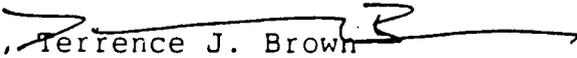


Agency for International Development

Washington, D.C. 20523

MEMORANDUM

TO: LAC Mission Directors

FROM: LAC/DR, Terrence J. Brown 

SUBJECT: Guidance for Preparing Semi-Annual Reports

INTRODUCTION

In STATE 086114 dated March 17, 1990, we recently informed you that the LAC Bureau has revised the guidance for the preparation of the Semi-Annual Reports. This memorandum contains detailed guidance for preparing the Semi-Annual Report (SAR) and a revised schedule for report submission to AID/W. Revisions to previous guidance are designed to: a) provide a more uniform reporting format, especially regarding financial data, in order to facilitate Bureau-wide comparisons; b) reduce the length of the individual project reports; and, c) ensure adequate emphasis on gauging project impact.

In summary, the SAR should contain the following: a) a brief narrative (three pages or less) by the Mission Director highlighting successes and major problems in the project portfolio; b) a financial summary table which presents key financial data on the Mission's portfolio; c) a pipeline analysis that indicates the percentage of the pipeline that is more than three years old; d) a brief section on small projects with LOP funding of less than \$500,000; e) individual project status reports for projects, non-project assistance, and housing guarantee programs with LOP funding of \$500,000 or more; f) reporting on food aid, including Title I, II, III, Section 416, and other Monetization Programs; g) an Evaluation Plan of individual project evaluations as well as cross-cutting assessments; and, h) the Country Training Plan (CTP).

This guidance memorandum provides a report outline; requires standardized formats for the financial summary table, the individual project status reports, and food aid reporting; and, revises the definition of A, B, and C projects. Four areas previously covered in Action Plans - Evaluation Plans, WID reporting, Country Training Plans, and the Food Aid Reporting - will now be incorporated into the SARs. Finally, the guidance seeks to shift the emphasis in the individual project status reports from project outputs to development impact by focusing on progress in achieving the project purpose.

This guidance is fully effective immediately. Reports should be prepared on a semi-annual basis: one report covering October 1 - March 31 (Spring SAR), the other April 1 - September 30 (Fall SAR). The CTP and Evaluation Plan sections of the SAR should be prepared annually and submitted as part of the fall SAR.

We decided to move to an annual LAC/W review of the portfolio. Submission of the October 1 to March 31 reports to LAC/W is no longer required. Instead, these Spring reports should be prepared for the mission's own internal management review. For the first semester of FY 1990, missions should submit by May 15, only: (a) the summary financial table for the six month period ending March 31; and, (b) a cable addressing those issues/questions noted in the fall SAR review cable that the Mission was to report on in the October 1- March 31 SAR. In subsequent off-cycles (i.e. the six month period ending March 31), missions should submit by May 15 the summary financial table and a brief statement by the Mission Director summarizing the outcome of the Mission's internal review as described in Section I.A. of the SAR outline which follows.

The fall SARs covering April 1 - September 30 must be submitted to LAC/W. Timely receipt of these reports is a prerequisite for the reviews to be useful. Therefore, we request that the reports (3 hard copies) reach LAC/DR/PSS no later than six weeks after the end of the fiscal year (i.e. November 15). Full SAR reviews will be conducted in the fall chaired by the AA/LAC or his designee. This review will be followed by cables to the field. A representative from each mission must attend this fall SAR review.

While there will be an initial increase in Mission staff time required to convert to the new format, the shift to an annual LAC/W review and reduced length of project reports should help reduce staff intensity. I should also add that the increasing emphasis by Congress and PPC on mortgage and pipeline issues as significant components of the ABS/OYB process make it essential that we have as complete an understanding of these issues as possible on a Mission-specific basis. The revised financial component of the SAR is a key element in improving our knowledge of your portfolio. Please let me know if you have any corrections or questions on the revised SAR.

SAR OUTLINE

The outline for the Semi-annual Report (SAR) and formats for individual sections of the Report are described below with appropriate numbering:

Table of Contents (Required)

I. Mission Director's Overview

A. Portfolio Overview: This section should consist of a brief narrative (three pages or less) by the Mission Director highlighting successes and major problems in the project portfolio.

B. Mission Issues: In this section, Missions should note problems they want addressed during the SAR review in LAC/W. Any other significant issues requiring LAC/W attention should also be highlighted.

C. Financial Summary Table: This table summarizes key financial data on the Mission's portfolio. This information will serve as the basis for analysis by LAC/W of the status of the Mission's mortgage, expenditures, and pipeline. Attachment A provides the instructions for the preparation of this table and a model of the table format. A diskette with a model table formatted in Lotus 1-2-3 is also included in this package.

