b>Activities</b>	<i>Efficiency</i>
<b>Inputs</b>	<ul style="list-style-type: none"> <li>• Were goods and services available on time and in the right quantities and quality?</li> <li>• Were activities implemented on schedule and within budget?</li> </ul>	
	<ul style="list-style-type: none"> <li>• Were outputs delivered economically?</li> </ul>	

The table shows to which specific result levels efficiency, effectiveness, relevance, impact and sustainability refer, and which questions have to be answered to evaluate upon these criteria. A more detailed and WFP specific overview on the linkage of result levels, evaluation criteria and required information can be found in Appendix 3.

## 2.5 The Logical Framework Matrix

Overall, the Logical Framework Matrix (LogFrame) is a management tool that facilitates planning, implementation, monitoring and evaluation of a programme or project. Applied for monitoring and evaluation, the Logical Framework supports an organisation in assessing the performance of its operations against its action plan and against its strategic objectives. The Monitoring, Evaluation and Consulting Division of the United Nations (MECD 2008) describes the Logical Framework as a management tool that is applied “to identify strategic elements of a programme or project (objective, expected accomplishments, indicators of achievement, outputs and inputs) and their causal relationships, as well as the assumptions and external factors that may influence success and failure”.

The Logical Framework Matrix is particularly used within the public sector (e.g. within non-governmental organisations and development organisations), since it was designed to especially serve the planning and evaluation of projects that take place in complex and unpredictable environments. Under those conditions, outcomes are often not clearly measurable and required interventions are difficult to predict (Epstein and Manzoni 2006). The DSM-WFP partnership, especially in its initial phase, can be regarded as complex considering its various stakeholder relations and their interests (see page 26). It can also be regarded as unpredictable since external factors (e.g. natural catastrophes or increasing food prices) can bring changes in the course of the partnership projects.

**Table 4: The Standard Logical Framework Matrix including Description of Content (WFP 2008c)**

<i>What the operation will do; what it seeks to achieve</i>	<i>How performance will be measured</i>		<i>Factors outside management control that may affect project performance</i>
<b>LogFrame hierarchy</b>	<b>Performance indicators</b>	<b>Means of verification</b>	<b>Assumptions and risks</b>
<b>Impact</b>			
Higher objective to which this operation, along with others, is intended to contribute	Indicators (increasingly standardised) to measure programme performance	The programme evaluation system	Risks regarding strategic impact
<b>Outcome</b>			
The outcome of an operation. The change in beneficiary behaviour, system or institutional performance because of the combined output strategy and key assumptions	Measures that describe the accomplishment of the Outcome. The value, benefit and return on the investment	People, events, processes, sources of data for organising the operation's evaluation	Risks regarding programme level impact
<b>Output</b>			
The actual deliverables. What the operation can be held accountable for producing	Output indicators that measure the goods & services finally delivered by the operation	People, events, processes, sources of data – supervision & monitoring system for validating the operation's design	Risks regarding design effectiveness
<b>Activities</b>			
The main activity clusters that must be undertaken in order to accomplish the Outputs	Budget by activity. Monetary, physical & human resources required to produce the outputs	People, events, processes, sources of data – monitoring system for validating implementation process	Risks regarding implementation & efficiency

Table 4 shows the theoretical composition of the LogFrame. The LogFrame presents schematically the hierarchy of objectives (column 1), the performance indicators for measuring the achievement of each objective (column 2), the means of verifying each indicator (column 3), and the assumptions and risks critical to achieving the next level's objectives (column 4).

Overall, the LogFrame provides a one-page summary of a programme's or project's 'strategic' logic (Lawrie, Kalf, and Andersen 2006). This overall strategic logic comprises of a more design oriented logic (vertical logic) and a more control oriented logic (horizontal logic). On basis of the vertical logic, it can be concluded upon the strength of the operation's overall design. On basis of the horizontal logic, it can be concluded upon the achievement of the single objectives.

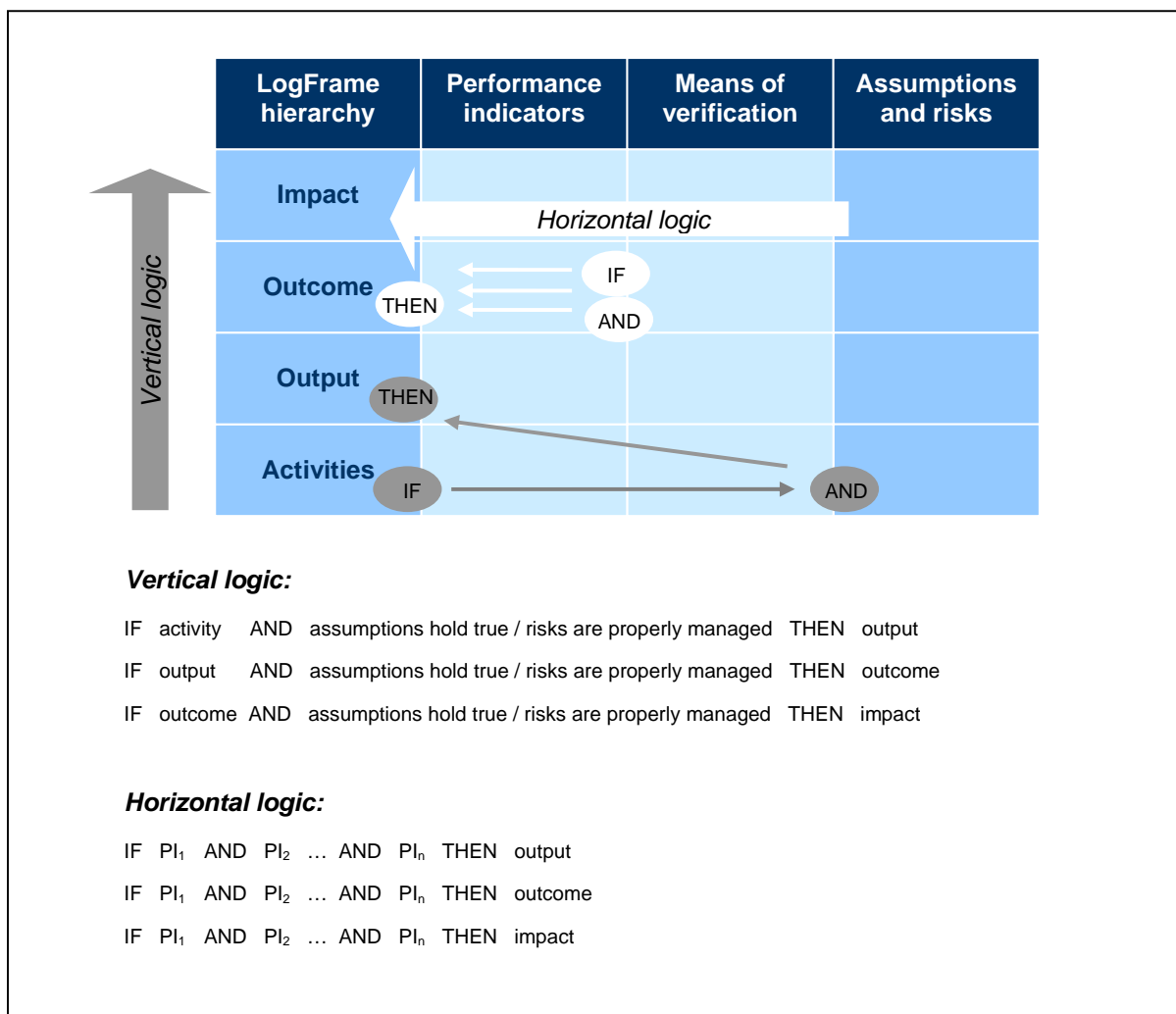


Figure 2: Vertical and Horizontal Logic in the LogFrame (CIDA 2008)

The LogFrame's vertical logic is positively as well as negatively labelled. On the one hand, the vertical approach provides a link between means and ends, places operations within a broader development context and encourages the examination of assumptions and risks. On the other hand, the LogFrame leaves a mark of oversimplification because it puts across a linear linkage between the different results levels (SECO 2005).

Regarding the LogFrame's horizontal logic, there are also positive and negative associations. On the one hand, the horizontal approach induces an analysis if and how objectives are measurable. On the other hand, the derivation of indicators which reflect higher-level objectives is regarded to be difficult. Furthermore, there exists the danger of a tunnel vision. I.e. the indicator derivation is driven by the availability of information and thereby too selective (SECO 2005).

Overall, the appropriateness of the LogFrame for the performance evaluation of the DSM-WFP partnership was determined on basis of the following reflections:

1. The LogFrame is recommended by the WFP itself.
2. The LogFrame helps establishing a common ground for discussion and shared understanding and thereby forms the basis for partnership and shared responsibility in achieving results (CIDA 2008).
3. The LogFrame is a dynamic document that can and should be regularly updated upon occurring changes and identified improvements (CIDA 2008).
4. With respect to evaluation, the LogFrame delivers a systematic approach to assess the achievement of single objectives. In the case of not achievement, it can be traced back if an assumption did not hold true or if risks were not properly managed.

In the following chapter, performance indicators, as one core element of evaluation, will be generally introduced and then put in the context of the LogFrame.

## **2.6 Performance Indicators**

Indicators are a constituent part of monitoring and evaluation. The Monitoring, Evaluation and Consulting Division of the United Nations (MECD 2008) defines an indicator as a measure of a variable that provides a reasonably simple and reliable basis for assessing achievement, change or performance. In general, indicators are a result of a measurement. To appropriately display a certain phenomenon, an indicator should comply with the SMART principle. I.e. to ensure reliability and validity, an indicator should be specific, measurable, accurate, realistic and timely. An indicator can be of quantitative or qualitative nature. In some cases, an indicator is additionally disaggregated by other factors, such as gender and/or age (WFP 2008a). Often, not the indicator itself is of interest but the indicator's parameter value (e.g. "number of participants" = 10; "documented efficacy" = yes). Comparing two parameter values of an indicator over time can help to get insights on e.g. an operation's relevance, effectiveness, efficiency, impact and sustainability (Meyer 2004). Unfortunately, no baseline study was executed for the DSM-WFP partnership. However, for most of the indicators the

initial value was zero. For nutritional and health status related indicators, it can be reverted back to general data bases, e.g. of the WFP itself or of the WHO.

According to the result chain concept, indicators can be classified as input indicators, output indicators, outcome indicators and impact indicators. As indicated in the explanations on the LogFrame, the derivation of indicators that measure high-level objectives can be very difficult. Even if an indicator has the potential to appropriately measure the achievement of a result, it could be that a measurement of the indicator is impossible. In those cases, the “ideal indicator” can be substituted for a proxy indicator around which data collection is possible (WFP 2008a). Such a substitution will be of importance to measure the impact on the nutritional and health status of societies in the third world. Here, detailed blood analyses are not possible. Consequently, the nutritional and health status will be measured by proxy indicators, i.e. indicators that relate to deficiency symptoms and growth status.

Usually, indicators incorporate elements of quantity, quality and time that serve as targets which implementers can work towards and against which progress can be measured. However, such a specification of indicators within the LogFrame has to be handled with care due to the following reasons. First of all, the LogFrame should provide a summary of the operations and should not contain more detail than necessary. Next, the quality and usefulness of targets depends very much on when and by whom they are set. Often, the detailed assessment of what is really feasible needs to be undertaken and agreed upon during implementation. Another limitation associated with specifying indicators within a LogFrame deals with stakeholders’ interests and information needs. I.e. the “indicators selected for inclusion in the LogFrame are usually focused on meeting the information needs of selected stakeholders and at specific management level, eg policy makers, program managers etc.” (AusAID 2005).

### **3      EMPIRICAL PART**

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At first, the two partnership organisations are briefly described regarding their field of activity, their vision and mission, their strategy and their business principles. Next, a stakeholder analysis will be executed. Afterwards, the DSM-WFP partnership's general goal hierarchy is visualised. Finally, the development and application of the Logical Frameworks will be described.

#### **3.1      DSM-Profile**

Royal DSM N.V. (DSM) was founded in 1902 and is headquartered in Heerlen, the Netherlands. DSM engages in the development, production and sale of basic materials which are channelled into different industries. Overall, DSM is the world's leading supplier of vitamins, carotenoids and other fine chemicals to the feed, food, pharmaceutical and personal care industries. Next to this, DSM's performance materials are input for many other industries, such as automotive and transport, coatings, housing, electrics and electronics.

DSM is present on all continents. In its 200 sites, distributed over 49 different countries, DSM employs around 23,000 employees. Overall, the company generates a turnover of almost \$ 9 billions and a net profit of \$ 429 million. As shown in the organisational chart (Appendix 2), DSM is subdivided into five business segments: nutrition, pharma, performance materials, polymer intermediates and base chemicals and materials. According to DSM's number one position, most of the sales result from the food and feed segment (29%).

In 2005, DSM announced its new corporate strategy, Vision 2010 – Building on Strength, which “focuses on accelerating profitable and innovative growth of DSM's specialties portfolio” (DSM 2008a). Basically, the company strives to create more value (1) by market-driven growth and innovation, (2) by an increased presence in emerging economies and (3) by operational excellence. DSM labels its brand as “*Unlimited. DSM*” and associates four main attributes with it: innovation, ambition, the ability to change and responsibility. Additionally to this branding, DSM communicates its core values which are valuable partnerships, respect for people and good corporate citizenship. In line with its corporate strategy, brand development and core values, DSM entered an official three year partnership with the United Nations' World Food Programme in May, 2007.

#### **3.2      WFP-Profile**

The World Food Programme (WFP) was established as the food aid arm of the United Nations in 1960. The world's largest humanitarian agency is headquartered in Rome, Italy. It combats hunger and malnutrition in underdeveloped nations with severe food shortages. The WFP provides all the necessary logistics support to get the food to the right people at the right time and in the right place. In more detail, the WFP focuses on the elimination of micronutrient deficiencies, the reduction of child mortality, the improvement of maternal health and the fight against diseases, such as HIV and AIDS. Furthermore,

they introduce food-for-work programmes to promote environmental and economical stability and agricultural production.

The WFP owns 80 country offices around the globe and employs about 11,000 people. In 2007, the WFP provided food to approximately 90 million people, 58 of whom are children. WFP's operations are funded by donations from governments, companies and other private donors. In 2007, the WFP received donations in the amount of \$ 2.7 billions. In general, the WFP coordinates its emergency and developing projects with a number of official partners from the national and supra-national sector (e.g. USAID and FAO), from the non-governmental sector (e.g. Safe the Children) and from the private business sector (e.g. TNT and DSM).

In its mission, the WFP states that "the ultimate objective of food aid should be the elimination of the need for food aid" (WFP 2008b). This will be reached (1) by providing food aid to support economic and social development, (2) by meeting refugee and other emergency food needs and organising the associated logistics support and (3) by promoting world food security in accordance with the recommendations of the United Nations and the FAO.

To govern especially its collaborations with external partners, the WFP provides general information (e.g. assessment reports), policies (e.g. evaluation policy) and other guidelines and references (e.g. guidelines for project planning, implementation and reporting). The monitoring and evaluation guidelines, with the Logical Framework as core element, will be determining for the conceptualisation of this thesis.

