MONITORING AND EVALUATION:

MISSION ORDER AND GUIDANCE

USAID/Ecuador

MANAGEMENT SYSTEMS INTERNATIONAL

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Monitoring and Evaluation: Mission Order and Guidance
USAID/ECUADOR

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GLOSSARY

MISSION PROGRAM: A program is the sum of the project, non-project and policy dialogue actions undertaken by a Mission in pursuit of a given strategic objective.

STRATEGIC OBJECTIVE: The 3 to 8 highest level objectives on which a Mission's activities can be expected to have a meaningful impact in the short to medium term.

PROGRAM OUTPUTS: The major accomplishments a Mission is willing to assume direct responsibility for in its efforts to achieve its strategic objectives. (in general, these accomplishments correspond to project purposes and/or major policy changes directly influenced by USAID activities. In some cases, however, it is also appropriate to include selected project outputs or groups of outputs.)

PROGRAM PERFORMANCE ASSESSMENT SYSTEM: System by which a strategic objective, indicators of a strategic objective, program outputs and indicators of program outputs are defined; and specifies

MONITORING: The collection of regular information on inputs and outputs. It accepts design as given; measures progress; focuses on compliance; and its frequency is continuous.

EVALUATION: Process by which design is challenged; conclusions are drawn and judgements made; the focus is on relevance; and its frequency is necessitated by milestones or decisions.

SPECIAL STUDIES: This term is used herein to indicate focused studies, which are evaluative in nature but do not cover the entire scope of a project or a strategic objective and its program outputs.

REVISED MISSION ORDER ON EVALUATION -- DRAFT

(Will supersede Mission Order #247 dated October 27, 1989)

I. Purpose

The purpose of this order is to document new procedures and responsibilities for strategic planning, monitoring and evaluation now being established in the Ecuador USAID Mission. Specifically, the order is intended to:

-- delineate procedures, roles and responsibilities in assessing achievement of the Mission's strategic objectives; and

-- focus the monitoring and evaluation process more clearly on identifying and addressing key management questions and results of Mission programs.

II. Background

In 1991, USAID/Ecuador initiated a process of focusing its program on a limited number of precisely defined strategic objectives. The strategic objectives represent Mission judgments regarding the ways in which it can achieve greatest impact in addressing constraints to development in Ecuador and contributing to achievement of A.I.D. and Latin America Bureau objectives. The Mission has achieved considerable progress in defining its strategic objectives, program outputs to support those objectives, and indicators of achievement. In this process, the Mission has sought to respond to Agency guidance calling for focusing and streamlining its programs for greater impact, and documenting results of those impacts.

The Mission's activities also form part of the development of the Agency-wide PRISM monitoring system, which is currently endeavoring to improve program performance reporting by individual Missions and by A.I.D. as a whole. The PRISM system is based on strategic objectives and indicators as generated and reported by Missions. Hence, the quality and accountability of the system as a whole is determined by the quality and precision of objectives and indicators developed at the Mission level.

As the second step of this process, the Mission is creating a program performance assessment system (PPAS), to be linked with improved project-level monitoring systems.

III. Procedures

1. Program Performance Assessment System (PPAS)

The Program Performance Assessment System (PPAS) is the principal instrument that will structure the Mission's program monitoring and evaluation. Through the PPAS, the Mission will gather, analyze, and present the data required to demonstrate the results of its activities at the program level.

Development of Strategic Objectives and the PPAS

The Mission first identifies four to six strategic objectives which are the highest-level objectives upon which the Mission expects to demonstrate impact in the medium term. The Mission then determines a number of program outputs which will be necessary to achieve those strategic objectives. Indicators to demonstrate achievement of strategic objectives and program outputs are then delineated and become the basis for measuring program progress and impact under the PPAS.