D. Pipeline Analysis: This analysis should consist of: 1) a table showing the age of the pipeline; and, 2) a brief narrative analyzing the pipeline for the overall portfolio and for individual projects with a significant pipeline. The data for preparing the pipeline table can be obtained from your MACs reports. The table should include each active DA or projectized ESF project. Projects which have reached their PACD by the end of the reporting period should not be included unless the Mission plans to extend the PACD. For purposes of completing this table, it is unnecessary to determine what amounts of each fiscal year's funding allocation have been expended. Instead you should assume a First In First Out (FIFO) system of inventory control for the total of each project's funding i.e. the oldest funds are spent first. (See Attachment B for a sample pipeline analysis table). The percentage of the total pipeline at the end of the current fiscal year that was obligated in each fiscal year should then be calculated. A pipeline in which 20% or more of the pipeline is older than three years is considered "significant". The narrative should explain the reasons for a significant total pipeline older than three years. Also a significant pipeline for individual projects where expenditures appear to be moving slowly should also be explained. The total analysis should not exceed one page.

II. Project Status Reports

(For the following sections, the projects should be listed by sector and then sequentially by number within each sector.)

A. Small Projects (i.e. LOP funding of less than \$500,000): Small projects with a LOP of less than \$500,000 do not require individual reports. Instead a section containing the project name, number, purpose, implementing agency and/or grantee, and a brief 3-4 sentence statement of major accomplishments or problems for each small project should be included in this section. The financial data for these small projects must be included in the Mission's summary financial table. PD and S funded activities do not need to be reported on in the SARs; however, Missions should report on each local currency project with LOP funding under \$500,000 managed by the Mission.

B. Major Projects/Programs/HIGs (i.e. LOP funding of \$500,000 or more): Individual reports should be prepared for projects, non-project assistance, and housing guarantee programs with LOP funding of \$500,000 or more. In addition, Missions should report on each local currency project with an LOP of \$500,000 or more which is managed by the Mission. Detailed guidance for preparing the individual project status reports as well as a model of the format and a sample of a completed project report are contained in Attachment C. The project reports should not exceed three pages in length.

The EOPS and Major Outputs sections should be derived from the original or an amended PP logframe. In some instances, however, Missions may need to revise these indicators in order to accurately reflect the scope/purpose of the project and measure progress. In order to provide measurable comparisons over time, these indicators, once adopted, should not be changed without good justification.

Special concerns which must be addressed in each project status report are: WID reporting and training data. WID concerns are to be incorporated into the main body of the project report. End-of-project status and output indicators should include sex-disaggregated data where appropriate. The Mission must specifically discuss progress in including women as project participants and/or beneficiaries in Section IV.C., "Other Accomplishments and Overall Status". Project-related training, both short and long-term, must also be included as outputs.

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To assist in the preparation of the individual Project Status Reports, we are including the following materials in this package: 1) a Wang diskette containing the reporting format; and, 2) a memo providing formatting and printing instructions for the reports.

III. Food Aid

The subheadings for this section should be:

A) Title I/III, Section 416, and other Monetization Programs

B) Title II

Reporting on food aid programs should follow the format provided for the individual project status reports with the modifications discussed in Attachment D.

IV. Evaluation Plan

The Evaluation Plan should now be prepared and submitted as part of the fall SAR. This section should be presented as a table summarizing the evaluations scheduled under each Project Status Report as well as any cross-cutting assessments not listed in the individual reports. Evaluations of the food aid program should also be included. A model "Evaluation Plan" and guidance are included as Attachment E.

V. Country Training Plans (CTP)

CTP guidance is currently being revised by LAC/DR/EHR and will be provided under separate cover. Missions will be required to prepare and submit their CTPs annually in the fall SARs.

Attachments:

- Attachment A - Instructions For Preparing The Financial Summary Table
- Attachment B - Sample Pipeline Analysis
- Attachment C - Instructions for Preparing Project Status Reports
- Attachment D - Guidance on Preparing Food Aid Reports
- Attachment E - Guidance on Preparing the Evaluation Plan

ATTACHMENT A

INSTRUCTIONS FOR PREPARING
THE FINANCIAL SUMMARY TABLE

This table is designed to present a summary of key financial data on the Mission's portfolio. This information will serve as the basis for analyzing the status of the Mission's mortgage, expenditures, and pipeline.

Definitions: The table should be presented in three categories: 1) active projects; 2) terminated projects; and, 3) active programs. The PROJECT category includes all Development Assistance (DA), projectized ESF, Disaster Assistance and Relief, Rehabilitation, and Reconstruction projects. The PROGRAM category should only include balance of payments support. PD and S funded activities should not be included in the table. ACTIVE is defined as those projects/programs active during any part of the reporting period. For example, a project with a 10/31/89 PACD or one with a 3/31/90 PACD would be considered as active projects during the October 1, 1989-March 31, 1990 reporting period. Also, new projects/programs or project/program amendments authorized/approved during any part of the reporting period which increased the authorized LOP funding level, should be included in the respective active project/program portion of the table. TERMINATED projects are defined as those projects whose PACDs expired during previous reporting periods, but which are not yet fully disbursed and could be eligible for deobligation (e.g. a project with a 6/30/89 PACD in the October 1, 1989-March 31, 1990 reporting period with obligated, but unexpended funds). These should be included in the terminated projects category. Such projects should be removed from the table when they have been fully disbursed and all remaining funds, if any, are deobligated.