### **3.3 DSM-WFP Partnership Profile**

As can be seen from the single organisation's profiles, DSM and WFP have one main intersection in their individual visions and missions: their commitment to take responsibility. While DSM defines its responsibility in a broad sense (e.g. towards customers, shareholders, employees and community), WFP explicitly commits itself to take responsibility for the neediest people. Furthermore, DSM and WFP share their attitude towards collaboration, i.e. both organisations are open for partnerships. Even within the official "Memorandum of understanding between the United Nations World Food Programme and Koninklijke DSM N.V.", the organisations emphasise the need for concerted alliance, combined forces, active co-operation and resource sharing to finally support the achievement of the Millennium Development Goals. However, the partner organisations also formally insist on their independency and define each party's roles as follows:

*WFP brings to the partnership more than forty years of experience in providing food assistance to people, mostly mothers and children, in the world's poorest countries, a unique knowledge of their nutritional needs and food habits, logistical expertise and extensive government and health authority relationships.*

*DSM brings to the partnership long-standing expertise and excellence in e.g. the research, development, manufacturing, marketing, sale and distribution of micronutrients and other nutritional products. DSM has a strong presence in many and diverse product markets and has proven its ability to develop sustainable delivery mechanisms to low income consumers in many different regions of the world.*

Based on the common ground and clear defined roles, DSM and WFP developed in dialogue a shared vision: “Improving nutrition – improving lives: together DSM and WFP can make a difference for 90 million people”. From this vision, the more concrete mission was derived: “Contribute to WFP activities by means of providing cash contributions, product contributions and service contributions”. In detail:

*The partnership is committed to an improvement of nutrition of WFP beneficiaries, creating sustainable development besides offering emergency relief. This will be achieved by engaging DSM and DSM employees around the world to contribute to the eradication of ‘hidden hunger’ (micronutrient deficiencies) by sharing and creating knowledge, offering technical and scientific assistance, supplying products and providing funds to WFP.*

DSM and WFP decided to concentrate on a limited number of countries for their collaborative actions. For the selection of the operation areas, basically the following criteria are considered: (1) safety, security and general political situation, (2) WFP Country Management’s interest and enthusiasm in DSM’s programmes, (3) continental spread and (4) preferred language (English, Spanish or French). Finally, DSM and WFP agreed to focus on Bangladesh, Guatemala and Zambia. However, DSM also flexibly supports the WFP in its emergency relief operations (e.g. in refugee camps in Kenya and Nepal) as well as in the organisational processes within WFP’s headquarter in Rome.

### **3.4 Stakeholder Analysis**

“Stakeholder analysis is the identification of a project’s key stakeholders, an assessment of their interests, and the ways in which these interests affect project riskiness and viability” (ODA 1995). Consequently, stakeholder analysis involves 3 basic steps:

1. drawing a table of those stakeholder considered to be primary, secondary and key, on the basis of current information;
2. assessing stakeholders’ importance with regard to the situation, problem or activity that the analysis addresses, and their relative importance or influence;
3. identifying assumptions on how stakeholders might affect relationships, outcomes or the viability of the proposed activity.

Within this research, stakeholders will be identified and assessed in the context of the DSM-WFP partnership. The “Guidance note on how to do stakeholder analysis of aid projects and programmes” by



the Overseas Development Administration (ODA) (1995) will be used as a guideline for this research's stakeholder analysis. The in the ODA guidelines proposed checklists for stakeholder analysis are presented in Appendix 4.

Starting point for drawing a stakeholder table is a list of all potential stakeholders. Considering the main partners and the mission of the DSM-WFP partnership, three basic stakeholder groups become apparent: DSM, WFP and civil societies that suffer from hunger and malnutrition. However, with respect to the various dimensions of the partnership, it is reasonable to differentiate the three basic stakeholder groups regarding their individual internal and external stakeholders. Furthermore, an additional basic stakeholder group is added to include all further potential stakeholders.

Next, the different single stakeholders' interests regarding the DSM-WFP partnership are assessed and listed (see table 5). Overall, it becomes clear that the single stakeholders have their special, individual interests (such as corporate reputation, fund raising or improved nutritional status). However, especially DSM's and WFP's internal stakeholders share their interest in the quality of all partnership related processes (such as relationship and knowledge management). After having associated the stakeholders and their individual interests in the DSM-WFP partnership, the partnership's likely impact on the different stakeholders will be assessed. A stakeholder's interest can be positively (+), negatively (-) or uncertainly (?) affected by the partnership.

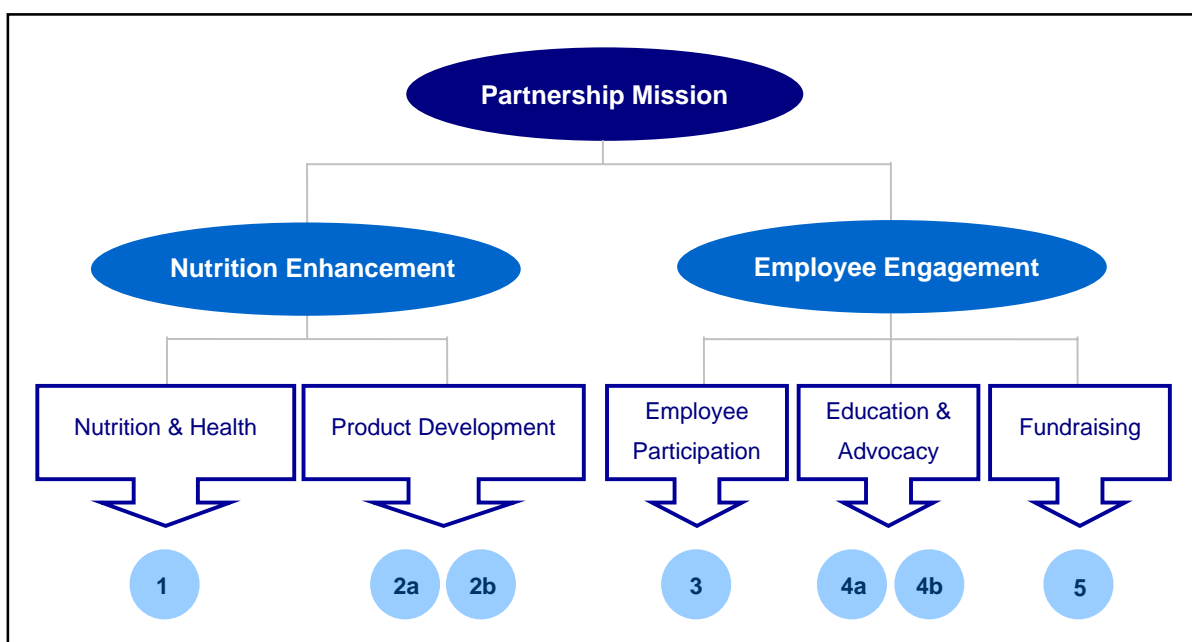
In a final step, key stakeholders are identified on basis of the interest and impact associations. According to the ODA (1995), key stakeholders are those who can significantly influence or are important to the success of the project. For the design of the DSM-WFP partnership and its evaluation respectively, basically the partner organisations' internal stakeholders and the country specific institutions and populations of Bangladesh, Guatemala, Kenya, Nepal and Zambia are considered to be of particular importance. In the next chapters, it will be shown how the different key stakeholders' interests are translated into the DSM-WFP partnership's objectives.

**Table 5: Stakeholder Table**

Stakeholder group	Stakeholders	Stakeholder interests	Potential partnership's impact	Relative priorities of interest
<b>DSM</b>				
<i>Internal</i>	<ul style="list-style-type: none"> <li>▪ Managing board</li> <li>▪ Partnership coordinators</li> <li>▪ Nutrition specialists</li> <li>▪ Human resources specialists</li> <li>▪ Communication specialists</li> <li>▪ Volunteers</li> <li>▪ Coordinators of similar CRS initiatives within DSM</li> <li>▪ Sourcing department</li> <li>▪ Production department(s)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Corporate reputation, business development, employee engagement, knowledge management</li> <li>▪ Corporate reputation, relationship management</li> <li>▪ R&amp;D, knowledge management, personal engagement and development</li> <li>▪ Employee engagement, knowledge management</li> <li>▪ Corporate reputation, internal and external communication</li> <li>▪ Personal involvement and development</li> <li>▪ R&amp;D, knowledge management, communications, relationship management</li> <li>▪ Operational efficiency</li> <li>▪ Operational efficiency</li> </ul>	<ul style="list-style-type: none"> <li>(++)</li> <li>(++)</li> <li>(++)</li> <li>(++)</li> <li>(+)</li> <li>(?)</li> <li>(?)</li> <li>(?)</li> </ul>	
<i>External</i>	<ul style="list-style-type: none"> <li>▪ Customers</li> <li>▪ Suppliers</li> <li>▪ Shareholders</li> <li>▪ Competitors</li> <li>▪ Family / friends of employees involved in partnership activities</li> <li>▪ Local communities</li> </ul>	<ul style="list-style-type: none"> <li>▪ Value chain management and marketing related to CRS</li> <li>▪ Value chain management and marketing related to CRS</li> <li>▪ Corporate reputation, earnings per share</li> <li>▪ Reputation</li> <li>▪ Leisure time planning, engagement</li> <li>▪ Personal involvement in partnership activities</li> </ul>	<ul style="list-style-type: none"> <li>(?)</li> <li>(?)</li> <li>(?)</li> <li>(?)</li> <li>(+) (-)</li> <li>(?)</li> </ul>	
<b>WFP</b>				
<i>Internal</i>	<ul style="list-style-type: none"> <li>▪ Managing board</li> <li>▪ Partnership coordinators</li> <li>▪ Nutrition specialists</li> <li>▪ Human resources specialists</li> <li>▪ Communication specialists</li> <li>▪ Coordinators of the WFP's single programmes</li> </ul>	<ul style="list-style-type: none"> <li>▪ Collaboration and partnering, fund raising</li> <li>▪ Relationship management</li> <li>▪ R&amp;D, knowledge management</li> <li>▪ Additional man power and expertise</li> <li>▪ Internal and external communication</li> <li>▪ R&amp;D, knowledge management, communications, relationship management</li> </ul>	<ul style="list-style-type: none"> <li>(++)</li> <li>(++)</li> <li>(++)</li> <li>(++)</li> <li>(++)</li> <li>(?)</li> </ul>	
<i>External</i>	<ul style="list-style-type: none"> <li>▪ Other UN agencies</li> <li>▪ Other private partners of the WFP (e.g. TNT, Unilever)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Shared responsibility and co-determination in operations</li> <li>▪ Inter-organisational collaboration and network building</li> </ul>	<ul style="list-style-type: none"> <li>(+) (-)</li> <li>(+)</li> </ul>	
<b>Civil societies suffering from hunger and malnutrition</b>				
	<ul style="list-style-type: none"> <li>▪ All people suffering from hunger and malnutrition</li> <li>▪ Populations of the partnership's operation areas (i.e. Bangladesh, Guatemala, Kenya, Nepal, Zambia), beneficiaries are especially women and children</li> <li>▪ (non)governmental institutions</li> </ul>	<ul style="list-style-type: none"> <li>▪ Improved nutritional status, nutritional knowledge</li> <li>▪ Improved nutritional status, nutritional knowledge</li> <li>▪ Social and economic development</li> </ul>	<ul style="list-style-type: none"> <li>(+)</li> <li>(++)</li> <li>(+) (-)</li> </ul>	
<b>Others</b>				
	<ul style="list-style-type: none"> <li>▪ Research community</li> </ul>	<ul style="list-style-type: none"> <li>▪ Fortification policies and practices</li> </ul>	<ul style="list-style-type: none"> <li>(+) (-)</li> </ul>	

### 3.5 General Goal Hierarchy of the DSM-WFP Partnership

As mentioned in the partnership profile, DSM and WFP have co-developed the shared vision to make a difference for 90 million people. This vision was translated into the mission to “Contribute to WFP activities by means of providing cash contributions, product contributions and service contributions”. The mission again is expressed in two basic partnership initiatives, which reflect the DSM-WFP partnership’s high-level goals: (1) nutrition enhancement and (2) employee engagement. Initiative I is mainly driven by DSM Nutritional Products (DNP) in Switzerland; initiative II is coordinated from the DSM headquarter in Heerlen.



**Figure 3: General Goal Hierarchy of the DSM-WFP Partnership**

Within each of the two basic initiatives, single strategies were developed. Striving for nutrition enhancement, DSM and WFP will combine a more communication and policy oriented approach (Nutrition & Health) with a more technical oriented approach (Product Development). Striving for employee engagement, DSM and WFP have agreed upon three strategies: Employee Participation, Education & Advocacy and Fundraising. Finally, the five strategies were translated into tactical partnership projects (1 - 5). The level of partnership projects and the associated specific objectives are the pivotal point of this thesis. For each of the singles projects, an individual LogFrame will be developed.

## **3.6 Development of the Logical Frameworks**

This chapter comprises of two sub-chapters. In chapter 3.6.1, the single projects' operational designs will be delineated (i.e. vertical logic). In chapter 3.6.2, the course of performance measurement is described (i.e. horizontal logic).

### **3.6.1 Operational Designs of the DSM-WFP Partnership Projects**

Each partnership project will now be presented in form of its individual LogFrame. I.e. the single project activities and objectives will be discussed in the context of the underlying assumptions and risks (vertical logic). The single projects' LogFrames are inserted on the pages 45 to 53. To increase readability, the LogFrames are applied in reversed order, i.e. activities on the top and higher level goals at the bottom. However, before going into detail, here some general remarks on the formulation of activities, objectives, assumptions and risks.

#### **Formulation of activities and objectives:**

Overall, it is to remark that the objectives of the single partnership projects are not formulated in a conventional way. It is to point out that some project objectives have the character of an activity (e.g. pilot implementation of tailored CSB or development of fortification guidelines). This might be seen as conflicting with the theory around LogFrames where activities and objectives are inherently differentiated. However, taking an operation's causal sequence and timeline into account, a future activity can be interpreted as tactical objectives. In this sense, future activities are distinguished from initial activities and can be reasonably assigned to the LogFrame's result level. Furthermore, future activities themselves can be differentiated in planned and expected activities. A planned activity is more concrete than an expected activity. I.e. for a planned activity, there exists already a detailed schedule (timeline, scene, persons in charge and financial resources). An expected activity, on the other hand, will most likely take place. However, a detailed plan has not yet been worked out. Following this understanding, objectives that are planned activities are assigned to the output level; and objectives that are expected activities (e.g. development of fortification guidelines) are assigned to outcome or impact level.

Another remark refers to the wording of objectives. Usually, objectives are formulated in a directional way, i.e. they contain action verbs such as increase or reduce. However, sometimes direction words do not increase comprehensiveness but reduce readability. Regarding the different objectives of the DSM-WFP partnership, it is assumed that the reader will associate the right direction out of the context. Consequently, action verbs are left out.

#### **Formulation of assumptions and risks:**

Generally spoken, the last column of the LogFrame refers to the conditions that influence the further succeeding of an operation, but which are not under direct control as they depend on the external

environment. The differentiation of a LogFrame's assumptions and risks bases on the following idea: if a condition is reasonable, it can be classified as assumption; otherwise, it has to be classified as a risk (Sida 2004). In other words, if a condition is most likely to occur, it can be regarded as an assumption; otherwise it is a risk. The consideration of this basic principle leads to the following instructions: (1) take a risk averse perspective and identify all potential influencing factors, (2) differentiate the influencing factors as assumptions and risks by only formulating assumptions that will most likely hold true (i.e. if a condition is expected with a likelihood of higher than 50%) and (3) think of possible mitigations of the identified risks. Approaching the external conditions in such a way is regarded to most likely lead to successful project management and evaluation.