USAID/Ecuador has created six teams which will be responsible for monitoring achievement of each strategic objective, as well as the cross-cutting issue of policy reform. Mechanisms for collecting and analyzing data will be identified for each strategic objective, under direction of the strategic objective team leader with overall direction, approval and support from the Office of Project and Program Development (PPD). (See "Roles and Responsibilities" below). In all possible cases, the data requirements of the PPAS will be linked to data collected through project-level monitoring. Where PPAS data requirements are not filled by existing project-level data systems, the Mission will identify funds and develop mechanisms to gather these data, either through a designated project or through a separate data-gathering function. Procedures for data gathering, analysis and reporting are outlined in Annex 1, PPAS guidance ("Steps for.....)

To the greatest extent feasible, the PPAS will be developed collaboratively with project personnel involved in implementing projects which contribute to each strategic objective, including contractors and host-country counterparts. Strategic objectives, program outputs, and indicators should be discussed with counterparts and ample opportunities offered for feedback and suggested revisions. Similarly, roles and responsibilities in data collection and analysis should be negotiated with project personnel and external support provided as appropriate and feasible, in the form of full-time or interim monitoring and evaluation assistance.

Evaluations

The PPAS will include planning for program-level evaluation studies, including linkage studies to establish connections between program output and strategic objective achievement, and special

studies to answer specific management questions which cannot be verified through routine monitoring. The PPAS will also provide planning for evaluation of the Mission's identified cross-cutting issues. The recommendations from the evaluations and special studies shall be reviewed by the relevant parties following procedures similar to those for project specific evaluations (Annex 4). The nature and scope of the recommendations will determine the key parties who shall meet to discuss the recommendations, and determine those which are feasible and acceptable.

The strategic objective team leader in cooperation with Program Evaluation Coordinator (the person in the Program Division assigned responsibilities for coordinating and tracking evaluations) should complete the Evaluation Summary sheet (sample included as Annex 2), to be submitted with the copy of the full evaluation report to LAC/Development Planning and Programs, Strategy Development and Program Performance Division (LAC/DPP/SDPP) and to CDIE/DI.

It is expected that specific projects will be assigned action for implementation of most many of the recommendations. Action on them will be reported upon in the periodic reports the projects submit to the Mission. The strategic objective team leader will report on the status of implementation of the recommendations in his/her SAR report, using a format similar to that in Annex 4.

The Mission shall also plan and fund special studies on issues which cut across the strategic objectives, such as sustainability and gender. These will involve the participation of each strategic objective team leader in the planning and review process. PPD shall appoint the person to be in charge, depending upon the issue to be addressed.

2. Project Monitoring and Evaluation

Monitoring and Evaluation Plans

Each project is to have a monitoring and evaluation plan developed by the project officer and project team, consisting of key counterparts, contract personnel and PPD project development officer. They may be assisted by a consultant. The plan should detail procedures for providing an analysis of the project's progress, impacts, and needed modifications on a timely basis. Project monitoring plans should be focused on a few key management and strategic questions tied to decision-making needs of the project and senior Mission management. Timing of individual monitoring and evaluation activities should be determined by these decision-making points. Plans should be completed within the first six months of new projects. Development of the plan will be mentioned in the appropriate legal documents, such as contracts and cooperative agreements.

For full details on constructing an overall monitoring and evaluation plan and designing individual activities within the plan, refer to Annex 3, "Guidance for Developing a Project-level

Monitoring and Evaluation Plan". As noted in the preceding section, to the extent possible, project monitoring and evaluation plans will incorporate data requirements of the PPAS.

On-going projects should also have plans. The level and extent of these, however, will vary depending on the number of years until completion and the level of funding.