ACCRUED EXPENDITURES represent costs incurred during a given period for goods received and services rendered. Expenditures accrue regardless of when cash payments are made, or whether invoices have been rendered. Total accrued expenditures for a specific time period consist of the cost of all goods and services received during that period whether or not paid for before the end of the period. SEMESTER refers to the six-month period currently being reported on.

Instructions: A copy of the financial table is located at the end of this attachment. The projects/programs within each of the above three categories should be listed by sector and then sequentially by project number within each sector. The table should be titled

Financial Summary of USAID/... Portfolio. Under this heading, indicate the reporting period (e.g. October 1, 1989-March 31, 1990). The financial table contains eighteen columns. The instructions for preparing the financial table follow and are keyed to the numbered columns on the table:

- (1) Project Number: Self-explanatory
- (2) Project/Program Title: Self-explanatory
- (3) Category: Indicate whether the project/program was categorized as "A", "B", or "C" in the individual Project Status Reports.
- (4) Date of Initial Obligation: Self-explanatory
- (5) Last Revised PACD: Self-explanatory
- (6) Percentage of LOP Elapsed: The "% of LOP Elapsed" is the number of months since initial obligation divided by the number of months in the LOP.
- (7) Percentage Obligated Expended: The "% of Obligated Expended" is the cumulative accrued expenditures divided by the total amount obligated (Column 16 Divided by Column 10)
- (8) Authorized LOP: The amount of funding authorized for the project.
- (9) Current FY Obligations to Date: For the 10/1/89-3/31/90 reporting period, this would be the obligations incurred in the first six months of the fiscal year. For the second semester SAR, this would be obligations incurred during the entire fiscal year. (FYI-This data is used by LAC/W to calculate mortgage and pipeline indicators, and is not available on a timely basis and in a consistent format from other data sources).
- (10) Cumulative Amount Obligated: This is the entire amount obligated to date under the project.
- (11) Mortgage: The difference between Authorized LOP and Cumulative Obligations. (Column 8 minus Column 10)
- (12) Beginning FY Pipeline: This column should indicate the project pipeline at the beginning of the current fiscal year. The amounts in this column should remain the same in both the

first and second semester SARs. For the portfolio as a whole, the beginning pipeline in a given year differs from the ending pipeline for the previous year in that projects which expired during the previous reporting period are no longer included. An average of the beginning and ending project pipelines is used by LAC/W to calculate the portfolio liquidation rate.

- (13) Planned Semester Expenditures: These are the planning figures which the Project Manager developed at the beginning of this reporting period which indicate anticipated accrued expenditures over the semester. Note: Some missions will not show figures in this column because they did not project expenditures in the previous SAR or in internal documents. Those that did project expenditures should enter data, those that did not - please do so in the future.
- (14) Accrued Semester Expenditures: These figures are calculated by the Project Manager at the end of the reporting period based on accrued expenditures (as previously defined) that were incurred during the reporting period. These are confirmed by the Mission Controller and reported in the MACS report quarterly.
- (15) Accrued as Percentage of Planned: This is the ratio of the accrued expenditures for the reporting period divided by the amount of expenditures planned for this six month period. See note in item thirteen.
- (16) Cumulative Accrued Expenditures: These are total accrued expenditures equal to the sum of cumulative accrued expenditures from the last SAR report plus accrued expenditures that were incurred during the semester.
- (17) Ending Pipeline: This is the difference between the cumulative amount obligated and cumulative accrued expenditures. (Column 10 minus Column 16).
- (18) Planned Expenditures (Next Semester): These are the projections by prepared the Project Manager, and confirmed by Mission management, of accrued expenditures to be incurred over the next reporting period (i.e. April 1, 1990 to September 30, 1990).

Subtotals for each of the three categories should be calculated for Columns 8-14 and 16-18. Percentages for columns 6, 7, and 15 should be calculated for the total portfolio as well as for individual projects based on the formulae provided above. The portfolio-wide results should be placed at the bottom of the respective columns. The majority of the information required for this table can be drawn from the financial data contained in the individual Project Status Reports.

FINANCIAL SUMMARY OF USAID/1 PORTFOLIO
(OCTOBER 1, 1989 THROUGH MARCH 31, 1990)
(\$000)