### **3.6.1.1 Project 1 – Benefits of Micronutrients**

Overall, the DSM-WFP partnership advocates the need for multi-micronutrient fortification. Striving for a common understanding on the benefits of micronutrient fortification, DSM and WFP follow a strategy that combines research and communication activities. In this special partnership project, **research** activities aim at showing the differences between multiple and single micronutrient fortification. To settle the basis for all future research and communication activities, it is assumed that DSM and WFP agree on the single specifications of the target groups (i.e. upper and lower bounds for micro and macro nutrients based on sex, age, health status etc.). The results of the research activities are the essential input for **communication and stakeholder engagement**. It is the extensive publication of research results that helps to tackle the risk that the need for extra micronutrients is not yet well understood by the different stakeholders involved.

Direct output of this project's research and communication activities will be created **awareness of the benefits of micronutrient fortification**. Awareness is understood as a two-dimensional concept. Stakeholders should be aware of the consequences of malnutrition to better understand the cost-benefit relation of fortification. Furthermore, they should be aware of the specifics of the different fortification alternatives.

In the midterm, DSM and WFP expect to connect the most relevant stakeholders and engage them in a collaborative **development of fortification guidelines**. The guidelines will include (1) information on the composition and quality standards of the different fortification means, (2) information on the variety of analyse methods and decision support for selecting an appropriate fortification means, and (3) information on regulation and legislation practices and support for policy making. However, to facilitate participation and to finally make the content broadly available to multiple stakeholders, DSM and WFP have to establish a platform first.

In the long run, it is expected that the governments of WFP host countries will be open to **adopt more comprehensive and effective fortification programmes**. Basically, it is assumed that DSM and WFP have successfully established contacts within the public sector (e.g. UNCHR and UNICEF) and contacts within the private sector (e.g. qualified producers). However, the openness and willingness to adopt the

new fortification programmes is critically linked with the external stakeholders' perceptions. There might be stakeholders, especially governmental authorities, who perceive DSM's and WFP's efforts as conflicting with their own national fortification initiatives. It is therefore crucial that DSM and WFP keep on emphasising the need for more tailored fortification means as part of their communicational approach. Overall, it is expected that especially this partnership project can significantly shape DSM's **corporate reputation**. In the context of the partnership, corporate reputation refers to how different stakeholders (e.g. DSM suppliers and customers or other non-governmental institutions) perceive DSM due to its various contributions (e.g. advocacy and product development). The effect on DSM's reputation will only be positive if all project operations are consistent with the principles and values of the single partnering organisations. Still, there exists a risk that the external environment perceives DSM's efforts as a pure business development strategy which could even negatively affect DSM's corporate reputation. To avoid such a biased association, DSM will strive for transparency and accountability by regularly publishing objective reports on ongoing activities and achievements.

### **3.6.1.2 Project 2a – Corn-Soya Blend**

Within this partnership project, it is strived to improve the overall quality of Corn-Soya blend (CSB). CSB is a blend of partially cooked corn or maize meal (80-85%), soy flour (20-25%), salt and vegetable oil which is finally enriched with vitamins and minerals. CSB, as currently used, is not ideal for treating moderate malnutrition among young children. DSM and WFP agree that CSB contains too little of the essential nutrients while including anti-nutrients that even limit the absorption of essential micronutrients. In this context, DSM will execute **research on CBS** to finally show how these drawbacks can be abolished. It is assumed that research activities are conceptualised to principally achieve compliance with the general CSB specifications of WFP, UNICEF, USAIDA, FAO and WHO.

Output of the partnership's research activities will be a **proposal for an improved CSB**. Improvement suggestions will refer to the nutritional composition and to the production process. Overall, it is assumed that the proposal for the improved CSB is accepted by the WFP and by the closer research community.

On outcome level, it is expected that the proposal will be followed up by a **pilot implementation of a tailored CSB** (i.e. CSB with additional milk powder). However, detailed plans do not exist and assumptions and risks are not yet worked out. Assumingly, the setting of this pilot will not differ significantly from the setting of the initial pilots with micronutrient powder, which will be described in the next chapter. I.e. initially, the same assumptions and risks would be taken into account (e.g. production capacity, assured quality and lack of support by WFP country offices). However, the cluster of assumptions and risks assumingly needs to be adapted on basis of the lessons learned in the initial pilots. Fading out all more operation oriented considerations and focusing on the bottleneck factor that determines the impact, the cluster of assumptions and risks can be reduced to one assumption and one risk: product effectiveness and product acceptance respectively.

In the long-run, it is considered that the **improved CSBs are incorporated as a regular constituent into WFP's general food ration**. As already indicated, the official incorporation will only take place when the new CSBs are generally accepted by the beneficiaries. Furthermore, the production has to be cost effective. However, even when those conditions are fulfilled, the incorporation of the improved CSB can be slowed down due to the fact that locally available production technologies are not directly suitable for the improvement suggestions made.

### **3.6.1.3 Project 2b – Micronutrient Sachets for Home Fortification**

As just explained, Corn-Soya-Blend is a processed food that is centrally fortified. However, home fortification is another option. Beneficiaries then enrich their cooked food with a powder of vitamins and minerals. The first pilot studies with micronutrient powder (MNP) will be implemented in Nepal (Q1 2008), Bangladesh and Kenya (Q3/Q4 2008). With respect to the **pilot production** of the micronutrient powder sachets (MixMe™), it is assumed that all parties involved (i.e. DSM, packager and distributor) have the necessary technical competence and capacity. Furthermore, it is assumed that the sachets' quality can be assured across the whole pilot production process (i.e. mixing, filling and delivery). After the delivery of the micronutrient powder, the **pilot distribution (including social marketing campaign)** will start. To successfully run the pilots in Bangladesh, Kenya and Nepal, it is assumed that contacts with WFP's departments (especially purchasing and operations) and governmental authorities are established. With respect to DSM's competencies, it is assumed that DSM has gathered the necessary insights in the needs and habits of the beneficiaries (as part of specific assignments from partnership initiative II). However, the success of the pilots is strongly dependent on how well the specific country offices coordinate the distribution and facilitate the accompanying social marketing campaign. In this awareness, WFP will make sure to appoint a competent coordinator at each country office. Simultaneously to those pilot studies, DSM facilitates **additional research** on (1) how to improve the MNP itself and (2) how to improve its packaging. Research on the universal formulation of the MNP takes place in an inter-organisational setting. DSM here cooperates with Akzo Nobel N.V. and the Eidgenössische Technische Hochschule Zürich (ETH). For these collaborative research activities, it is assumed that confidentiality agreements are properly set and that intellectual property rights are correctly assigned.

As said, initial research activities continue to develop a **new and universal formulation of a micronutrient powder** that can also be used in malaria areas. It is assumed that WFP and the closer research community will accept the improved formulation. Beside the powder, the **packaging material** will also be improved, especially with respect to its environmental friendliness. It finally should serve three requisites: suitability for tropical climates, environmental sustainability and variety in size.

On outcome level, it is expected that the **sachets are incorporated as a regular constituent into WFP's general food ration**. Overall, it is the implementation scale that determines the magnitude of the impact. I.e. a large scale implementation of the sachets promises the highest impact on the

beneficiaries' nutritional and health status and on DSM's business development. A large scale implementation will only take place under the assumption that (1) the sachets can be produced and distributed in a cost effective way and that (2) the beneficiaries accept and use the sachets.

As just explained, it is expected that the broad utilisation of sachets will significantly **improve the nutritional and health status of the beneficiaries**. However, the impact cannot be that easily anticipated since the nutritional status depends on many other factors (such as the general health status of the beneficiaries, food access, general diet, water and sanitation). DSM and WFP are aware of these interrelations and address those already when developing educational initiatives (i.e. basic knowledge on food and nutrition is combined with basic knowledge on hygiene and health). For DSM in specific, the large scale implementation of the sachets will lead to **business development**. Basically, business development refers to the developed MixMe™ sachets. However, DSM also considers introducing a fortification concept that addresses additionally to micro deficiencies also macro deficiencies (so called MixMe Plus™).

#### **3.6.1.4 Project 3 – Employee Specialists and Volunteers**

Pursuing the strategy of employee participation, DSM encourages employees from all over the world and from all different business divisions to support the WFP's operations. An employee can deliver his/her individual contribution by carrying out an assignment. The demand and design of assignments is basically driven by WFP's needs. Mostly, assignments evolve from project operations within the partnership initiative I (nutrition enhancement) and therefore take place in a specific country. However, assignments can also aim at improving WFP's internal processes and therefore are executed in the WFP headquarter. In any case, DSM and WFP mutually agree on the final design of an assignment.

Basically, this partnership project builds on two initial activities: assignment set-up and assignment execution. The activity "**assignment set-up**" includes the collaborative development of the assignment as well as the DSM internal promotion of the assignment. In general, it is assumed that the assignments are attractively designed and described (i.e. clear information on background, assignment objectives, required skills and competences, personal benefits and rewarding and application procedure). Furthermore, it is assumed that organisational support before, during and after the assignment is assured and explicitly communicated. However, even when the assignment is detailed described, there will be applications from DSM employees whose skills and competencies do not perfectly match the assignment requirements. In this case, the management of expectations is of great importance to avoid disappointment on the employee's side. Managing expectations is also critical within the whole assignment related communication. Since the number of assignments is limited, not every applicant will have a chance to execute an assignment. This fact will be very clearly communicated.

The follow-up activity of assignment set-up is **assignment execution**, including the initial selection of the assignee and the final assignment realisation. It is assumed that the ideal assignee (i.e. the



assignee whose skills and competences best match the assignment requirements) can be identified. With respect to the final assignment realisation, there exists the risk of missing financial resources since the assignee has to find a business unit or department that takes over the costs for the stay. Creating awareness regarding this sponsoring is one part of managing expectations. Next to this, the assignee has to be well informed in advance on all other factors of the assignment (e.g. political situation in the country where the assignment takes place, necessity of WFP security training and regular reporting via a web log). The assignee's expectations have also to be properly managed during the assignment realisation. DSM and WFP therefore initiate regular contact moments (e.g. telephone conferences) to monitor the well-being of the assignee and the assignment progress.

The described activities lead to two outputs: (1) individual learning and development of DSM employees and (2) knowledge transfer among the different stakeholders of the DSM-WFP partnership. In general, gathered experiences are transformed into knowledge and skills. I.e. participating in an assignment will positively affect an employee's **individual learning and development**. It is assumed that an assignee perceives his experiences as beneficial and recognises his role and the value of his individual contribution. Writing a web log will support these perception and recognition processes. Coming to the next output, **knowledge transfer**, it is to consider that knowledge transfer has in the context of the partnership a multi-directional character. On the one hand, knowledge will be transferred between the two partnering organisations. On the other hand, the two partnering organisations will transfer knowledge to the external environment (e.g. the research community or the society of a developing country). It is especially the external knowledge transfer that faces the risk of resistance. The targeted recipients (e.g. teachers in Zambia) might not be willing to internalise and apply the transferred knowledge. This risk can only be mitigated by combined forces. Initially, DSM has to develop customised knowledge, i.e. the expertise to be transferred has to be adapted towards the knowledge level of the target group. Next to this, WFP has to make sure that the recipients recognise DSM as being part of WFP's support.

Both individual learning and development and knowledge transfer will increase the level of **employee engagement**. In general, employee engagement is defined as the active participation of DSM employees in all partnership activities. In the context of this project, engagement refers not only to the active participation but also to the employees' willingness to go abroad for an assignment. With respect to employee engagement, it is assumed that the employees' engagement is adequately honoured by feedback (individual and overall) and rewarding.

As a more long-term oriented result, the partnership project will have an impact on employee recruitment and retention. With the objective of **employee recruitment and retention**, no special assumptions or risks are associated. It is expected that the different efforts within the project (such as provision of learning and development opportunities, transfer of knowledge and the created engagement level) increase the likelihood that a DSM employee will stay in the company.

### 3.6.1.5 Project 4a – Internal Education and Advocacy

Pursuing the strategy of education and advocacy, DSM provides all the necessary information on the partnership's purpose and the partnership's general design. Overall, the **internal communication** is the initial activity to encourage DSM employees to join education and advocacy activities. DSM is aware of the importance of its internal communication to promote the different activities and therefore assures the necessary budget. In total, DSM corporate facilitates three activities: the by WFP established yearly **“Walk the World”** event (WtW), the **“Fill the Cup”** action (FtC) and the **“DSM Global Children's Art Competition”** (DGCAC). However, DSM faces the risk of a decreasing motivation regarding its employees' willingness to participate. Therefore, DSM strives to coordinate all the different events and distribute them evenly over the year.

Overall, those activities will lead to an increased **awareness of hunger and malnutrition** among the DSM employees. DSM employees should be aware of (1) the factual situation in the third world, (2) the purpose and design of the DSM-WFP partnership and (3) the currently ongoing partnership operations. However, creating awareness does not assure that DSM employees take an active role and become advocates of the partnership. It might be that DSM employees are not aware of the importance of their individual contributions and consequently do not personally feel responsible. DSM therefore will follow an emotional communication strategy by incorporating personalised messages (e.g. from the CEO) and different success stories (e.g. from assignees).

Awareness is the trigger for **employee engagement**. In the context of this partnership project, engagement refers to the active participation of DSM employees in WtW and DGCAC. Engagement will be maintained under the assumption that DSM employees get sufficient feedback on the outcome of their participation and feel adequately rewarded.

### 3.6.1.6 Project 4b – External Education and Advocacy

Similar to the “Internal Education and Advocacy” campaign, also the project “External Education and Advocacy” is initially driven by **communication** activities for which enough financial resources will be provided. Communication is targeted on advancing two specific tools that DSM will develop to communicate the background, purpose and design of the DSM-WFP partnership: a modular website and a modular school workshop. For both the **kids website** and the **kids workshop**, it is assumed that financial resources are secured, that external communication activities create enough publicity and that both tools are easy to use. The acceptance of the kids workshop is furthermore strongly dependent on the compatibility with the schools' general curriculum. Consequently, the request for compatibility will be considered for the general workshop design.

The kids website and kids workshop basically address children. However, also DSM employees and their families and friends can participate as educators and advocates by executing the workshop. This **engagement from DSM employees and their families and friends** as trainers is not associated with

any special assumptions or risks. Engaging DSM employees and their families and friends will support the creation of **awareness on hunger and malnutrition** in the external community. However, similarly to the risk associated with internal awareness, people might not notice the importance of their individual contributions and might not get involved. Here again, DSM will apply targeted communication that particularly bases on success stories.

On the outcome level, it is expected to create **engagement from the external community**, i.e. children shall participate in the workshop and in the other activities on the website. To finally achieve a positive impact on community's engagement and DSM's corporate reputation, it is assumed that there is enough publicity to inform the external community on ongoing efforts and to communicate rewarding for the community's engagement.

In the long-run, DSM's more external directed efforts will have an impact on the **external environment's engagement level**. No special assumptions and risks are associated with the creation of engagement within the external environment. For the expected impact on DSM's **corporate reputation**, the afore mentioned assumptions (i.e. compliance and consistency in principles and values) and risks (i.e. business development versus goodwill) are considered.