The Project Logical Framework

The project logical framework (logframe) continues to constitute the central point of departure for project-level monitoring and evaluation. Project officers should review existing project logframes with project directors to ensure that they accurately reflect project outputs, purposes, goals and assumptions, indicators and means of verification. These reviews should take place during development of the monitoring and evaluation plan, and at critical decision points. Particular attention should be given to reviewing and verifying linkages between the logframe's four objective levels (goal, purpose, output, input). In cases where elements or linkages of the logframe prove inadequate, the project officer should revise the logframe, seeking assistance from PPD where necessary. Substantive revisions of the logframe should be approved by PPD, and agreed upon by the Mission and implementing organization.

Evaluations

Project-level evaluations should be planned and scheduled with close reference to key management questions and decision-making points. In addition to major project evaluations, projects should employ rapid, low-cost study methods to answer specific questions which are not informed by routine monitoring. Scopes of work for project evaluations are to be completed following guidelines provided in the A.I.D. Evaluation Handbook. As also described in the Handbook, evaluation studies should include standard sections on findings, recommendations, and lessons learned. For each evaluation report, the evaluator should complete the Evaluation Summary sheet (sample in Annex 2). These will serve as a basis for collaborative meetings which will determine if the recommendations are acceptable to AID and the counterpart organization.

Follow-up on Evaluation Recommendations

Except when the nature of the evaluation activity specifically precludes sharing of information with individuals outside the Mission, the recommendations from evaluations will be reviewed by AID and counterparts to reach agreement on decisions which need to be made and actions to be taken. Some special evaluative studies will be subject to the same procedures, depending upon the decision of the chief of the technical division and chief of PPD. The

review meeting is to result in a list of recommendations. For each the following will be identified: the expected result, who has the major responsibility for action, when the action should begin and when the action should be completed. The time frame to be observed and the loci of responsibility are set out in Annex 4. Within 40 workdays of the receipt of the final evaluation report, the PES summary will be submitted to AID/W with copies to key counterpart organizations. Progress toward accomplishment of the recommendations shall be reported upon in the SAR reports and incorporated into a computer based tracking system kept by the Program Division.

3. Collaborative Reviews

Projects shall have collaborative reviews scheduled in their Monitoring and Evaluation Plan. Such reviews will include representatives from USAID, contractors and relevant counterpart organizations. There will be basically two types of collaborative reviews. The first type will normally be held prior to Mission semi-annual review meetings. It will center on issues which require decisions to be made as well as on project progress and achievements.

Second, collaborative meetings will be held to discuss recommendations from project specific and program level studies and evaluations. The objective of such meetings will be for USAID, contractors and counterparts to reach agreement on recommendations that are acceptable and feasible to implement, and to assign specific action responsibilities and deadlines to clear such recommendations. In regard to recommendations determined unacceptable and unfeasible even in a revised form, the Project Officer shall place a note in the files briefly specifying why each was rejected. For each recommendation accepted, the participants should specify the expected result and this shall be recorded and filed.

4. Internal Mission Program Reviews

The Semi-Annual Review meetings will focus on strategic objectives and the individual projects under each. Each strategic objective team leader will prepare an overview report on progress and issues under the strategic objective, following guidance by PPD. The individual projects will also prepare reports, following guidance issued by PPD. The reports will include a brief summary on implementation of actions agreed upon in collaborative reviews based on evaluations and special studies. (See Annex 4 for a sample form.)

The SAR presentations will be to the Mission Director, the Deputy Director, and the SO team as well as others determined by the Mission Director. This will allow for greater discussion of impact issues and attention to critical management decisions in light of

the strategic objective.

5. Reporting to A.I.D./Washington

Semi-annual Reports (SARS)

Information generated by the PPAS on program performance, progress and constraints encountered in working toward strategic objectives will be reported in the Semi-Annual Reports (SARs). In addition to project-specific reports, included in the SAR should be a brief account of Mission performance as reflected in program performance and program output indicators. During the interim period in which the Mission is still developing its PPAS indicators and data-gathering mechanisms, the SAR should discuss the Mission's progress in developing the PPAS. The SAR guidance requires a summary of evaluations scheduled under each project; plans for program-level evaluations, linkage studies, and cross-cutting studies should also be included.