(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	(17)	(18)
PROJECT NO.	PROGRAM/PROJECT TITLE	DATE OF INIT. OBLIG.	DATE OF REVIS. PACO	% OF LOP ELAPSED	% OF OBLIG. EXPEND.	AUTH. LUP AMOUNT	CURRENT FY OBLIG. TO DATE	CUMUL. AMOUNT OBLIG.	BEGINNING FY PIPELINE	PLANNED SEMESTER EXPEND.	ACCRUED SEMESTER EXPEND.	ACCRUED AS % OF PLANNED	CUMULATIVE ACCRUED EXPEND.	ENDING PIPELINE	PLANNED EXPEND. (NEXT SEM.)		
ACTIVE PROJECTS																	
SUBTOTAL ACTIVE PROJECTS																	
TERMINATED PROJECTS																	
SUBTOTAL TERMINATED PROJECTS																	
ACTIVE PROGRAM																	
SUBTOTAL ACTIVE PROGRAM																	
SOURCE:																	
PSR	PSR	PSR	PSR	PSR	PSR	(16)/(10)	PSR	MISSION RECORDS	PSR	(18)-(10)	ENDING PIPELINE FROM PREVIOUS SAR FINANCIAL SUMMARY TABLE	PLANNED EXPEND. FROM PREVIOUS SAR FINANCIAL SUMMARY TABLE AND/OR PSR	PSR	(14)/(13)	PSR	(12)-(14)	PSR
EXAMPLES:																	
ACTIVE PROJECTS																	
517-0186	Agribusn. Prom (G)	A	28-Aug-85	31-Dec-92	562	402	5,500	0	4,000	1,500	3,079	250	660	264%	1,581	2,419	250
	(H)	B	28-Aug-85	30-Jun-90	852	472	17,300	0	17,300	0	9,230	0	0	0%	8,070	9,230	6,000
SUBTOTAL ACTIVE PROJECTS					562	402	22,800	0	21,300	1,500	12,309	250	660	132%	9,651	11,649	6,250
TERMINATED PROJECTS																	
SUBTOTAL TERMINATED PROJECTS																	
ACTIVE PROGRAM																	
SUBTOTAL ACTIVE PROGRAM																	

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PIPELINE ANALYSIS
USAID/DOMINICAN REPUBLIC
Sept. 30, 1989

PROJECT NO (1)	PROJECT TITLE (2)	CUMULATIVE OBLIGATION (3)	FY OBLIGATIONS (4)							PIPELINE (5)	PIPELINE (6)								
			1982	1983	1984	1985	1986	1987	1988		1989	1982	1983	1984	1985	1986	1987	1988	1989
ACTIVE PROJECTS																			
0153	Health Sys Mgt	2,769	0	0	679	821	0	0	950	319	984	0	0	0	0	0	665	319	
0156	Ag Policy Analysis	1,250	0	0	500	0	0	0	750	0	751	0	0	1	0	0	750	0	
0157	Grad Mgt Trng	6,500	0	540	1,690	3,889	381	0	0	0	873	0	0	0	512	381	0	0	
0159	On-Farm Wtr Mgt(L)	12,000	0	12,000	0	0	0	0	0	0	3,252	0	3,252	0	0	0	0	0	
0160	Ag Sector Trng	5,000	0	5,000	0	0	0	0	0	0	1,390	0	1,390	0	0	0	0	0	
0177	Rural Roads II	15,000	0	2,850	7,800	2,150	2,200	0	0	0	5,095	0	0	745	2,150	2,200	0	0	
0186	Agribusn. Prom (G)	4,000	0	0	1,740	760	0	0	1,500	0	2,439	0	0	0	159	760	0	1,500	
0186	Agribusn. Prom (L)	17,300	0	0	0	10,760	6,540	0	0	0	9,230	0	0	0	2,690	6,540	0	0	
0190	Exp & Inv Prom	6,600	0	0	0	1,850	2,950	870	980	0	1,073	0	0	0	0	93	980	0	
0214	Comm Farming (L)	7,580	0	0	0	0	0	3,000	4,580	0	5,580	0	0	0	0	1,000	4,580	0	
0214	Comm Farming (G)	7,170	0	0	0	0	0	4,750	0	2,420	6,127	0	0	0	0	3,707	0	2,420	
0216	Devel Trng	8,863	0	0	0	0	4,500	500	2,160	1,703	5,293	0	0	0	927	500	2,160	1,703	
0218	CDE Rev Coll (L)	2,500	0	0	0	0	2,500	0	0	0	1,882	0	0	0	1,882	0	0	0	
0218	CDE Rev Coll (G)	500	0	0	0	0	500	0	0	0	160	0	0	0	160	0	0	0	
0229	Family Planning	5,000	0	0	0	0	2,300	1,800	900	0	3,580	0	0	0	880	1,800	900	0	
0235	Vector Control	1,500	0	0	0	0	1,000	500	0	0	517	0	0	0	37	500	0	0	
0236	Sugar Diversif	3,500	0	0	0	0	0	2,025	1,475	0	2,834	0	0	0	0	1,359	1,475	0	
0237	Debt Conversion	2,900	0	0	0	0	0	0	2,900	0	2,818	0	0	0	0	0	2,818	0	
0239	Child Survival	4,652	0	0	0	0	0	2,700	1,310	642	3,517	0	0	0	0	1,565	1,310	642	
0242	Accel Immunization	705	0	0	0	0	0	705	0	0	285	0	0	0	0	285	0	0	
0243	Univ. Agrib.	3,600	0	0	0	0	0	0	0	3,600	3,516	0	0	0	0	0	0	3,516	
0247	PWD Cofinancing	3,000	0	0	0	0	0	0	0	3,000	3,000	0	0	0	0	0	0	3,000	
0252	Industrial Linkages	3,000	0	0	0	0	0	0	0	3,000	3,000	0	0	0	0	0	0	3,000	
0256	Aids Prevention	1,000	0	0	0	0	0	0	300	700	847	0	0	0	0	0	147	700	
0640	PTIC	3,374	0	0	0	0	0	1,100	75	2,249	1,658	0	0	0	0	0	0	1,658	
TOTAL		129,263	0	20,390	10,669	21,210	23,631	17,900	16,330	19,133	69,718	0	4,642	746	5,511	13,766	10,809	15,786	18,458