#### **3.6.1.7 Project 5 – Fund Raising**

Fund raising is an important engagement activity where actually everybody can contribute. On the one hand, there are corporate events like **“Walk the World”** and **“Fill the Cup”** that relate to awareness and fundraising. On the other hand, **individual fund raising initiatives** will be organised. Regarding the individual fund raising initiatives, it is assumed that DSM employees are inventive enough to anew attract people. The risk that those individual fund raising initiatives are non-compliant with the principles and policies of WFP is minimised by a clear communication (e.g. contact persons, guidelines and booklet with best practice examples and approval form). However, as with the other participatory events, also the individual fund raising initiatives might suffer from a decreasing motivation. DSM will address this decreasing motivation by offering a balanced mix of freedom and control, accepting that some individual fund raising activities will not be officially registered and consequently cannot be tracked back. The direct output of the project will be **locally raised funds**. This includes funds raised by employees but also monetary donations by DSM as a corporate and by DSM's single business units. No special assumptions or risks are considered in this context.

### **3.6.2 Performance Measurement within the DSM-WFP Partnership Projects**

In the following sub-chapters, it will be reasoned by which performance indicators (and means of verification respectively) the achievement of the individual objectives can be evaluated (horizontal logic). The different quantitative and qualitative performance indicators will be discussed regarding their strengths and weaknesses in exploratory power. Overall, it is strived to develop complete LogFrames,

i.e. very different indicators of different exploratory power will be included. However, before going into detail, here some introductory remarks on the derivation of performance indicators.

**Derivation of activity level related indicators:**

The first remark refers to the theoretical conceptualisation of the LogFrame's activity level. In general, the LogFrame follows an activity based costing approach. I.e. on activity level, the single budgets (i.e. all required monetary, physical and human resources, see Table 4) are the official performance indicators. However, it might be appropriate to include additional, non-financial indicators (such as delivery time or number of participants) on the initial activity level. This adaptation is regarded to be in line with the by the LogFrame overall provided flexibility.

**Derivation of result level related indicators:**

As shown, there are some overlaps in higher level goals. I.e. within multiple partnership projects, one and the same goal is expected. Corporate reputation, for example, is the higher level objective of two projects. Also employee engagement is objective in more than one project. In view of the planned evaluation, it is to remark that an individual operation's effect on a higher level goal cannot be tracked. In fact, changes in higher level goals (e.g. an increase in reputation) result from the sum of partnership and project activities. Consequently, it is reasonable to apply the same, not project specific performance indicators for those higher level goals.

Another remarkable point refers to the fact that the LogFrame is primarily developed to serve the specific informational needs of DSM's official partnership coordinator, Fokko Wientjes. Certainly, the partnership coordinator is generally responsible for all activities around initiative I and II, namely nutrition enhancement and employee engagement. I.e. his informational needs refer to both partnership initiatives. However, the required detail of information differs with (1) a project's impact potential, (2) a project's time horizon and (2) the partnership coordinator's "feeling of ownership". In general, initiative I projects have a limited time focus, and projects are basically run by DNP, Switzerland. Here, the partnership coordinator prefers a more result-oriented perspective aiming at summative evaluation. However, initiative II projects are more of continuous nature, and the coordinator is very actively involved in all initiative II operations. Here, the coordinator prefers a more process-oriented perspective aiming at formative evaluation. These preferences are reflected in the performance indicators: most indicators related to the nutrition enhancement initiative simply ask for documentation (yes or no) and are more of a one time character; most indicators around the employee engagement initiative are numeric and will be monitored and compared over time.

Another noteworthy point refers to the inclusion of targets. Favourably, indicators include a target (e.g. number of participants in WtW = 1000 or amount of funds raised = € 500,000). However, the partnership is still in its infancy and target setting is in process. Overall, insights that are gained through the here executed research and the data collection around the various performance indicators will contribute to set realistic target values in the future.

A final remark refers to the differentiation of the terms “score” and “index”. A score is understood as the measured frequency of a single phenomenon (such as the employee retention score). An index is the measure value of a multi-dimensional construct (such as the assignees’ satisfaction index).

**Means of verification:**

Both the source of information (e.g. a document) and the method of data collection (e.g. a survey) are defined as means of verification (SECO 2005; WFP 2008a). If none of the two is stated in the LogFrame, it is assumed that the figures can be retrieved via DSM’s information systems.

**3.6.2.1 Project 1 – Benefits of Micronutrients**

In line with the LogFrame’s principle of Activity-based Costing (ABC), the research and communication activities of this project will be assessed on basis of the occurring costs. Costs for **research** refer only to the initiated comparison study. Costs for **communication and stakeholder engagement** refer to DSM-WFP internal communication (e.g. costs for the development of internal papers and guidelines) and to external communication activities (e.g. costs for participating in conferences).

Following the idea of Result-Based Management, the created “**awareness on the benefits of micronutrient fortification**” can be actively verified through a survey among experts and key organisations (WFP, UNICEF, UNHCR, WHO, FAO, USAID, GAIN and MFS), out of which a fortification awareness index can be derived. However, as DSM and WFP are interested in controlling the awareness building process, this result indicator needs to be combined with process indicators. In this sense, also the number of PR moments on fortification is of importance. PR moments imply by DSM and WFP proactively initiated media coverage (e.g. MN Forum Beijing, IC of Nutrition Bangkok) and free publicity (e.g. citations in scientific articles). Additional to the general media events, WFP approaches single key stakeholders (such as GAIN and local governments) to involve them in individual discussions on fortification. Consequently, the number of those individual contact moments should be documented as well. Monitoring the stakeholders’ participation over time can help to identify very engaged organisations which are potential partners for future collaboration.

Overall, it is difficult for the partnership coordinator to assess the quality of the **development of fortification guidelines**. He has to trust that the responsible persons control this collaborative activity. However, the coordinator can review the progress in the development of fortification guidelines by checking the availability of information on the three constituent content components (fortification means, analyse methods, regulation and legislation). Each fortification mean should be specified in form of a master specification file. The different analyse methods should be pooled in an inventory of medical screening methods. Furthermore, a target group specific decision tree should be available to match screening results with suitable fortification means. Regarding regulation and legislation, information on bottlenecks, constraints and facilitating factors should be documented. The partnership coordinator can monitor the progress in the single content components on the established platform.

The extent to which countries **adopt more comprehensive and effective fortification programmes** can be assessed by monitoring the percentage of fortified quality food in the WFP food basket. Additionally, the number of countries that implement the new fortification programmes should be monitored. The impact on DSM's **corporation reputation** can be verified on basis of primary as well as on secondary data. I.e. on the one hand, DSM can execute a survey on reputation among suppliers, customers and DSM's external environment to finally retrieve a reputation index score. On the other hand, DSM can make use of commercial brand and reputation ratings and other sustainability ratings (e.g. Global Reporting Initiative, Dow Jones Sustainability Index). Both the primary data as well as the secondary data sources have the potential to reveal the positive relation between the DSM-WFP partnership and DSM's corporate reputation. Furthermore, awards that DSM wins for its efforts (e.g. ICIS Innovation Award for MixMe™) are an indication of a positive development in reputation building. As indicated in this chapter's introductory paragraph, it will not be possible to precisely extract and quantify the partnership's effects on corporate reputation. However, a special survey on reputation has the highest potential to deliver insights on the single effects.

### **3.6.2.2 Project 2a – Corn-Soya Blend**

The input side of the **research** activities will be appraised on basis of the costs that internally occur at DSM (e.g. expenditures for laboratory analysis and for production process experiments).

Evaluating on the research's output side is similar to the evaluative approach in the development of fortification guidelines. The partnership coordinator will review the **proposal for improved CSB** on basis of the existing documentation. The internal reporting should reveal the improvements of the nutritional content as well as the improvements of the production process. In specific, the documentation of the improvements should disclose (1) an optimised composition of micro and macro nutrients, (2) an decreased fibre content, (3) an decreased microbiological contamination and (4) a maximal cost increase of 30-40%.

As earlier argued, the **pilot implementation of a tailored CSB** is not yet worked out in detail, and product effectiveness and product acceptance are regarded being most crucial to finally yield an impact. If no further critical assumptions and risks need to be formulated, the partnership coordinator will simply check if effectiveness and acceptance are documented.

How extensively the **improved CSBs are finally incorporated as regular constituent into WFP's general food ration** can be seen from the overall amount of improved CSBs that is produced (in tons). As stated earlier, the improvement suggestions also refer to the production process. However, the proposed technical changes cannot be implemented by every CSB producer. Therefore, the number of production sites that implemented the suggestions should be checked as well. If desired by WFP, DSM can then evaluate together with CSB suppliers, who successfully implemented the changes in production process, and develop some further hand-on support.

### 3.6.2.3 Project 2b – Micronutrient Sachets for Home Fortification

In the long-run, it is assumed that the micronutrient powder sachets can be supplied in a cost effective way. Therefore, it is necessary to record all costs incurred in connection with the **pilot production**. Initially, DSM provides the vitamins and minerals for free, i.e. material costs equal the amount of product donations. However, special attention needs to be paid to costs that result from external business partners' operations (e.g. costs for packaging and delivery). As crucial as cost effectiveness is that the sachets are delivered on time. For standard production, the delivery time should not take longer than 3 months. For emergency productions, delivery time should be less than 1 month. The delivery time is recorded in the shipping note and can be verified here. When it comes to further negotiations with potential contractors to finally leverage the sachets to a larger scale, the gathered insights on costs and delivery times will be a valuable input. The **pilot distribution and social marketing campaign** will be evaluated on how many beneficiaries had access, participated and dropped out of the pilot study. Access refers to the potential and the realised reach of beneficiaries. The number of trainings on common usage of sachets multiplied by the maximum capacity for participants measures the potential reach (e.g. 20 trainings x 50 women = 1000). On the one hand, the potential reach can be related to the total number of targeted beneficiaries (i.e. number of pregnant or lactating mothers) or to the overall number of beneficiaries (i.e. all needy people of the country). This allows conclusions upon the impact potential of the pilot study. On the other hand, the potential reach can be related to the realised reach (i.e. number of women who attended per training). This allows conclusions upon the effectiveness of the approach (e.g. well located, well promoted). At the end of the pilot study, it is important to document how many beneficiaries finally completed the fortification programme. Relating the initial reach to the realised participation indicates if the beneficiaries accepted the sachets. As the distribution of the sachets is officially facilitated by WFP country offices, the information on access, participation and drop out can be found in their recordings. The **additional research** activities to further improve the micronutrient powder will be assessed on basis of the costs incurred, i.e. costs for research on the formulation and costs for research on the packaging material.

The **new formulation of the micronutrient powder**, as an outcome of the research activities, will be reviewed by scanning the existing documentation. First of all, the standards for the sachets should be presented clearly (including branding and logo). Those can be found back in a specific master specification file. Next, the documentation on the formulation should explicitly state (1) the GRAS approval (generally recognised as safe), (2) the optimised absorption rate and (2) the verified efficacy for malaria areas. On the appropriateness of the **packaging material** will also be concluded by reviewing the existing documentation. Overall, the documentation should make apparent that the minimum shelf life is attested, that recyclability is guaranteed and that different serving alternatives are realisable. This information can be retrieved from the packaging material's master specification file.

The extent to which the sachets are incorporated into WFP's food basket depends on the price. Consequently, the sachet price is the key variable that should be controlled. One serving per beneficiary

and per day should not exceed 0.015 US\$. As DSM will be able to provide the sachets at this price, the company seeks to become an official WFP supplier. Monitoring how often and how much WFP places orders towards DSM (i.e. number of orders (including the amount of micronutrients)) will show if DSM positioned itself successfully as a supplier.

Overall, the incorporation of the sachets has the potential to significantly improve the nutritional and health status of people suffering from hunger and malnutrition. WFP is very experienced in monitoring and evaluating nutritional interventions. The different indicators that are used can be clustered into three basic groups. The micronutrient status can be monitored by testing the beneficiaries for deficiency related symptoms (e.g. night blindness, goitre, anaemia etc.). The results can then be compared to WHO's data base 'Vitamin and Mineral Nutrition Information System' (VMNIS). The test on deficiency symptoms should be combined with anthropometric measurements. However, for each beneficiary group, different indicators have to be applied. Women will be assessed upon their body height and their body mass index. Valid indicators for children are height for age, weight for age and weight for height. Also here, the WHO provides reference data in their 'Multi-centre Growth Reference Study' from 2006. Furthermore, immune system related data should be collected. Mortality rate and the prevalence of diarrhoea, fever and acute respiratory infections indicate the health status of the beneficiaries.

Once accepted as an official WFP supplier, DSM will also be recognised by other organisations as business partner. This business development can be easily quantified by the total market creation of the MixMe™ sachets in tons. Further business can be yielded by introducing also a macro micro nutrient powder. Initially, working documents can indicate the progress in developing such a fortification concept.

#### **3.6.2.4 Project 3 – Employee Specialists and Volunteers**

In the first place, this project's initial activities will be evaluated on cost basis. Costs that occur in relation to the activity "**assignment set-up**" are basically the costs for need definition and assignment development, possibly other assignment specific costs. Costs for need definition and assignment development will particularly result from travel expenses of the partnership coordinator and the project owners. However, additional to financial figures, it is of interest (1) how much time is spend on need definition and assignment development, (2) how long an assignment is promoted on the Intranet, and (3) how many employees applied per assignment. Insights in those three dimensions will help to better coordinate the assignment preparing communication between DSM and WFP and to better manage the applicants' expectations. Costs that will occur for the **execution of an assignment** are the costs for assignment realisation and other assignment specific costs. The costs for assignment realisation comprise of (1) assignees' expenditures (e.g. for vaccination, flight, hotel etc.) and (2) costs that WFP declares towards DSM corporate (e.g. for security training in Rome and for support from WFP country offices).



The output “**individual learning and development**” is a very intangible objective. The quantitative indicator “total number of assignments” is a first starting point to show how many learning and development opportunities totally resulted from the DSM-WFP partnership. However, to further conclude on the quality of the provided learning and development opportunity, a more qualitative approach is necessary. Following the idea of triangulation, the quality of an assignment can best be evaluated by a mix of indicators and methods. Combining a document analysis with a focus group discussion is such a triangulative approach. The document analysis (i.e. comparison of the initial assignment description with the final assignment report) delivers more objective insights. The focus discussion with a group of assignees will deliver more subjective impressions, which could be summarised in an assignee satisfaction index.

The evaluation of the output “**knowledge transfer**” also combines a document analysis with a focus group discussion. In the case that knowledge transfer is explicitly stated as an official assignment objective, related performance indicators and expected results should be derived before the assignment starts. For example, if the assignment objective is to implement a health and nutrition education campaign in community schools in Zambia, a suitable performance indicator would be the number of pupils who participated in the campaign, and a reasonable expected result would be to train 1000 pupils. The evaluation then can be easily executed by comparing the expected results (stated in the assignment description) with the realised results (stated in the final assignment report). However, knowledge will also be transferred even when it is not an explicit goal. This accompanying knowledge transfer can hardly be measured. The networking activity and the established contacts within the DSM-WFP partnership and towards external stakeholders can be seen as a measure for the extent of the accompanying knowledge transfer. Networking activity and established contacts can be verified by a focus group discussion among the three main stakeholder groups (i.e. communication and nutrition specialists from DSM and from WFP, partnership coordinators and selected assignees). Furthermore, the number of published fact sheets and guidelines can indicate the extent to which knowledge is transferred.

As stated above, the objective “**employee engagement**” refers in this case to (1) the active participation in an assignment and (2) the overall willingness to participate in an assignment. In this sense, the number of applicants per assignment is the most appropriate indicator.