*Refer to Annex 5, SAR Guidance Memorandum from LAC/DR, Terrence J. Brown, 4/90.

Action Plans

Mission performance in relation to its strategic objectives and LAC Bureau objectives is reported to AID/Washington annually in the Action Plan. Information generated by the PPAS will be reported both in the Action Plan narrative and in tables demonstrating Mission performance in relation to each of its strategic objectives. Reporting of impact on Mission and LAC Bureau objectives is given particular emphasis under the existing Action Plan guidance. Mission plans for evaluating its activities at the program level over the two-year Action Plan period will also be reported.

*Refer to Annex 6. Action Plan guidance, Memorandum from LAC/DPP, Bastiaan Schouten and LAC/DR, Peter Bloom, to LAC Bilateral Missions, 10/31/90.

IV. Roles and Responsibilities

A. Strategic Objective Team Responsibilities

The Mission has created six teams of 6-8 persons each to take responsibility for management and monitoring achievement of each strategic objective, as well as the cross-cutting issue of policy reform. Each team is constituted by a team leader, a number of staff members involved in the sector where the strategic objective lies, staff members from other offices, and key counterpart representatives and contractors.

The strategic objective team, under the direction of the team leader, will be responsible for developing a plan for data collection, monitoring and evaluation of the strategic objective. This will include assignment of specific tasks to team members in cooperation with relevant counterpart personnel. Tasks involved in defining and clarifying the strategic objective and program outputs, gathering and analyzing data, and using and reporting the information gathered will be defined by the team under the direction of the team leader in cooperation with project personnel. In most cases, tasks relating to defining the strategic objective program will be assumed by the strategic objective team and team leader, while tasks of data gathering and collection may in many cases be the responsibility of specific projects. Activities relating to reporting and use of the data gathered will be the responsibility of the strategic objective team unless decided otherwise.

The strategic objective team leader is responsible for ensuring that adequate support is identified for planning and implementation of his/her portion of the Program Performance Assessment System. This responsibility includes notification of PPD in a timely manner of needs for support and corresponding resource requirements. In addition, the team leader will maintain contact with the relevant project officers in relation to their projects' timely contribution of data and analysis to the PPAS. The team leader will prepare the semi-annual review report on the strategic objective.

B. Project Officer and Project Team Responsibilities

Under the direction of the office chief, each Project Officer is responsible for ensuring adequate monitoring and evaluation in the project he/she manages. This responsibility includes the development of a project specific monitoring and evaluation plan, following Guidance on Developing A Project - Level Monitoring and Evaluation Plan (Annex 3), for each new project and existing projects identified by PPD. The Project Officer will carry out these responsibilities by working in collaboration with a Project Committee composed of key project contractors and counterparts.

It will be the responsibility of the Project Officer and Project Committee to:

1. Develop the project monitoring and evaluation plan. They will specify the information required, what monitoring and evaluation activities should be conducted, and how information will be gathered, analyzed and presented for each activity.

2. Assign persons to be responsible for specific monitoring activities and oversee their work.

3. Plan evaluations and special studies in a timely manner. The Project Officer will prepare a draft scope of work for review by the Project Committee, the Office Chief and PPD.

4. Review drafts of evaluations and special studies for clarity, and to ensure that the report explains the methodology used and purpose of the evaluation or study. They shall also ensure that the report clearly delineates findings, conclusions and recommendations, and that major conclusions are supported by data.

   The P.O shall organize debriefing meetings for the Mission to include (as a minimum) the Program Evaluation Officer, a project development officer, the relevant SO team leader, the Office Chief, the Mission Director and/or the Deputy Mission Director, and when appropriate the leader of the policy issues team and Women in Development Officer.

   The Project Officer shall help to ensure that debriefing meetings are held for the counterpart managers and technicians, and other key stakeholders.