ATTACHMENT C

INSTRUCTIONS FOR PREPARING
THE PROJECT STATUS REPORTS

General Comments: The major projects should be listed by sector and then sequentially by number within each sector. All items must contain a response, whether it is none or not applicable. Please try to be succinct in the narrative sections of the report. You should note that both the Financial Data and Major Outputs sections call for "planned" as well as actual figures. The project reports should not exceed three pages in length as discussed below. The format for preparing the individual project status reports is provided below and guidance is keyed to the items on the report format:

Project Status Category: This section has been brought forward to the heading of the report. The definitions for A, B, and C projects have been redefined. They are as follows:

"A" Projects: These are projects the Mission wishes to characterize and report on as real success stories. Not only would implementation be proceeding well under such projects with only minor problems, but they would be having a significant impact on the problems they were designed to solve as indicated in the report by successful progress toward the end-of-project status (eops) indicators.

"B" Projects: These projects would be proceeding more or less as planned though they would be experiencing typical implementation problems and minor delays which can be resolved through normal project management. Short first time PACD extensions of a year or less may even be necessary. The project may be expected to have a positive impact on the problem it addresses but impact is still uncertain or is not so significant that the project would be singled out as a success story.

"C" Projects: These are those projects with significant problems which require extra attention from senior Mission management or, on an exceptional basis, from senior LAC/W management. Such C projects may have one or more of the following type of problems: the project is significantly behind schedule; a PACD extension of more than one year is likely; the host country or NGO no longer appears to support the project; the host country/NGO is not providing planned resources and the shortfall significantly impedes implementation; expenditure of A.I.D.'s assistance is moving very slowly - the pipeline exceeds that planned by a large margin; it is quite possible that project impact will be much less than that planned; the implementing agency seems ineffective, unable, or unwilling to implement the project; or, the project has major audit problems.

I. Background Data: This section is largely self-explanatory. For amended projects, note the original and last date(s) that the authorization and/or obligation was amended and the original and last date to which the PACD was extended. Briefly note status of CPs and covenants. If additional discussion is required, please include in Section IV.C., "Other Accomplishments and Overall Status".

Financial Data: Under authorized and obligated amounts, show functional account (DA and/or ESF) and whether the project is loan or grant-funded. The "amended to" line items should reflect the present levels of authorization and obligation based on the latest amendment. The obligation is either the amount under an Agreement with a host country/regional institution/PVO or the amount in an AID direct contract. You are requested to include the Amount Committed: Period and Cumulative. The Accrued Expenditure is the amount which has been billed or is billable (i.e. services performed, commodities delivered, training conducted) for the relevant period (e.g. six months of a 36 month contract).

Under the heading of Accrued Expenditures, four entries are requested: (1) Period - Projected: these are the planning figures which the Project Officer developed at the beginning of this reporting period which indicate anticipated accrued expenditures over the period; (2) Period - Actual: these figures are calculated by the Project Officer at the end of the reporting period based on what actually occurred; (3) Cumulative: these are total accrued expenditures equal to the sum of cumulative accrued expenditures from the last SAR report and actual accrued expenditures during the period (é2 above); and (4) Period - Next: these are the projections by the Project Officer of Accrued Expenditures to be incurred over the next reporting period (i.e. April 1, 1990 to September 30, 1990). This latter figure (4) would then be carried forward into (1) in the next SAR. The purpose is to introduce planning figures into expenditure reporting. Finally, you are requested to report on Counterpart Contributions: Planned and Actual. Missions should decide on the appropriate data source for reporting on counterpart contributions.

The "% of LOP elapsed" is the number of months since initial obligation divided by the number of months in the LOP. The "% of Total Authorized Obligated" is calculated by dividing total obligations by the total amount authorized. The "% of Total Obligated Expended" is the cumulative accrued expenditures divided by the total amount obligated. The "% of Total Authorized Expended" is the cumulative accrued expenditures divided by the total amount authorized.

II. Project Purpose: State the project purpose as it appears in the project paper.

III. Project Description: Briefly describe the project in terms of major components or activities.

IV. Project Status

A. Planned EOPS: Briefly state the End-of-Project Status (EOPS) indicators and progress to date in achieving the EOPS. The EOPS should be taken from the original or amended PP logframe and be indicative of development impact at the purpose level. The EOPS indicators and cumulative status should be presented in a tabular format. Sex-disaggregated data should be included where appropriate.