The impact “**employee recruitment and retention**” can be validated by a special recruitment or retention score. Obviously, the term “retention” refers to DSM-employees, whereas recruitment refers to non-DSM-employees. Consequently, the partnership’s impact on employee retention can be measured by integrating a question into DSM’s general engagement survey. The impact on recruitment has to be validated by an extra survey among people who applied at DSM after the official start of the DSM-WFP partnership. Still, the question of retention can be included also in this external survey. In general, measuring recruitment and retention will be challenging due to the effect of socially desired responses.

### 3.6.2.5 Project 4a – Internal Education and Advocacy

As described, this project bases on three main activities. The **internal communication** will be assessed on basis of the costs incurred for information provision. In general, cost items can be clearly assigned to the budget for internal communication (e.g. maintenance of the partnership Intranet site, the design and printing of the partnership brochure, or production of a video). Also for the activities **Walk the World** (WtW), **Fill the Cup** (FtC) and **DSM Global Children’s Art Competition** (DGCAC) distinct cost items can be identified. Costs incurred for WtW refer to the expenditures for sponsoring and the expenditures for employee participation (such as the costs for transportation, volunteers’ accommodation and gimmicks). Costs for FtC base on the expenses for the cups and expenses for promotion material (such as placemats, table signs, banners, T-shirts, stickers, buttons etc.). Organisational costs that occurred for DGCAC basically comprise of expenses for posters, for gimmicks and for the individual celebration events.

The created **internal awareness on hunger and malnutrition** can be reflected through multiple indicators. Most of them are of numeric nature. The number of internally published press releases and the number of Weblog articles show the presence of the DSM-WFP partnership and thereby reflect the potential of awareness building. However, since it is not known how many employees finally read those press releases, the explanatory power is restricted. Therefore, the indicator has to be combined with some other indicators that capture more the effects on the recipient side. Suitable indicators are (1) number of clicks on the general partnership Intranet site, (2) number of clicks on the single assignees’ Weblogs, (3) number of responses on Intranet site and number of comments on Weblogs, and (4) number of newsletter recipients (so called friends of WFP). It is to remark that most of the assignees’ Weblogs are hosted externally. Here, click analysis cannot reveal how many different recipients have been reached. However, click analysis for the internally hosted partnership website does not suffer from this drawback. Technically spoken, visits (referring to how many different employees visited the partnership site) can be distinguished from views (referring to the overall number of clicks). Also the number of newsletter recipients (so called ‘friends of WFP’) indicates very precisely how many different employees are reached. However, here again it is not assured that the recipient also reads the content. Additional to those numeric indicators, it is also recommendable to operationalise the three basic dimensions of “awareness on hunger and malnutrition” within an internal survey to finally derive a specific internal awareness index. Relating this index with the numeric, more process oriented indicators will deliver insights on effectiveness.

Measuring **employee engagement** in the context of this project simply bases on the number of participants in the activities WtW and DGCAC. To derive the total number of DSM employees that participated in WtW, the participants of the single national walks have to be summed up. Also the total number of children that participated in the DGCAC has to be retrieved via the single countries.

### 3.6.2.6 Project 4b – External Education and Advocacy

Again, the costs are the main measure to capture the project's initial activities. Expenses for **external communication** refer to the maintenance of the partnership Internet site, the design and print of a brochure on kids' activities or production and the publication of case studies. Costs occurring around the realisation of the **kids website** are (1) costs for website design, (2) costs for technical implementation and (3) costs for website maintenance. The realisation of the **kids workshop** will comprise only of the costs for workshop development and the costs for workshop implementation.

The output "**engagement of DSM employees and their families and friends**" can be measured by the number of persons who participated in the trainers-training and by the number of persons who finally executed a workshop.

To evaluate on the creation of **external awareness of hunger and malnutrition** as a desired output, a multitude of indicators appears appropriate. Here again, some indicators reflect more the potentially generated awareness; others reflect more the factually generated awareness. One measure that indicates the potential extent of awareness creation is the number of PR moments on the partnership. This includes the proactively generated publicity (e.g. MN Forum Beijing and IC on Nutrition Bangkok) and the free publicity (e.g. in a school newspaper). Apparently, the tracking of free publicity is difficult. However, it is to assume that DSM is notified on some of the press releases. Another measure for the extent of awareness creation is the number of websites (e.g. websites of DSM, WFP, World Vision, UNICEF and FAO) that link to the DSM-WFP partnership's educational website. Unfortunately, it cannot be automatically retrieved which external websites link to the educational website. Therefore, the existing linkages can only be proactively checked for a limited and selected number of websites. The data collection around those indicators that reflect the factually generated awareness is not as difficult. The number of clicks on the educational website as well as the number of direct enquiries regarding the kids' activities can be easily retrieved via the educational website's administration system. The number of executed workshops is also registered since DSM will provide the toolboxes for the workshop.

The outcome "**engagement from the external environment**" can be evaluated on basis of three numeric indicators: (1) the number of workshop participants and (2) the number of children who joined the different kids website activities (such as quiz, online game or creative corner) and (3) the number of follow-up initiatives. The number of workshop participants might not be as transparent. Usually, teachers indicate the number of pupils, which is also necessary for material compilation. Otherwise, the number of participants can be estimated via the number of executed workshops (e.g. by assuming an average of 25 pupils per workshop). The number of children who joined the different kids website activities can be collected via the website's administration system. However, it might be difficult to check if it were the same or different children. The number of follow-up initiatives (such as a bakery fundraising initiative at a school or a charity walk at a sport club) is also a proof for an engaged community. However, it is not

assured that those follow-up initiatives are reported to DSM. Still, such a reporting can be stimulated via the website.

For the evaluation of **corporate reputation**, it is referred back to page 38.

### **3.6.2.6 Project 5 – Fund Raising**

The **individual fund raising initiatives** are organised by DSM employees. In general, the corporate does not spend any money on individual fund raising initiatives, and the costs for administrating the raised funds can be considered to be negligible. Overall, the number of persons who participated in these individual fund raising initiatives is regarded to be a much more appropriate indicator for this project activity. However, as already indicated in the descriptions of the operational design, DSM approaches the individual fund raising initiatives with a balanced mix of freedom and control. I.e. DSM will not be aware of every fund raising initiative that takes place. Consequently, the exact number of participants is nowhere registered. Here, DSM is dependent on individual notification and reporting. Next to the individual fund raising initiatives, also the activities “**Walk the World**” (WtW) and “**Fill the Cup**” (FtC) include the aspect of fund raising. In this project context, the activities can best be assessed on basis of the amounts of funds raised. Since WtW and FtC are originally set up to internally create awareness on hunger and malnutrition, the activities’ costs are captured in the project “Internal Education and Advocacy”.

The output “**locally raised funds**” is simply measured by the amount of money raised. Money raised will be transferred to the corporate bank account. By a proper declaration of the reason of transfer, a differentiation between money raised by individual employees and money raised by business units becomes possible.

**Table 6: LogFrame 1 - Benefits of Micronutrients**

	Logical framework hierarchy	Performance indicators	Means of verification	Assumptions	Risks
<b>Activities</b>	<b>Research</b>	PI <sub>1</sub> Costs for comparison study		■ Agreement on target group specifications	
	<b>Communication and stakeholder engagement</b>	PI <sub>2</sub> Costs for DSM-WFP internal communication			■ Need for extra micronutrients is not yet well understood by all stakeholders
		PI <sub>3</sub> Costs for external communication			
<b>Results</b>	<b>Output</b>				
	<b>Awareness of the benefits of micronutrient fortification</b>	PI <sub>4</sub> Fortification awareness index	■ Survey amongst experts and key organisations		
		PI <sub>5</sub> Number of PR moments on fortification - proactively initiated by DSM-WFP - free publicity			
		PI <sub>6</sub> Number of individual contact moments with single key stakeholders	■ WFP's information systems		
<b>Outcome</b>					
<b>Development of fortification guidelines</b> - composition and quality standards of products - analyse methods and decision support regarding the different fortification products - regulation and legislation practices and support regarding policy making	PI <sub>7</sub> Documented master specification files (yes/ no)	■ Online platform	■ Usability ■ Moderation	■ No financial resources	
	PI <sub>8</sub> Documented inventory of medical screening methods and decision tree (yes/ no)				
	PI <sub>9</sub> Documented bottlenecks, constraints and facilitating factors (yes/ no)				
<b>Impact</b>					
<b>Adoption of more comprehensive and effective fortification programmes</b>	PI <sub>10</sub> Percent of fortified quality food in the WFP food basket	■ WFP's information systems	■ Established contacts with public and private sector partners	■ Stakeholders perceive DSM's and WFP's efforts as conflicting with their own initiatives	
	PI <sub>11</sub> Number of countries that implemented more comprehensive and effective fortification programmes				

Results	Corporate reputation	PI <sub>12</sub> DSM reputation index	<ul style="list-style-type: none"> <li>■ Survey among suppliers, customers and the external environment</li> </ul>	<ul style="list-style-type: none"> <li>■ Partnership operations are consistent with the principles and values of the single partnering organisations</li> </ul>	<ul style="list-style-type: none"> <li>■ DSM's efforts are only associated with business development</li> </ul>
		PI <sub>13</sub> Secondary data reputation index	<ul style="list-style-type: none"> <li>■ Reputation ratings and other sustainability ratings</li> </ul>		
		PI <sub>14</sub> Number of awards			

**Table 7: LogFrame 2a – Corn-Soya Blend**

	Logical framework hierarchy	Performance indicators	Means of verification	Assumptions	Risks
<b>Activities</b>	<b>Activities</b>				
	<b>Research</b>	PI <sub>1</sub> Costs for research on CSB		<ul style="list-style-type: none"> <li>Compliance with specifications of WFP, UNICEF, USAIDA , FAO and WHO</li> </ul>	
<b>Results</b>	<b>Output</b>				
	<b>Proposal for improved CSB</b>	PI <sub>2</sub> Documented optimised composition of micro and macro nutrients (yes/ no)		<ul style="list-style-type: none"> <li>Acceptance of the improvements suggestions by WFP</li> </ul>	
		PI <sub>3</sub> Documented decreased fibre content (yes/ no)			
		PI <sub>4</sub> Documented decreased microbiological contamination (yes/ no)			
		PI <sub>5</sub> Documented max. cost increase of 30-40% (yes/no)			
	<b>Outcome</b>				
<b>Pilot implementation of tailored CSB</b>	PI <sub>6</sub> Documented efficacy (yes/no)	<ul style="list-style-type: none"> <li>Research reports and WFP's country office evaluations</li> </ul>	<ul style="list-style-type: none"> <li>Product effectiveness</li> </ul>	<ul style="list-style-type: none"> <li>Product acceptance</li> </ul>	
	PI <sub>7</sub> Documented acceptance (yes/no)				
<b>Impact</b>					
<b>Improved CSBs incorporated as a regular constituent into WFP's general food ration</b>	PI <sub>8</sub> Number of production sites who implemented improvement suggestions	<ul style="list-style-type: none"> <li>WFP's country office evaluations</li> </ul>	<ul style="list-style-type: none"> <li>Acceptance of the product by beneficiaries</li> <li>Cost effectiveness</li> </ul>	<ul style="list-style-type: none"> <li>Locally available production technologies are not directly suitable for improvement suggestions</li> </ul>	
	PI <sub>9</sub> Amount of improved CSB produced in different countries (in tons)				

**Table 8: LogFrame 2b – Micronutrient Sachets for Home Fortification**

	Logical framework hierarchy	Performance indicators	Means of verification	Assumptions	Risks
Activities	<b>Activities</b>				
	<b>Pilot production</b> (including packaging and initial delivery)	PI <sub>1</sub> Amount of product donations	■ Shipping note	■ Technical competence ■ Production capacity ■ Assured quality	
		PI <sub>2</sub> Costs for operations by external business partners			
		PI <sub>3</sub> Delivery time - For standard: available within 3 month (yes/no) - For emergencies: available within 1 month (yes/no)			
	<b>Pilot distribution</b> (including social marketing campaign) - Mid scale: Nepal - Large scale: Bangladesh and Kenya	PI <sub>4</sub> Costs for implementation	■ WFP's country office evaluations	■ Established contacts with WFP's operations and purchasing and with governments ■ Necessary insights in the needs and habits of beneficiaries	■ Lack of support by WFP country office ■ Lack of product acceptance by beneficiaries
		PI <sub>5</sub> Number of trainings on common usage of sachets			
		PI <sub>6</sub> Number of women attending per training			
		PI <sub>7</sub> Number of women completing the study			
	<b>Additional research</b>	PI <sub>8</sub> Costs for research on optimising formulation		■ Confidentiality agreements regarding the inter-organisational research activities ■ Clear intellectual property rights	
PI <sub>9</sub> Costs for research on optimising packaging material					
Results	<b>Output</b>				
	<b>New, universal formulation of micronutrient powder</b>	PI <sub>10</sub> Documented standards for sachets (yes/no)	■ Master specification file	■ Acceptance of research results by WFP and research community	
		PI <sub>11</sub> Documented GRAS approval for phytase (yes/no)	■ Research reports		
		PI <sub>12</sub> Documented optimised absorption rate (yes/no)			
		PI <sub>13</sub> Documented verified efficacy for malaria areas (yes/no)			
		PI <sub>14</sub> Documented product acceptance by beneficiaries (yes/no)	■ WFP's country office evaluations		
	<b>Packaging material</b>	PI <sub>15</sub> Documented minimum shelf life of 1 year (yes/no)	■ Master specification file		
PI <sub>16</sub> Documented recyclability (yes/no)					
PI <sub>17</sub> Documented serving alternatives (yes/no)					



Outcome				
<b>Sachets incorporated as a regular constituent into WFP's general food ration</b>	Pl18 Price for sachets max. 0,015 USD/serving/day		<ul style="list-style-type: none"> <li>Acceptance of the product by beneficiaries</li> <li>Cost effectiveness</li> </ul>	
	Pl19 Number of orders of WFP towards DSM			
Impact				
<b>Improved nutritional and health status of beneficiaries</b>	Pl20 Micronutrient status related indicators	<ul style="list-style-type: none"> <li>WFP's country office evaluations</li> </ul>		<ul style="list-style-type: none"> <li>Nutritional status depends on many other factors</li> </ul>
	Pl21 Anthropometry related indicators			
	Pl22 Immune system related indicators			
<b>Business development</b>	Pl23 Total market creation of MixMe (in tons)			
	Pl24 Documented fortification concept for micronutrient and macronutrient deficiencies (MixMe Plus) (yes/no)	<ul style="list-style-type: none"> <li>Master specification file</li> </ul>		