5. Follow-up on recommendations from evaluations and special studies. In particular, after receipt of an evaluation report, the Project Officer shall (a) request an issues paper from the Program Division within 5 workdays of receipt of the report (b) schedule a collaborative meeting to review the recommendations within 25 workdays of receipt of report (c) ensure that an adequate record is kept of the results of the meeting, and (d) help ensure that the recommendations are carried out within the specified period (see Annex 4).

6. Ensure that periodic reports submitted by projects to USAID follow the agreed upon format and schedule. The report should specify progress in meeting indicators which form part of the PPAS as well as other indicators determined by the project specific monitoring and evaluation plan or log frame. When applicable, progress in implementing recommendations accepted at collaborative review meetings shall also be reported upon, following the format given in Annex 4.

   Mission management meetings are the main component of semi-annual review process. The Project Officer in collaboration with the controller and respective project development officer shall brief mission management on progress, problems and issues. The mission director shall determine the persons in attendance and agenda.

7. Keep the strategic objective team leader and crosscutting issues team leaders informed. The Project Officer shall report at least quarterly to the strategic team leader on the status of meeting deadlines for data required on program and strategic objective indicators. The Project Officer will also brief the SO team leader on any issues and problems which may prevent achievement of target indicators.

C. PPD Responsibilities

PPD has the overall responsibility to direct, supervise and monitor the mission PPAS and project level monitoring and evaluation activities. Until such time that the mission has a fulltime evaluation officer, the chief of PPD shall assign the following functions within PPD:

1. Review all new project papers and Program Assistance Approval Documents (PAADs) to ensure that monitoring and evaluations are adequately planned for and budgeted.

2. Obtain on behalf of strategic objective teams additional resources for carrying out specific tasks.

3. Identify in collaboration with strategic objective team leaders specific activities needed to be carried out on cross cutting issues and obtain the requisite resources.

4. Work closely with strategic team leaders and project officers to develop an annual evaluation schedule. In addition, assist the responsible officers to identify appropriate personnel for conducting the studies.

5. Approve scopes of work for evaluations, special studies and technical assistance associated with the PPAS or project specific monitoring and evaluation plans.

6. Approve project-level and strategic objective monitoring and evaluation plans.

The Program Division of PPD has specific responsibilities in following up and tracking recommendations from evaluations and special studies. In particular the Program Evaluation Coordinator shall:

1. Prepare an issues paper that will guide discussion of the collaborative review meeting and distribute it to participants in a timely manner.

2. Write the Project Evaluation Summary (PES), in collaboration with the corresponding technical office and with counterparts, in which those recommendations that have been agreed upon for action will be duly recorded.

3. Submit the PES to AID/W with copies to key counterpart organizations within 40 days of Mission receipt of the evaluation report.

4. Keep and update a Mission tracking system of progress in carrying out recommendations emanating from special project studies, project evaluations, and program level studies which have been agreed upon by the Mission and key counterpart organization. The data base will be kept by project and by strategic objective.

D. Other Mission Responsibilities

1. The chief of a technical office is responsible for ensuring that monitoring and evaluation is covered in new design efforts. For each Project Paper and Program Assistance Approval Document, an evaluation specialist or member of the design team is to be charged with developing a preliminary summary of the components of the monitoring and evaluation plan, and specifying the resources required to develop and implement the plan. The Chief of the Office shall help to ensure that adequate funds are budgeted taking into account the need to collect and analyze data for the PPAS.

2. The chief of a technical office is responsible for ensuring that an appropriate paragraph (section) on cooperating with AID in gathering and analyzing data required under the PPAS and in developing and implementing a project-specific Monitoring and Evaluation Plan is written for inclusion in project bids, project agreements, cooperative agreements and project contracts.

3. The contracts officer shall help to ensure that requests for proposals, and contracts and cooperative agreements contain the appropriate language on monitoring and evaluation.