B. Major Outputs: List the major outputs from the original or amended PP logframe; identify the "planned" targets for: 1) the Life of Project (LOP), 2) the current reporting period, 3) cumulative through this reporting period, and 4) the next reporting period; indicate the actual accomplishments during this reporting period and cumulative through this reporting period; and, then calculate the percentage accomplished (i.e. cumulative accomplished divided by total planned LOP targets as indicated in the logframe). Please quantify to the maximum extent possible. This information should also be presented in the tabular format provided. Sex-disaggregated data should be included where appropriate. If existing data do not provide this information, then in Section IV.C., "Other Accomplishments and Overall Status" of the project status report, the Mission should state what is being done to collect such data. Project-related training, both short and long-term, must be included as outputs regardless of whether the project provides training. In those instances where there is none, mark zero in the appropriate columns.

All of the above information (Sections I - IV.B.) must fit on the first dual-column page. The second dual column page should begin with:

C. Other Accomplishments and Overall Status: This section should provide a brief narrative on project status in terms of logframe indicators. Major highlights during the reporting period should be briefly summarized. If conditions precedent have not been met, this section should discuss status in meeting them if not adequately summarized in Section I, "Status of CPs and Covenants" above. Follow-up actions taken with regard to problems identified in previous reports or actions requested in the last portfolio review should be discussed. Summary of findings and recommendations from any evaluation or audit conducted during the reporting period must be included in this section. It is critical that any outstanding audit

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recommendations be indicated and discussed in this section, especially if there are anticipated or outstanding problems. This section must also include a brief discussion (2-3 sentences) of progress made in including women as project participants and/or beneficiaries.

D. Problems and Delays: Focus on the major problems, if any, which impact on major outputs or activities.

E. Major Activities or Corrective Actions During the Next Six Months: Give a brief summary of major management actions and major project activities expected to be accomplished during the next six months. For all Category C projects, this section should deal with planned corrective actions, such as reprogramming, deobligations, PACD extensions, evaluations, and other more specific implementation actions.

The narrative information in Section IV.C - E should not exceed two pages. You are requested to be as concise as possible without omitting significant details.

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I. BACKGROUND DATA

Project Title:
 Project Number: 598-0000
 Date of Authorization: original 00/00/00 amendment 00/00/00
 Date of Obligation: original 00/00/00 amendment 00/00/00
 PACD: original 00/00/00 amended to 00/00/00
 Implementing Agencies:
 Major Contractors:
 AID Project Managers
 Status of CPs/Covenants:

Date of Last Evaluation: 00/00/00 Next Evaluation: 00/00/00
 Date of Last Audit: 00/00/00 Next Audit: 00/00/00

FINANCIAL DATA

Amount Authorized: 1/ESF Grant: original \$ amended to \$
 Amount Obligated: 1/ESF Grant: original \$ amended to \$
 Amount Committed: eriod: \$
 Cumulative: \$
 Accrued Expenditures: Period - Projected: \$
 Period - Actual: \$
 Cumulative: \$
 Period - Next \$

Counterpart Contribution: Planned: \$
 Actual \$

% LOP Elapsed: _ %
 % of Total Auth. Oblig. _ %
 % of Total Oblig. Exp. _ %
 % of Total Auth. Exp. _ %

II. PROJECT PURPOSE

(Project Purpose Statement)

B. Major Outputs

LOP	Planned		Next		Accomplished		% of LOP
	Period	Cum.	Period	Period	Cum.		
1. Logframe out-	#	#	#	#	#	#	%
2. puts, including	#	#	#	#	#	#	%
3. sex disaggregated	#	#	#	#	#	#	%
4. data, e.g.	M E	M E	M E	M E	M E	M E	M E
5. Training (Persons)	M E	M E	M E	M E	M E	M E	M E
long-term	0 0	0 0	0 0	0 0	0 0	0 0	0% 0%
Short-term	0 0	0 0	0 0	0 0	0 0	0 0	0% 0%

III. PROJECT DESCRIPTION

(Succinct description of major components or activities)

IV. PROJECT STATUS

A. Planned EOPS

Progress to Date

1. (Logframe EDPS)

(Quantity, if possible
 or brief comment)

2.

3.

4.

(Reporting on long-term and short-term training under each project is mandatory; if none, mark zero)

PROJECT STATUS REPORT
April 1, 1989 - September 30, 1989

C. Other Accomplishments and Overall Status

(Action highlights)
(Status of CPs/Covenants if not met)
(Progress on previous problems/actions)
(Summary of evaluation findings and actions taken)
(Status of audit recommendations and actions taken)
(Brief discussion of progress made in including women as project participants and/or beneficiaries)

D. Problems and Delays

Focus on the major problems, if any, which impact on major outputs or activities.

E. Major Activities or Corrective Actions During the Next Six Months

- o (A concise list of major actions and corrective measures
- o to be undertaken during the next reporting period.
- o Corrective actions to be taken for Category C projects.)
- o

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PROJECT STATUS REPORT
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ATTACHMENT C

A B C

I. BACKGROUND DATA

Project Title: Caribbean Justice Improvement
 Project Number: 598-0645
 Date of Authorization: original 08/08/86 amendment 00/00/00
 Date of Obligation: original 08/28/86 amendment 00/00/00
 PACD: original 07/31/91 amended to 07/31/92
 Implementing Agencies: University of the West Indies (UWI)
 Major Contractors: None
 AID Project Manager: Dennis Darby
 Status of CPs/Covenants: CPs to First Disbursement - All Met;
 CPs to QIAs - Partially met; CP to TA - Pending;
 Covenants: National Advisory Committees -
 Functioning.