**Table 9: LogFrame 3 – Employee Specialists and Volunteers**

	Logical framework hierarchy	Performance indicators	Means of verification	Assumptions	Risks
<b>Activities</b>	<b>Activities</b>				
	<b>Assignment set-up</b>	PI <sub>1</sub> Costs for need definition process and assignment development		<ul style="list-style-type: none"> <li>Attractive assignment design and organisational support</li> </ul>	<ul style="list-style-type: none"> <li>Applicants do not have appropriate expertise</li> <li>Expectations are not properly managed</li> </ul>
		PI <sub>2</sub> Duration of need definition and assignment development			
		PI <sub>3</sub> Duration of assignment promotion			
	<b>Assignment execution</b>	PI <sub>4</sub> Costs for assignment realisation		<ul style="list-style-type: none"> <li>Employees' skills and competences match the assignment requirements</li> </ul>	<ul style="list-style-type: none"> <li>No financial resources</li> <li>Expectations are not properly managed</li> </ul>
PI <sub>5</sub> Other assignment specific costs					
<b>Results</b>	<b>Output</b>				
	<b>Individual learning and development</b>	PI <sub>6</sub> Total number of assignments	<ul style="list-style-type: none"> <li>Assignment reports</li> <li>Focus group with assignees</li> </ul>	<ul style="list-style-type: none"> <li>Recognition of individual benefits and contribution</li> </ul>	
		PI <sub>7</sub> Quality of assignment content (yes/no)			
		PI <sub>8</sub> Assignees' satisfaction index			
	<b>Knowledge transfer</b>	PI <sub>9</sub> Networking activity and established contacts (yes/no)	<ul style="list-style-type: none"> <li>Focus group with assignees, WFP's and DSM's specialists and coordinators</li> <li>Assignments reports</li> </ul>		<ul style="list-style-type: none"> <li>Resistance to internalise and apply the knowledge</li> </ul>
		PI <sub>10</sub> Assignment objective specific PIs			
		PI <sub>11</sub> Number of developed internal fact sheets and guidelines	<ul style="list-style-type: none"> <li>WFP's information systems</li> </ul>		
<b>Outcome</b>					
<b>Employee engagement</b>	PI <sub>12</sub> Number of applications per assignment			<ul style="list-style-type: none"> <li>Feedback and rewarding</li> </ul>	
<b>Impact</b>					
<b>Employee recruitment and retention</b>	PI <sub>13</sub> WFP recruitment score		<ul style="list-style-type: none"> <li>Question integrated in a survey among first applicants</li> <li>Question integrated in DSM's general engagement survey</li> </ul>		
	PI <sub>14</sub> WFP retention score				

**Table 10: LogFrame 4a – Internal Education and Advocacy**

	Logical framework hierarchy	Performance indicators	Means of verification	Assumptions	Risks
<b>Activities</b>	<b>Activities</b>				
	<b>Internal communication</b>	PI <sub>1</sub> Costs for information provision		■ Secured financial resources	
	<b>Walk the World (WtW)</b>	PI <sub>2</sub> Costs for sponsoring			■ Overload and decreasing motivation to participate
		PI <sub>3</sub> Costs for participation			
	<b>Fill the Cup (FtC)</b>	PI <sub>4</sub> Costs for organisation			■ Overload and decreasing motivation to participate
<b>DSM Global Children’s Art Competition (DGCAC)</b>	PI <sub>5</sub> Costs for organisation			■ Overload and decreasing motivation to participate	
<b>Results</b>	<b>Output</b>				
	<b>Internal awareness of hunger and malnutrition</b>	PI <sub>6</sub> Internal awareness index	■ Internal survey		■ Missing awareness of the importance of individual contributions
		PI <sub>7</sub> Number of ‘friends of WFP’			
		PI <sub>8</sub> Number of clicks on partnership Intranet site			
		PI <sub>9</sub> Number of responses / comments			
		PI <sub>10</sub> Number of clicks on assignees’ blogs			
		PI <sub>11</sub> Number of posted Weblog articles			
PI <sub>12</sub> Number of internal press releases (partnership, WtW and DGCAC)					
<b>Outcome</b>					
<b>Employee engagement</b>	PI <sub>13</sub> Number of participants (WtW, DGCAC)		■ Feedback and rewarding		

Table 11: LogFrame 4b – External Education and Advocacy

	Logical framework hierarchy	Performance indicators	Means of verification	Assumptions	Risks
Activities	<b>Internal and external communication</b>	PI <sub>1</sub> Costs for information provision		<ul style="list-style-type: none"> <li>Secured financial resources</li> </ul>	
	<b>Kids website</b>	PI <sub>2</sub> Costs for website development		<ul style="list-style-type: none"> <li>Secured financial resources</li> <li>Notice of the website by children</li> <li>Ease of use</li> </ul>	
		PI <sub>3</sub> Costs for website implementation			
		PI <sub>4</sub> Cost for website maintenance			
	<b>Kids workshop</b>	PI <sub>5</sub> Costs for workshop development		<ul style="list-style-type: none"> <li>Secured financial resources</li> <li>Notice of the workshop by teaching staff</li> <li>Ease of use</li> </ul>	<ul style="list-style-type: none"> <li>Compatibility with general curriculum</li> </ul>
		PI <sub>6</sub> Costs for workshop implementation			
Results	<b>Output</b>				
	<b>Engagement from DSM employees and their families and friends</b>	PI <sub>7</sub> Number of persons who participated in the trainers-training			
		PI <sub>8</sub> Number of persons who executed a workshop			
	<b>External awareness of hunger and malnutrition</b>	PI <sub>9</sub> Number of executed workshops		<ul style="list-style-type: none"> <li>Surf key websites and check</li> <li>Individual notification and reporting</li> </ul>	<ul style="list-style-type: none"> <li>Missing awareness of the importance of individual contributions</li> </ul>
		PI <sub>10</sub> Number of direct enquiries			
		PI <sub>11</sub> Number of clicks on the kids website			
		PI <sub>12</sub> Number of key websites linking to kids website			
		PI <sub>13</sub> Number of PR moments on partnership - proactive publicity - free publicity			
	<b>Outcome</b>				
	<b>Engagement from the external community</b>	PI <sub>14</sub> Number of workshop participants		<ul style="list-style-type: none"> <li>Individual notification and reporting</li> </ul>	<ul style="list-style-type: none"> <li>Recognition of DSM's efforts and contributions by the external environment</li> <li>Feedback and rewarding</li> </ul>
PI <sub>15</sub> Number of joined kids website activities					
PI <sub>16</sub> Number of follow-up initiatives					
<b>Impact</b>					
<b>Corporate reputation</b>	PI <sub>17</sub> DSM reputation index		<ul style="list-style-type: none"> <li>Survey among suppliers, customers and the external environment</li> <li>Reputation ratings and other sustainability ratings</li> </ul>	<ul style="list-style-type: none"> <li>Partnership operations are consistent with the principles and values of the single partnering organisations</li> </ul>	<ul style="list-style-type: none"> <li>DSM's efforts are only associated with business development</li> </ul>
	PI <sub>18</sub> Secondary data reputation index				
	PI <sub>19</sub> Number of awards				

Table 12: LogFrame 5 – Fund Raising

	Logical framework hierarchy	Performance indicators	Means of verification	Assumptions	Risks
Activities	<b>Individual fund raising initiatives</b>	PI <sub>1</sub> Number of participants in individual fund raising initiatives	■ Individual notification and reporting	■ Inventiveness	■ Non-compliance with WFP policies ■ Overload and decreasing motivation to participate
	<b>Walk the World (WtW)</b>	PI <sub>2</sub> Amount of funds raised during WtW			■ Overload and decreasing motivation to participate
	<b>Fill the Cup (FtC)</b>	PI <sub>3</sub> Amount of funds raised during FtC			■ Overload and decreasing motivation to participate
	<b>Output</b>				
Results	<b>Locally raised funds</b> - By employees - By corporate / business units	PI <sub>4</sub> Amount of funds raised by employees			
		PI <sub>5</sub> Amount of monetary donations			

### 3.7 Application of the Developed Logical Frameworks

As said earlier, it was strived to develop complete LogFrames that serve the informational needs of the partnership coordinator. However, the LogFrames will not be applied in their whole detail. First of all, this has to do with the point of time. The partnership is still in its infancy, i.e. some of the projects are in process, and others have not even started. Consequently, many data is not yet available. Next to this, the application of the evaluation frameworks is limited by the availability of resources, basically time and money. Restricted by a Master thesis' time boundaries, it would have been impossible for the author to apply the LogFrames in their full range. However, also DSM employees that are involved in the partnership have limited time since the partnership is not officially institutionalised, and most employees handle partnership operations aside their regular workload. In this sense, it was necessary to downsize the application of the LogFrames.

In a partnership steering committee meeting, it was agreed which objectives are crucial to the partnership's overall success, and the following strategic clusters were identified:

- (1) *awareness on hunger and malnutrition and awareness on the benefits of micronutrient fortification*
- (2) *acceptance of developed products and adoption of those products by different governments*
- (3) *employee engagement and fund raising*
- (4) *corporate reputation and business development.*

Focusing on these strategic objectives, it was discussed which performance indicators must be regarded as key as they reflect best the progress and achievement of objectives. However, this selection of key performance indicators suffers from limitations, namely a trade-off between ideal and feasible. Since awareness on hunger and malnutrition and corporate reputation are multi-dimensional constructs, their dimensions can best be operationalised in a survey. However, there exist restrictions regarding the permission for surveys. Consequently, the ideal awareness and reputation indices had to be replaced by indicators with a smaller exploratory power. The finally selected key performance indicators are marked within the single LogFrames by green shades. The data that was collected around the different (key) performance indicators is documented in Appendix 5. As described, the partnership is still in the middle of its course, and the selected key performance indicators will initially be applied as a monitoring instruction. Certainly, the steering committee is aware that for both monitoring and evaluation the setting of targets is crucial. However, even for the limited number of indicators, the steering committee did not yet succeed to specify targets values.

## **4 ANALYTICAL PART**

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This chapter starts with a conclusion upon the general design of the DSM-WFP partnership. Next, it will be concluded on the performance within the single partnership projects by referring to the general evaluation criteria. Finally, it will be concluded upon the development and application of the LogFrames.

### **4.1 Conclusions upon the General Design of the DSM-WFP Partnership**

Referring back to the chapter on strategic partnerships, taking a closer look on drivers and enablers can help to assess the initial strength as well as the potential effectiveness of a partnership (see Appendix 2 for a detailed overview of partnership evolution stages and the associated drivers and enablers).

As shown in the single partnering organisation's profiles, there exists a noteworthy overlap in missions and values. Consequently, DSM's and WFP's individual missions, strategies and values could be easily translated into a shared vision. Furthermore, both organisations see their relationship as a tactical tool to fulfil a shared mission, while simultaneously contributing to their individual missions. Joint value generation (in the interpretation of CSR) has top management's attention and is forced by core competency transfer on operational level. However, implemented projects are still of limited scope and risk. In general, DSM responds to the specific request from WFP, and resources are not equally exchanged. During the first year of the partnership, personal connections on leadership level were established, and both parties show an increased understanding for and trust towards each other. Even throughout the organisations, personal relationships emerged, especially between the nutrition and communication specialists. Those evolving personal connections stimulate continual learning. Both organisations actively try to gather insights in each other's processes. Overall, the inter-organisational learning still has to be classified as informal since experiences and expertise are mainly shared between specific persons. However, the recently published internal facts sheets ("Ten minutes to learn about..") proof that up-to-date knowledge is also extensively distributed throughout the organisations. Summarising all the different aspects of partnership drivers, it can be said that the DSM-WFP has a strong constitutional basis.

To foreclose, also the disposition of enablers promises a high degree of effectiveness. Top management has been actively involved during the start-up phase and still periodically shows its engagement by, for example, visiting the different key countries. DSM and WFP explicitly committed themselves to the partnership and aligned their communication strategy towards the external environment. Already from the beginning on, many people were involved and had responsibilities for specific collaboration activities. Even if there are performance expectations for those specific collaboration activities, these are not documented in detail. I.e. also the question of accountability must be regarded as being more implicit than explicit.

Summarising, it can be said that, from the beginning on, the DSM-WFP partnership was more than a pure philanthropic collaboration. The partnership has the potential to grow to a more integrative and

sustainable collaboration, where even higher synergies (and a higher mutual added value respectively) can be realised (Huxham 1996). Shaping the partnership drivers and putting some more effort on enablers will lead to a very beneficial institution. Founded by the given partnering mindset, WFP could empower DSM to identify and develop projects more autonomously. However, this strategy would require a more systematic approach in inter-organisational learning.

Taking a closer look at the overall design of the partnership, it can be seen that the different key stakeholders' interests are addressed in a balanced way. Overall, DSM and WFP followed a participatory approach during the set-up of the partnership, in which WFP acted on their own more operation oriented interests but especially represented the beneficiaries' interests. In general, a participatory approach leads to a higher acceptance and identification, and partnership success respectively (GTZ 1998). Another characteristic of the partnership's overall design is that the single projects complement and reinforce each other. This complementation and reinforcement does not only exist within one initiative (e.g. internal awareness and involvement increase external awareness and involvement). There also exists a dynamic between the two different initiatives. For example, knowledge transfer, as an operational goal of initiative II, is positively related with product development activities of initiative I. Even on the highest level, the impact level, such a reinforcement is reasonable (i.e. an increase in DSM's reputation will positively affect DSM's business development). Overall, it is reasonable to assume that the partnership will create multiple win-win situations.

## **4.2 Conclusions upon the Performance of the Single DSM-WFP Partnership Projects**

In the following, the partnership projects will be put in the light of the general criteria of performance evaluation. I.e. each project will be evaluated upon its efficiency, its effectiveness, its relevance, its impact and its sustainability. The assessment of these single dimensions will be guided by the questions from page 17. Introductory, it is to remark that efficiency assessment is limited due to missing transparency. Unfortunately, the documentation around the partnership does not reveal the activities' single inputs. While the monetary expenses are recorded as part of the financial reporting, nothing is known about the quantity, quality and timeliness of inputs. However, in case that efficiency related facts (such as quantity and quality concerns or time delays) are known, these will be taken into account. Furthermore, it is to remark that, based on the point of time, especially the assessment of impact and sustainability can only be hypothetical.

### **4.2.1 Project 1 – Benefits of Micronutrients**

Overall, this project is the umbrella for the other two ongoing, more product development oriented projects of initiative I "nutrition enhancement". It furthermore offers the basis for future projects that focus on how the portfolio of fortification means can further be optimised and complemented. Consequently, this project has a much longer time horizon than the other initiative I projects, and in the



middle of the course, it can only be assumed how efficient, effective, relevant, impacting and sustainable the project will be.

The **efficiency** of the project's initial activities cannot be analysed in its full spectrum. As detailed data on resources spent is not available, it is not possible to build any efficiency ratio (e.g. working hours per published paper). However, a high productivity can be assumed since DSM and WFP already entered with the same mindset on fortification and personal relationships have been quickly established. The mutual consent has sped up the development of a joint position, and DSM and WFP could expeditiously start their external communication and engagement activities. The fact that DSM and WFP combine their established networks and their existing communication channels also speaks for an efficient approach in stakeholder engagement. Unfortunately, not even the activity related monetary expenditures could be retrieved from the financial reporting. This makes it impossible to relate activities with outputs to finally judge if the realised output justifies the costs incurred. Still, activities can be linked to output level to assess effectiveness. However, effectiveness focuses not only on the extent to which outputs are achieved; but also asks if the project is likely to contribute to the stated outcomes.

Overall, the external communication activities can be regarded as **effective**. As stated earlier, communication is fed by research results. In 2009, the first results on efficiency and acceptance will be available, and DSM and WFP will pro-actively advocate the need for fortification on two leading conferences. Already the announcement of the DSM-WFP partnership at the BioVision life sciences conference in 2007 was actively picked up by the media (e.g. by NutraIngredients or by People's Daily) and has created plenty of awareness on the need for fortification. Key stakeholders were quickly engaged and showed publicly their commitment. In a joint statement, WFP, WHO and UNICEF explained how important it is to prevent and control micronutrient deficiencies, especially in populations affected by an emergency. From DSM side, there existed close contacts with the Global Alliance for Improved Nutrition (GAIN), whose mission is to reduce malnutrition through fortification. GAIN's core competence is to facilitate partnerships between the public and private sector to finally enable innovations in fortification. McCain, for example, will execute research on the feasibility and stability of potato flake fortification and next run an efficacy trial to show the impact on beneficiaries' micronutrient status and cognition. Summarising, it can be said that there is a solid basis to create awareness and to successfully stimulate the development of fortification guidelines and the further adoption of more comprehensive and effective fortification programmes (e.g. NutriRice®).