4. Senior mission management has the responsibility to communicate to Strategic Objective Teams and Project Committees their needs for data to help them make decisions on priority management issues, and to meet specific accountability requirements.

E. Evaluation Resources

It is recognized that the technical offices and PPD are not adequately staffed with trained personnel to carry out the above responsibilities. As an interim measure short term technical assistance will be used to provide the necessary expertise. The Mission shall endeavor, however, to hire a

full-time evaluation specialist on a personnel services contract (PSC). The evaluation PSC shall provide technical assistance and logistical support to Mission personnel, contractors and officers to implementing organizations.

Specific tasks will include most of those mentioned above under PPD responsibilities. In addition the PSC shall carry out the following:

1. Identify specific training needs of key staff related to monitoring and evaluation and where possible draw upon existing resources to upgrade the skills and knowledge of these staff.

2. Work with technical offices to develop and periodically update a computer-based listing of key local consultants and local consultancy firms, noting experience in evaluations. (To the extent possible local consultants should be included on evaluation teams.)

3. Monitor cross cutting issues, determine the need for special studies of these and draft scopes of work for the studies. Take major responsibilities for one or more of the cross cutting issues e.g. donor coordination, gender or sustainability.

4. Review drafts of evaluation reports and provide guidance to contract teams.

5. Provide inputs for the annual evaluation plan and the narrative section on lessons learned from recent evaluations for the annual congressional presentation.

6. Serve as a resource person for strategic objective and project teams. Assist them with carrying out their designated responsibilities.

V. Annexes

1. PPAS guidance, "Steps for USAID/Ecuador to Install and Use an Effective Program Performance Assessment System (PPAS).
2. Sample evaluation summary form.
3. "Guidance for Developing a Project-level Monitoring and Evaluation plan".
4. Follow-up on Evaluation Recommendations.
5. SAR Guidance Memorandum from LAC/DR, Terrence J. Brown, 4/90, and related memoranda from Charles Costello.
6. Action Plan guidance, Memorandum from LAC/DPP, Bastiaan Schouten and LAC/DR, Peter Bloom, to LAC Bilateral Missions, 10/31/90.

VI. References

1. Guidance on use of the logical framework
2. A.I.D. Evaluation Handbook

STEPS FOR USAID/ECUADOR TO INSTALL AND USE

AN EFFECTIVE PROGRAM PERFORMANCE ASSESSMENT SYSTEM (PPAS)

Presented to:

PPAS Strategic Objective Teams
USAID/Ecuador

Presented by:

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September 27, 1991

COMMON TERMS USED IN THE PPAS

STRATEGIC OBJECTIVES (SOs): The 4-6 highest level objectives within the "manageable interest" of an USAID Mission on which the Mission's activities can be expected to show substantial progress in the medium term (3-7 years).

PROGRAM: The sum of all project, non-project, policy dialogue, and other actions undertaken by the Mission in pursuit of a given strategic objective.