Date of Last Evaluation: 09/08/88 Next Evaluation: 12/10/09
 Date of Last Audit: 00/00/00 Next Audit: 03/15/90

FINANCIAL DATA

Amount Authorized: DA/ESF Grant: original \$10,000,000
 UWI \$ 7,800,000
 Amount Obligated: DA/ESF Grant: original \$ 1,500,000 amended to \$2,000,000
 Amount Committed: Period: \$ 65,351
 Cumulative: \$ 982,912
 Accrued Expenditures: Period - Projected: \$ N/A
 Period - Actual: \$ 440,000
 Cumulative: \$ 440,000
 Period - Next \$ 250,000

Counterpart Contribution: Planned: \$ 2,000,000
 Actual \$ 100,000

% LOP Elapsed: 7%
 % of Total Auth. Oblig. 26%
 % of Total Oblig. Exp. 22%
 % of Total Auth. Exp. 4%

II. PROJECT PURPOSE

To strengthen legal systems in the region, especially in Belize, Jamaica and the Eastern Caribbean, by providing services necessary for fostering maintenance and performance of national justice systems.

III. PROJECT DESCRIPTION

Under the \$7.8 million grant, UWI will make sub-grants to, and execute contracts with, regional, sub-regional and national institutions and entities. Major project components include law revision and reform, case reports/textbooks, Revolving fund, law library enhancement, country-specific activities, UWI operational support, and regional technical assistance/training. USAID/Jamaica is separately administering US\$2.2 million in project grant funds for the same purpose.

IV. PROJECT STATUS

A. Planned EOPS

1. Increase in the speed of trials and appeals.
2. Better trained judges, magistrates, prosecutors and paralegals.
3. Increase in the number of modern and ascertainable Laws.
4. Improved legal aid and public defender systems.

Progress to Date

Formats to be used by the Primary Coordinators in each territory to gather the baseline data to assess progress in achieving project objectives have been transmitted by UWI to the various Primary Coordinators.

B. Major Outputs

	<u>Planned</u>				<u>Accomplished</u>			
	<u>LOP</u>	<u>Period</u>	<u>Cum.</u>	<u>Next Period</u>	<u>Period</u>	<u>Cum.</u>	<u>% of LOP</u>	
1. Staffed Project Office (UWI)	1	0	1	0	0	1	100%	
2. Quick Impact Activities funded	7	4	5	1	4	5	70%	
3. Central Law Libraries selected in each country	7	0	0	0	0	0	0%	
4. Publication of legal materials in all territories							Unquantifiable	
5. Reg. Trng. Courses developed by UWI	5	0	0	0	0	0	0%	
6. Regional TA activ. developed by UWI	2	0	0	0	0	0	0%	
7. Country specific activ. funded in benefic. countries	15	0	0	0	0	0	0%	
8. Training (Persons)	<u>M</u>	<u>E</u>	<u>M</u>	<u>E</u>	<u>M</u>	<u>E</u>	<u>M</u>	<u>E</u>
Long-term	11	0	0	0	0	0	0	0%
Short-term	75	30	0	0	0	0	0	0%

PROJECT STATUS REPORT
April 1, 1989 - September 30, 1989

Other Accomplishments and Overall Status

The UWI has satisfactorily met the CP's to first disbursement of Project funds. The CP's to disbursement for Quick Impact Activities (QIA) have been met by UWI with regard to 4 OECS countries, and Belize, and now enables the disbursement of US\$50,000 to each of these territories from the country specific line item of the Project budget. The CP's to disbursement for QIA's in St. Lucia and Dominica are expected to be met by the end of February and will allow a further disbursement of US\$50,000 in country specific funds to each of those territories. Six of seven participating countries have appointed National Advisory Committees (NACs) which are actively functioning.

Meetings have been held with the OECS Secretariat in St. Lucia to define the OECS role in the Project. A MOU signed between the UWI and the OECS provides for payment to the OECS of US\$60,000 during the period Jan. 1 - Dec. 31, 1987, for operational support out of a total of US\$250,000 to be provided over the LOP for this purpose. These funds are being provided from the Regional TA/Training line item. Project Manager's (PM) contract, funded from the contingency line item, has been finalized and the PM began working on November 24, 1986. First Quarterly Activity Schedule on project status submitted by UWI. First Donors Committee meeting held in December. UWI Faculty of Law in process of acquiring computer to assist in the preparation of Case Reports. Computer to be bought from case Reports/Revolving Fund line item and costs approximately US\$10,000. The PM has requested that project reporting include sex-disaggregated data where relevant. In addition, UWI plans to increase the representation of women among the justice system personnel receiving long-term training under the project.

D. Problems and Delays

No delays/problems at present time. Substantial progress is being made in coordinating project activities.