Up until now, the course of the project did not change, and objectives are still regarded to be of high **relevance**. The responsiveness of stakeholders shows that fortification is generally on the top of the agenda. DSM and WFP will continue their awareness and engagement strategy that is primarily aligned to meet beneficiaries' needs. The importance of the project is furthermore high, as this project also functions as an enabler for future product development. In this sense, this project's success will have a high **impact** with respect to a broader application of fortification.

#### 4.2.2 Project 2a – Corn-Soya Blend

Also this partnership project has been successfully implemented. As the problem was clearly defined, DSM could execute targeted research and quickly presented a proposal on how to improve the composition of the CSB and the production process. Existent research expertise and the quick results indicate a high **efficiency**. As the proposal fulfils the specifications of the three basic stakeholders (WFP, UNICEF and USAID), it is generally accepted. I.e. activities were **effective** and reached consensus on the improved CSB. However, the ideal premix to be added to CSB would exceed the maximally allowed cost increase. DSM therefore suggested reducing the amount of vitamin C, as a main cost driver, and having it supplied in another way. Overall, the **relevance** of the project is still high with respect to beneficiaries' needs and with respect to donor's and manufacturer's priorities. Piloting a tailored CSB with additional milk powder is in line with the necessity to further adapt the CSB and align it more to the specific needs of single target groups. However, the fact that a large amount of CSB is donated by different organisations and that manufacturers will have to adapt their production processes makes conclusions about the final **impact** and its **sustainability** impossible. The WFP is strongly dependent on those donors and manufacturers, and it will be difficult to make the new quality standards obligatory. It is considered that Kemin Industries Inc., as a new WFP partner, will be involved in identifying which next steps needs to be taken to further optimise the production practices.

#### 4.2.3 Project 2b – Micronutrient Sachets for Home Fortification

As described, this project bases on pilot studies and on further research in an inter-organisational setting. I.e. many factors influence the **efficiency** of the initials activities. Overall, the pilot studies were implemented as planned. However, the GRAS approval process for phytase, as an active ingredient in the new formulation, lasts longer than expected. As different packaging materials are already applied during the pilots, the gained insights will **effectively** shape the optimisation of the packaging material. Three manufacturers (including DSM) already guaranteed to be able to deliver the sachets cost effectively. However, worldwide the production capacity is limited. Still, it is very likely that the WFP will incorporate the sachets into the regular food basket.

Overall, the prices for vitamins and minerals, as the constituent ingredients of the sachets, are much more stable than the prices for food. I.e. the sachets have a high potential to compensate the shortages in food supply which the WFP faces. In this sense, the project is regarded to be of high **relevance**. Furthermore, the sachets are easy to use and can be implemented independent from a countries' preferred staple foods. In sum, this will leverage the application of the sachets towards a global scale so that finally the expected **impacts** will be realised. The improved nutrition and health status of the beneficiaries again will have a **sustainable** effect on their individual development and the development of the society as a whole. However, if the effects on DSM's business development will be sustainable depends on how well the company position itself and succeeds in introducing other innovative solutions.

#### 4.2.4 Project 3 – Employee Specialists and Volunteers

Assessing the **efficiency** of the assignment set-up process is not possible as it is not known how much time and money was spend on developing and promoting the single assignments. Efficiencies can only be assumed since DSM becomes more routine in identifying WFP's needs, in submitting an assignment and in formulating the job postings. Capturing the process' overall monetary value was limited. As travel and lodging expenses are reported as a sum, they cannot be assigned to the single projects. It was assumed that most of the expenses occurred in the context of the assignment set-up. However, parts of the sum were actually spent on another projects' communication activities (i.e. representing the partnership within DSM). Assessing the efficiency of the assignment execution is difficult even when time and costs are reported per assignment. The assignments are generally too different to be simply compared on time and cost basis. It can only be assumed that the assignees organised their stay economically as they had to raise the money by themselves or were accountable towards a sponsor.

Without any further measurement, also the project's **effectiveness** can only be assumed. Assignees intensively share their experiences within DSM. By this story telling, they indirectly promote the assignment as a valuable learning and development opportunity. Lessons learned are documented in assignment reports. However, back at home, assignees are still very actively involved in transferring the gathered knowledge into a follow-up scenario.

Due to the multidirectional character of the assignments, all three key stakeholders (i.e. DSM, WFP and population of intervention country) could be considered to conclude upon the project's relevance, impact and sustainability. However, the project's higher level goals specifically refer to DSM's individual interests. Personal development, knowledge transfer and employee engagement, retention and recruitment are still of high **relevance**. If the project will have a significant **impact** on engagement, retention and recruitment is questionable since these dimensions are basically shaped by many other factors of higher importance (e.g. work-life balance and salary). However, the project's impact potential increases with the overall number of assignments. Having successfully implemented and evaluated the first assignments, WFP assumingly accepts DSM taking a more proactive role in submitting assignment concepts. Currently, it is examined if and how the developed educational material can be used in different countries. I.e. facilitating the implementation of educational material can even become a continuous engagement opportunity for DSM employees. Offering more of those continuous, not too specialised engagement opportunities will make the effects on engagement, retention and recruitment more **sustainable**.

#### 4.2.5 Project 4a – Internal Education and Advocacy

During the design and implementation of this project's communication and participation activities, DSM made use of many external services. The corresponding expenditures were documented in detail, and costs could be clearly assigned to the single initial activities (communication, Walk the World, Fill the Cup and DSM Global Children's Art Competition). Promotion material was partly ordered in great quantities and will be (re)used in the follow-ups of the activities (e.g. brochures, posters, red cups etc.). Due to the great quantity, price advantages can be assumed. Still, to show the activities' costs per year, the expenditures on promotion material will have to be distributed as soon as it is known for how many periods they were exactly used. **Efficiency** of the organisational workflow (e.g. updating content of the partnership intranet site, distributing promotion material to different DSM locations) can be assumed since those activities are part of the communication department's core competencies.

Limited comparability makes it difficult to assess the **effectiveness** of the project. However, using different media for the internal communication promises to be effective in creating awareness among the DSM community. Assignees' Weblogs were actively promoted, but the community's interest generally decreased over time. Overall, the awareness creation potential of a Weblog depends on the assignees' individual story telling capabilities and on the assignees' individual social network. Right from the start, DSM considered story telling capabilities as a relevant criterion for assignee selection. The idea of social networks and community building will now also be actively picked up. Establishing an online platform with different technical features for interaction offers the opportunity to integrate and connect the single ambassadors', and will thereby make internal communication more efficient and effective.

How effectively the initial project activities contributed to employee engagement can especially be seen for the Netherlands. Certainly, the hired event management team made the 'Walk the World' in Rotterdam a big success. It is now up to the corporate communication department to share the lessons learned with respect to the overall organisation (e.g. establish early an inter-organisational event team with TNT and Unilever, jointly design and produce the promotion material, approach the national media) and with respect to the internal promotion (e.g. internal announcement by video message, invitation letter to employees, organise gimmicks and transport, promote activity with a final countdown). Analogously, planning, implementation and reporting guidelines should be formulated for Fill the Cup and for the Children's Art Competition.

#### **4.2.6 Project 4b – External Education and Advocacy**

DSM is currently busy with developing an external communication strategy. Also the design of the kids workshop and the kids website are not yet completed. Consequently, it cannot be concluded upon the performance of this project.

#### **4.2.7 Project 5 – Fund Raising**

As stated, this project's initial activities are driven by employees, and DSM will not be notified about all the activities. Detailed data on the single fund raising initiatives is not available, and efficiency and effectiveness cannot be judged. The effectiveness of a fund raising initiative can only be assumed on basis of the amount of money that is transferred.

### **4.3 Conclusions upon the Development and Application of the LogFrames**

In the following, it will be evaluated upon this thesis' research approach, i.e. the process of developing and applying the LogFrames.

#### **State of data:**

Partnership initiative I was described in detail. Assumingly, more attention and effort was put here as more stakeholders are involved and activities needed strict coordination from the beginning on. The project definition contained (1) a problem and goal statement, (2) joint objectives as well as DSM or WFP specific objectives, (3) the scope and strategy, (4) the initiative's targets/benefits, (5) a list of milestones (including owner, start and end date) and (6) overall recognised risks and mitigations. Even the initiative's single sub-projects were defined in the same style. Furthermore, there existed work plans for the sub-projects (including owner, activity, start, output, end, done).

Partnership initiative II was not described in such a detail. The initiative's overall goals and strategies were well explained, and the assignment activity was clearly defined. However, further definitions of sub-projects or work plans did not exist.

Additional to the initial definitions of the partnership initiatives, there existed project progress reports by which the owners of initiative I and II as well as communication and finance regularly report on the main achievements of this period, upcoming actions and further concerns and risks.

#### **Development of the vertical logic:**

As partnership initiative I was described in detail, the existing internal project planning could be easily adapted to the LogFrames' vertical logic by assigning the single project's milestones to activity and result levels. Some milestones were merged with others into one activity or into one result to finally serve the overview character of the LogFrame. On the other hand, new milestones (such as the pilot study with tailored CSB) and more impact related considerations (such as business development and

corporate reputation) were added to finally depict a more complete result chain. Whereas risks were stated in the internal project planning, assumptions had to be fully developed.

As partnership initiative II was not fully planned, conceptual linkages between activities and desired results were not that obvious. Overall, planned activities and results were very generally stated and had to be refined and restructured into single projects. As part of the refining, new activities such as the Fill the Cup activity could be included. As part of the restructuring, new developments such as the external education and advocacy could be added. Assumptions and risks had to be fully developed.

In sum, developing the LogFrames for partnership initiative I was more of a simplifying and visualising character, whereas developing the LogFrames for partnership initiative II was more of a project planning character.

#### **Development of the horizontal logic:**

During the planning of the DSM-WFP partnership, monitoring and evaluation were not addressed. Consequently, all indicators had to be developed. Due to the specificity of objectives, references for suitable indicators could hardly be found in the literature. Overall, the LogFrame provided the freedom to include all kind of process and result oriented indicators (e.g. number of internal press releases vs internal awareness index) by which finally the specific informational needs of the programme manager could be served.

#### **Participation and objectivity:**

Monitoring and evaluation systems should ideally be developed in a multidisciplinary team. Independent from the fact that the LogFrame was designed to especially serve the informational needs of the partnership coordinator, such a participatory approach would have been beneficial. On the one hand, the input from project owners and other involved stakeholders and experts makes the LogFrame more objective and valid. On the other hand, it primes the involved persons that monitoring and evaluation has to be put into practice. Aiming at participation, but being aware that the project owners are limited in time, the project owners were approached with a first draft version of the LogFrame and the request to recheck and complete the vertical and horizontal logic of the LogFrame. However, especially project owners of partnership initiative II did not participate so that the attempt to gain more objectivity failed. They stated that filling in the LogFrame looks more like an academic exercise. They furthermore stated that the partnership coordinator never officially asked them to contribute to the development of the LogFrame and argued that if contribution is desired, the corporate would have to make resources available for this as they are very limited in their time. Overall, the project owners' reaction allows many hypotheses, such as they had a different opinion about the potential benefits of the LogFrame, and/or business divisions generally refuse requests from corporate to avoid workload, and/or personal discrepancies with respect to the overall course or specific objectives, and/or people avoid monitoring and evaluation as they will be forced to specify targets for which they are later accountable. In sum, this shows that developing and implementing a monitoring and evaluation system will always be

challenging. However, designing the system afterwards and not officially picking it up as a participatory approach make it even more difficult.

**Ex post development and application:**

Ideally, performance measurement is already addressed in the design phase of an operation, i.e. simultaneously with the planning of objectives and activities. However, in practice, monitoring and evaluation plans are often developed after implementation has started. On the one hand, the already gathered experiences will add to developing a sound monitoring and evaluation plan. On the other hand, it will be difficult to assure that the necessary data will be available. Both the positive and the negative effect were experienced during this research. I.e. developing the LogFrame during implementation enabled to refine and update objectives and actions and their associated assumptions and risks. However, required data was not available; especially on activity level as the internal documentation and reporting practices based on the two partnership initiatives and were not in line with the differentiations made in the LogFrames.

**Monitoring vs evaluation:**

During this research, much more attention was spent on the vertical logic than on the horizontal logic. This was also reasonable as evaluation (in contrast to monitoring) requires the explicit consideration of an operation's broader setting. In other words, especially the first and the last column of the LogFrame are guiding to conclude upon an operation's effectiveness, relevance, impact and sustainability. However, the partnership coordinator was actually more interested in how to measure the single objectives than in evaluating on the strength and consistency of the operational design; and more effort should have been spent to assure the appropriateness of the indicators, especially with respect to being realistic and being timely. This discrepancy was assumingly induced by a different understanding on the terms 'evaluation' and 'monitoring'. This shows how important it is to initially reach consent on the definition of concepts, to clearly determine the purpose of the evaluation system and to better assess informational needs.

**Benefits of the LogFrames:**

Evaluating the performance of the partnership on basis of the collected data had basically the character of a review. As targets were not formulated and other internal or external benchmarks were not directly suitable due to the specificity of the partnership operations, progress and achievements could hardly be judged. I.e. performance evaluation was more a comprehensive review on basis of the LogFrames' vertical logic by which the strength and consistency of the operational design could be verified. However, as performance evaluation on basis of the LogFrame can generally not reveal the value of a chosen design and approach against alternatives, the selection of the single projects cannot be judged.

Due to the review character of the executed evaluation, the partnership coordinator doubted the practicability of the Logical Framework as a performance evaluation tool. The partnership coordinator explained that the developed LogFrames supported him in identifying key objectives and key performance indicators, but that he will never apply the developed LogFrames as a whole. He criticised that the effort to collect data around the suggested performance indicators is disproportionate to the yielded insights; in some cases, the costs for data collection might even exceed the costs for failing in one objective (e.g. executing a survey to measure employee recruitment and retention).

**Assuring understanding, acceptance and participation at the beginning:**

Considering all challenges and limitations, it becomes apparent that the research was not properly embedded. Three questions that need to be answered at the outset of an evaluation design have been neglected: (1) what is the context of the evaluation, (2) what is the purpose of the evaluation and (3) what is the scope of the evaluation (UNEG 2005). Putting more attention on those essential questions would have been a chance to clearly communicate the potential benefits of the LogFrame, to initiate a participatory approach and to jointly agree on the focus and on the degree of detail of the LogFrames.



## 5 **RECOMMENDATIONS**

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Indirectly, recommendations have already been given when developing the LogFrames. Completing the frames with respect to assumptions, risks and mitigations indicated already where special attention is needed.

With respect to communicating the benefits of micronutrients, it was assumed that there exists consent on the target group specification. However, those specifications will have to be refined in the sense of a further differentiation in gender, age, food (in)security, beneficiaries' preferred staple foods and eating habits. Such a refining can be more actively picked up in a collaborative development of fortification guidelines, for which ideally a separate platform should be implemented. However, especially such collaborative activities are labour-intensive, and the currently ongoing alignment of DSM's and WFP's internal communication is already experienced as under-staffed.