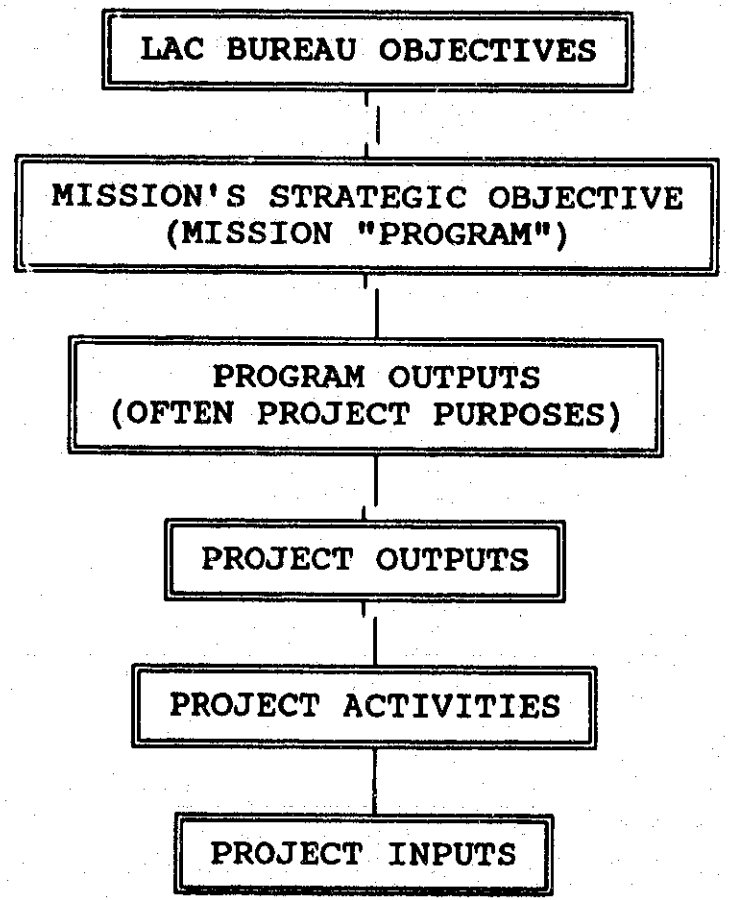
PROGRAM PERFORMANCE INDICATORS (PPIs): Criteria for determining or measuring progress toward the attainment of Strategic Objectives.

PROGRAM OUTPUTS (POs): The major accomplishments for which the Mission is willing to accept direct responsibility in its efforts to achieve its Strategic Objectives.

OUTPUT INDICATORS (OIs): Criteria for determining or measuring progress toward the attainment of Program Outputs.

CONNECTIONS AMONG MISSION-LEVEL EFFORTS

AND LAC BUREAU OBJECTIVES



OVERVIEW

In order to install and use an effective Program Performance Assessment System (PPAS) in USAID/Ecuador, each Strategic Objective (SO) manager and SO team must oversee the completion of basic tasks: (1) define the "program" represented by each SO, (2) tie program-level indicators on-going projects, (3) gather the data necessary to track performance on each SO and on each SO Program Outputs (POs), (4) analyze the data gathered, and (5), perhaps most importantly, use an report the findings from these analyses.

These five tasks assume that the Mission has already (a) determined the program areas in w SOs will be established and has also (b) established 4-6 specific SOs. The remainder of this document details the specific steps which must be completed for each specific SO.

STEP #1: DEFINE THE "PROGRAM"

* Confirm the appropriateness of each SO, making changes if necessary. An appropriate SO (a) directly supports one or more LAC and/or AID objectives (as stated in PRISM), (b) represents a commitment between the Mission and the LAC Bureau, (c) precisely states the impacts being sought (not the means to achieve those impacts, and (d) accesses sufficient resources to attain the objective.

* Establish the relevant Program Outputs (POs) for each SO. Each PO (often equal to project purposes) should represent accomplishments for which the Mission accepts direct responsibility during the shorter term 2-5 years) in its efforts to achieve each SO.

* Confirm the appropriateness of each PO, making changes if necessary. An appropriate PO (a) accurately reflects the purposes and/or outputs of project and non-project activities supporting the PO, (b) is clearly linked to the SO, (c) when combined with other POs, represents a necessary and sufficient contribution for reaching each SO, and (d) reflects interim progress toward reaching that SO.

RESOURCES AVAILABLE:					
SO Mgr	SO Team	Proj Mgr	USAID M&E	Proj Dir	Proj M&E

Create a detailed objective tree for each SO. These visual displays of a Mission's program typically contain the LAC Bureau objectives and sub-objectives being supported, the specific Mission SO, each PO supporting the SO, and the specific lower-level activities supporting each PO.

Establish 2-4 Program Performance Indicators (PPIs) for each SO. PPIs are the objective criteria, usually quantifiable, for determining or measuring progress toward accomplishing the SO. An appropriate PPI (a) measures a useful (relevant, objective, valid) dimension of the SO, and (b) ideally represents people-level impact of the program.