E. Major Activities or Corrective Actions During the Next Six Months

1. All QIA procurement will be completed for the seven primary project beneficiaries.
2. Project Director and RLA will meet with all NACs to lay foundation for future project activities.
3. Project Director, RLA, and Project Manager will have commenced planning for all regional activities. U.S. experts in Judicial Training and Court Administration will be solicited as to their availability to meet the particular technical assistance needs of the project.
4. Another Donors committee meeting consisting of representatives from the BDD, UNDP, CFTC and CIDA is scheduled for early March.
5. UWI will commence analyses of law library requirements in each primary beneficiary country.
6. The first regional training course under the Project will be conducted, benefitting 21 participants.
7. Primary Coordinators in all 7 participating territories will have been hired.
8. The Bahamas, B/I, Anguilla and Montserrat will be considered as participants in those regional aspects of the project which can accommodate them, e.g., training of magistrates, court administrators, law librarians, etc.

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ATTACHMENT D

GUIDANCE ON PREPARING
OF FOOD AID REPORTS

Reporting on food aid programs should be separated into two subsections: A) Title I/III, Section 416, and other Monetization Programs (i.e. Section 206 of Title II); and, B) Title II. World Food Programs receiving Title II commodities should only be reported on if there are significant issues needing LAC attention. The format for preparing the food aid reports is provided below and guidance is keyed to the items on the report format:

TITLE I/III, SECTION 416, AND OTHER MONETIZATION PROGRAMS

I. Background Data: This section should list all "active" food aid agreements/amendments (i.e. all agreements under which local currency is not completely disbursed), agreement date and amount in U.S. dollars. It should also include: a) the Implementing Agencies; b) Contractors (if applicable); c) A.I.D. Project Manager(s); and d) dates of last and next evaluations and audits.

Financial Data: This section should include: a) the amount of local currency generated under all active agreements by line item then total; b) total amount of local currency programmed per agreement; c) total amount of local currency disbursed per agreement; and, d) amount of local currency disbursed for the last six months.

II. Program Purpose: Briefly state the PL 480/Section 416 program objectives and relationship to Mission strategy and DA/ESF portfolio.

III. Program Description: This section can be eliminated since it is adequately described in Sections I, II, and IV of this report.

IV. Program Status:

A. Self-Help Measures (for Title I and Title II Section 206): 1) Provide date and cable number of most recent Self Help Measure Report (Reports are required by Dec. 31 of each calendar year); 2) List and indicate status of Self Help Measures that have not been met; and, 3) State how measures have complemented other mission actions for policy and program reforms.

B. Local Currency Uses: (Self-explanatory)

C. Local Currency Management: State how Mission and host country comply with Agency and LAC Bureau guidance on local currency management, including problems in implementing guidance and proposed corrective actions.

D. Section 106/108 (if used): Mission should identify percentage and total program amount in agreement and progress in implementation.

E. Problems and Delays: This section should discuss issues, problems and delays in program implementation (e.g. disincentive effects, problems with UMRs, logistical problems).

F. Major Activities or Corrective Actions During Next Six Months: Same guidance as that proposed for DA and ESF projects applies.

TITLE II

(Please prepare a separate report for each Title II program (government to government and/or PVO)).

I. Background Data/Financial Data: Report only on the following: a) Project Title, b) Project Manager, c) Implementing Agencies, and, d) Program Amount (separate line items for commodities and transportation costs).

Financial Data: A) Amount of tonnage authorized, estimated call forward amounts and dates, tonnage used to date, balance remaining or in stock.

II. Project Purpose: State purpose and objectives per the PVO's Multi-year Operational Plan.

III. Project Description: Same as that required for DA and ESF projects.

IV. Project Status: Mission should state briefly: a) project progress and achievements compared to objectives and benchmarks; b) issues, problems, and delays having a major impact on implementation; and, c) major activities and corrective actions for the next six months.

WORLD FOOD PROGRAM (WFP)

Report on WFP programs receiving Title II commodities only if there are significant issues needing LAC attention.

ATTACHMENT E

GUIDANCE ON PREPARING
THE EVALUATION PLAN

The following information should be included in the Evaluation Plan: a) project title, b) project number, c) date of last evaluation, d) date of next evaluation, and e) the purpose/issues of the evaluation. Under the Purpose/Issues column, provide the specific reason(s) for carrying out the evaluation including any issues to be addressed. A purpose stated as follows: "A mid-term evaluation to assess the government's commitment to providing budget and manpower support and to decide about a no-cost extension" is better than simply "A mid-term evaluation". "A final evaluation to measure impact of the project on infant and child mortality, and to serve as a basis for a new project to be developed next year" is better than simply "a final evaluation".

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EVALUATION PLAN

<u>PROJECT NO. & TITLE</u>	<u>DATE OF</u>	<u>DATE OF</u>		<u>PURPOSE/ISSUES</u>
	<u>LAST EVALUATION</u>	<u>NEXT EVALUATION</u>	<u>NEXT EVALUATION</u>	
		FY 90	FY 91	