With respect to incorporating the micronutrient sachets into the WFP food basket, DSM's business development potential is limited as the company is dependent on the production capacities of its external business partners. I.e. DSM has to cultivate its network with suppliers and contractors to finally gain a key role in coordinating this business. In the context of building corporate reputation, it was considered that DSM's efforts are solely associated with business development. As already stated, DSM should therefore assure full transparency and accountability by regularly publishing objective reports on all the different achievements. However, this means that DSM has to assure a higher budget for communication as from now on additionally also the external communication has to be developed and advanced (e.g. compiling reports, promoting the kids workshop and the kids website). However, internal communication has to continue as the yearly events have to be globally coordinated and facilitated. Guidelines can help to establish the different activities throughout all locations as successfully.

During the last year, DSM successfully coordinated the execution of 17 assignments. Also all research activities (e.g. CSB, universal MNP formulation and packaging material) were properly managed. I.e. DSM has gained many insights on and developed sensitivity for 'the need of the neediest' to now start more proactively uncovering solutions. DSM should therefore continue to stimulate the assignees to tell their story, as this again induces networking and research on potential new products within the broader DSM community. However, if DSM decides to approach the WFP more actively, this requires an internal strategy and coordination to be in control which kind and number of assignments are submitted to the WFP.

More visioning is also recommended with respect to fundraising, as it is a potential engagement opportunity for everybody with a high effect on awareness. The by DSM-Next developed workshop concept "organise your own WFP event" is an effective tool in further advancing employee engagement and awareness. The employees' efforts and achievements could be promoted via the WFP-community platform which DSM is currently conceptualising

Some final recommendations refer to planning, implementation, monitoring and evaluation. With more and more activities (e.g. assignments, awareness events, internal product development and inter-organisational research partnerships) coming up, DSM should strive for more standardisation and alignment. Actually, the applied standard for project planning (i.e. project definition) contains already all central elements (objectives, strategies, milestones, dates, owners, risks and mitigation). The template even guides by one short phrase what should be filled in the single sections. However, some further guiding questions could be added to motivate the planners to better specify objectives, to discuss these more specifically in their context, to develop concrete working plans for the activities and to more intensively address monitoring and evaluation from the beginning on. Having demarcated all planned operations in such a detail can then be basis to fully align the internal documentation and reporting system. This would be conform to the idea of a monitoring and evaluation plan, where it is not only stated what is measured and how, but also when, by whom, who evaluates on it, and what is done with it.

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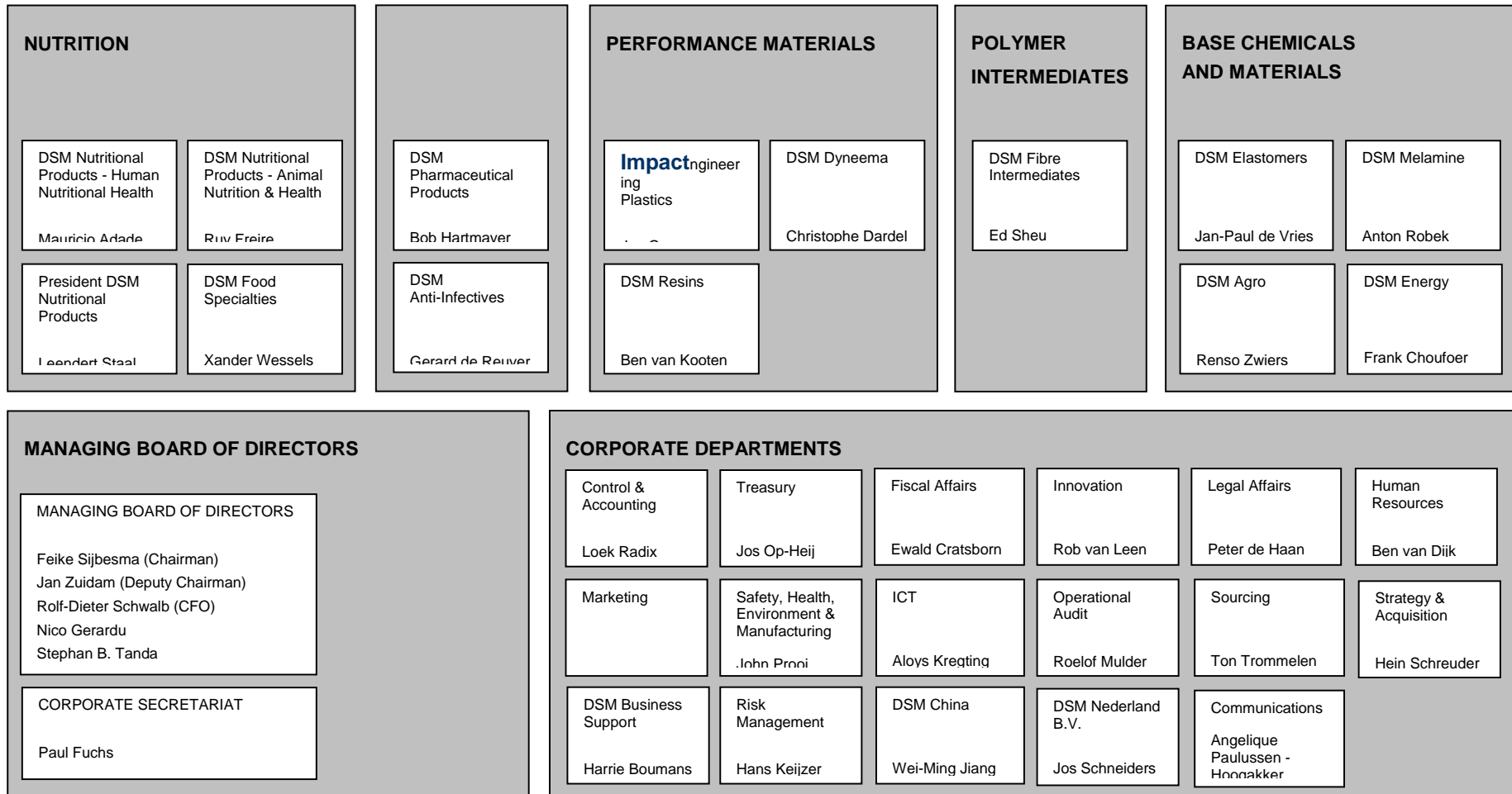
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Appendix 1: Collaboration Continuum – Drivers and Enablers (Austin 2000)

		PHILANTHROPIC	TRANSACTIONAL	INTEGRATIVE
DRIVERS	<i>Alignment of strategy, mission, and values</i>	Minimal fit required, beyond a shared interest in a particular issue area Gratefulness and charity orientation	Overlap in mission and values Partnering mindset Relationship as tactical tool	High mission mesh Share values Relationship as strategic tool
	<i>Personal connection and relationships</i>	Minimal personal connection to case or people	Strong personal connection at leadership level Expanded personal relationships throughout the organization Increased understanding and trust	Expanded opportunities for direct employee involvement in relationship Deep personal relationships and trust across organization <i>We</i> mentality replaces <i>us versus them</i>
	<i>Value generation and shared visioning</i>	Generic resource transfer Typically unequal exchange of resources Minimal collaboration in defining activities Corporations respond to specific requests from non-profits	Core competency transfer More equal exchange of resources Share visioning at top of organization Projects of limited scope and risk	Joint value creation Value renewal Culture of each organization influenced by the other Projects identified and developed at all levels within the organization, with leadership support Broader scope of activities of strategic significance
	<i>Continual learning</i>	Minimal or informal learning	More active learning about process and substance	Systematic learning and innovation Discovery ethic
ENABLERS	<i>Focused attention</i>	Little top leadership attention	Top management engaged at start-up and periodically	Significant and ongoing attention from top management
	<i>Communication</i>	Generally annually around grant process	More frequent communication between partners and externally	Explicit internal and external communication strategies and processes
	<i>Organizational systems</i>	Corporate contact usually in community affairs or foundations; non-profit contact usually in development	More people involved with responsibilities for specific collaboration activities	Partner relationship managers Organizational integration in execution, including shared resources
	<i>Mutual expectations and accountability</i>	Use for stated purpose but minimal other performance expectations	Explicit performance expectations for targeted collaboration activities	High performance expectations and accountability for results Incentives for collaboration

**Appendix 2: Organisational Chart (DSM 2008b)**



**Appendix 3: Linking the Result Chain to WFP Evaluation Standards and Criteria (WFP 2008c)**

RESULT LEVEL	INFORMATION REQUIRED	EVALUATION CRITERIA
<b>Impact</b>	<p><b>Contribution of the operation to wider and long-term objectives</b></p> <p>What have been the long-term changes to the lives of the beneficiaries; can these changes be attributed to the operation or programme?</p> <p><b>Have impact indicator targets been achieved/ are they likely to be achieved?</b></p>	<p><b>Impact</b> – progress towards achievement of long-term objectives.</p> <p><i>'Making a difference in the long-run.'</i></p>
<b>Outcome</b>	<p><b>Actual achievement of outcome targets compared to the plan.</b></p> <p>Where targets achieved – who benefited and how? If targets were not achieved, was this due to poor performance, poorly specified indicators, or problems with operation design; what are beneficiary perceptions of the operation – how do they perceive their lives to have changed?</p> <p><b>Have outcome indicator targets been achieved/ are they likely to be achieved?</b></p> <p><b>Realisation of assumptions</b></p> <p>How did factors outside management control affect achievement of the outcome; did operation design adequately take these into account? Have assumptions been monitored and if so, has this resulted in a change of strategy when indicated?</p>	<p><b>Relevance</b> – addressing the right problems with the right approach as well as WFP's core mandate responsibilities and national policies.</p> <p><i>'Meeting the real needs of beneficiaries.'</i></p> <p><b>Outcomes</b> – extend to which outputs have resulted in the achievement of the outcome or component outcomes.</p> <p><b>Effectiveness</b> – extend to which an operation has attained its objectives.</p> <p><b>Coverage &amp; Targeting</b> – have targets been met and the right people benefited at the right time?</p> <p><i>'Meeting the right needs.'</i></p> <p><b>Sustainability</b> – prospects for self-reliance and continued utilization of services after WFP assisted operations have been completed</p> <p><i>'Continuation without outside help.'</i></p> <p><b>Connectedness</b> – whether the emergency or recovery operation in responding to acute and immediate needs, was taking longer-term needs and problems into account.</p>
<b>Outputs</b>	<p><b>Actual achievement of output targets compared to the plan.</b></p> <p>Who received food aid and other services; were targets met; could performance have been better achieved through a different approach?</p> <p><b>Have output indicator targets been achieved/ are they likely to be achieved?</b></p> <p><b>Realisation of assumptions</b></p> <p>How did factors outside management control affect achievement of the outputs; did operation design adequately take these into account?</p>	<p><b>Effectiveness and efficiency</b> – testing the quality, quantity and timeliness of outputs and the cost-efficiency with which they were delivered.</p> <p><i>'Doing the right things and doing them well.'</i></p> <p><b>Timeliness</b> – testing the timeliness of outputs.</p> <p><b>Sustainability</b> – prospects for continued delivery of services after WFP assisted operations have been completed.</p> <p><i>'Continuation without outside help.'</i></p>
<b>Activities</b>	<p><b>Actual start-up &amp; completion compared to the plan.</b></p> <p>Beneficiary selection criteria and processes. Was food aid delivered effectively by WFP and its partners; did the organizational arrangements work; were there any delays or time-savings; what effect did any deviations have on the operation?</p> <p><b>Realisation of assumptions</b></p> <p>How did factors outside management control affect completion of activities; did operation design adequately take these into account?</p>	<p><b>Efficiency</b> – achievement of an optimum relationship between cost, quality and time.</p> <p><i>'Doing the right things and doing them well.'</i></p> <p><b>Timeliness</b> – timeliness of activities and processes.</p> <p><b>Coordination &amp; Partnership</b> – taking a joint approach to problem solving and delivery.</p> <p><i>'Working well together.'</i></p> <p><b>Sustainability</b> – prospects for continuation of activities after completion.</p> <p><i>'Continuation without outside help.'</i></p>
<b>Inputs</b>	<p><b>Actual input quantities compared to budget.</b></p> <p>Where resources provided and utilised according to plan, were inputs provided at least cost and to the desired standards of quality and quantity; if not, how did this affect the operation?</p>	<p><b>Adequacy</b> – having adequate and timely inputs to carry out activities.</p> <p><i>'Securing support and being prepared.'</i></p>

## **Appendix 4: Guidance Note on how to Do Stakeholder Analysis of Aid Projects and Programmes (ODA 1995)**

### **CHECKLIST FOR IDENTIFYING STAKEHOLDERS**

- have all primary and secondary stakeholders been listed?
- have all potential supporters and opponents of the project been identified?
- has gender analysis been used to identify different types of female stakeholders (at both primary and secondary levels)?
- have primary stakeholders been divided into user/occupational groups, or income groups?
- have the interests of vulnerable groups (especially the poor) been identified?
- are there any new primary or secondary stakeholders that are likely to emerge as a result of the project?

### **CHECKLIST FOR DRAWING OUT INTERESTS**

Interests of all types of stakeholders may be difficult to define, especially if they are "hidden", or in contradiction with the openly stated aims of the organisations or groups involved. A rule of thumb is to relate each stakeholder to either the problems which the project is seeking to address (if at an early stage of the project), or the established objectives of the project (if the project is already under way). Interests may be drawn out by asking

- what are the stakeholder's expectations of the project?
- what benefits are there likely to be for the stakeholders?
- what resources will the stakeholder wish to commit (or avoid committing) to the project?
- what other interests does the stakeholder have which may conflict with the project?
- how does the stakeholder regard others in the list?

Information on secondary stakeholders should be available from institutional appraisals; information on primary stakeholders should be available from social analyses. Especially in the case of primary stakeholders, many of the interests will have to be defined by the persons with the best "on-the-ground" experience. Double check the interests being ascribed to primary groups, to confirm that they are plausible.



**VARIABLES AFFECTING STAKEHOLDERS' RELATIVE POWER AND INFLUENCE**

<b>Within and between formal organisations</b>	<b>For informal interest groups and primary stakeholders</b>
Legal hierarchy (command and control, budget holders)	Social, economic and political status
Authority of leadership (formal and informal, charisma, political, familial or cadre connections)	Degree of organisation, consensus and leadership in the group
Control of strategic resources for the project (e.g. suppliers of hardware or other inputs)	Degree of control of strategic resources significant for the project
Possession of specialist knowledge (e.g. engineering staff)	Informal influence through links with other stakeholders
Negotiating position (strength in relation to other stakeholders in the project)	Informal influence through links with other stakeholders

**CHECKLIST FOR ASSESSING WHICH STAKEHOLDERS ARE IMPORTANT FOR PROJECT SUCCESS**

When assessing importance to project success, use these "checklist" questions, the answers to which may already be suggested by the information existing in stakeholder tables:

- which problems, affecting which stakeholders, does the project seek to address or alleviate?
- for which stakeholders does the project place a priority on meeting their needs, interests and expectations?
- which stakeholder interests converge most closely with policy and project objectives?

**CHECKLIST FOR DRAWING OUT ASSUMPTIONS ABOUT (AND RISKS DERIVING FROM) STAKEHOLDERS**

- what is the role or response of the key stakeholder that must be assumed if the project is to be successful?
- are these roles plausible and realistic?
- are there negative responses which can be expected, given the interests of the stakeholder?
- if such responses occur what impact would they have on the project?
- how probable are these negative responses, and are they major risks?
- in summary, which plausible assumptions about stakeholders support or threaten the project?

*Due to confidentiality, appendix 5 has been left out.*