Establish Output Indicators (OIs) for each PO. OIs are the objective, usually quantifiable measures of progress toward accomplishing each PO.

Precisely define each PPI and OI. Decide if each indicator can be measured directly or requires a "proxy" measure, and see if multiple measures can be obtained with little additional effort. Keep each PPI and OI as simple as possible.

Determine the scope of each PPI and OI. Establish the time periods, geographic areas, populations of interest, and specific actions to be measured. If sampling is required, develop an appropriate sampling strategy based on these decisions.

Determine how frequently each PPI and OI needs to be measured. Some PPIs and OIs might need to be measured monthly, quarterly, semi-annually, or annually, while others might be needed less frequently.

RESOURCES AVAILABLE:					
SO Mgr	SO Team	Proj Mgr	USAID M&E	Proj Dir	Proj M&E

TEP #2: TIE PROGRAM-LEVEL INDICATORS TO ON-GOING PROJECTS

Examine all projects under the "program portfolio" to determine what data each project is already collecting. If certain PPIs or OIs are already being measured in exactly the proper form, these data can be used for the PPAS with no extra effort.

Determine which, if any, PPIs and OIs are not being measured via current project efforts. If certain PPIs or OIs are currently not being measured, special plans will be needed to begin measuring each one.

Determine what data exist in sources outside specific projects. To the extent possible, PPIs and OIs should be obtained from secondary data (from censuses, routine surveys, administrative records, economic and trade statistics, etc.) which are already available or easily retrievable. Original data collection efforts should be kept to a minimum.

For project-specific PPIs and OIs, build into the M&E plan any project special data-collection efforts which are needed. Add these data-collection efforts to the plans already in place for the project.

For PPIs and OIs which cut across projects, develop special data-collection efforts which combine projects and/or exist independent of projects. Certain PPIs or OIs may need to be collected via joint efforts of multiple projects or via extra-project efforts.

RESOURCES AVAILABLE:					
SO Mgr	SO Team	Proj Mgr	USAID M&E	Proj Dir	Proj M&E

EP #3: GATHER THE DATA

Determine the best sources for any new data which are needed. Use easily accessible sources whenever possible, and use multiple sources if they can be accessed with little additional effort. In some cases it may be appropriate to strengthen the capacity of public, non-profit, or private entities to collect on a regular basis the needed data.

Pilot-test all data collection procedures and instruments. Before investing in a large effort, actually try out all data collection procedures as planned in order to ensure that the needed data can be collected and that what results is what is needed.

Gather the needed data. Depending on the data needed, use document reviews (of various types of documents), group discussions, sample surveys, mail questionnaires, (for certain types of respondents), focus groups, downloading existing computerized data, site visits, case studies, remote sensing, rapid rural appraisal techniques, tests/demonstrations, role playing, client-level record reviews, unobtrusive measures, interviews, systems analysis, true experiments, observations, formal operations research methods, and/or retrieving program data or statistics.

If possible, calculate each PPI and OI for recent years. To compare current vs. past performance trends, develop as long a "pre-intervention" baseline as possible for each PPI and OI.

Establish performance targets for each PPI. These targets represent the performance improvements expected in each PPI, usually on an annual basis, for the next 2-3 years.

RESOURCES AVAILABLE:					
SO Mgr	SO Team	Proj Mgr	USAID M&E	Proj Dir	Proj M&E

	RESOURCES AVAILABLE:					
	SO Mgr	SO Team	Proj Mgr	USAID M&E	Proj Dir	Proj M&E

EP #4: ANALYZE THE DATA

Verify the quality of the data. The overall accuracy, timeliness, and relevance of data should be certified before any analyses are conducted. This can be done by looking for internal consistency or by cross-checking against data known to be of high quality.

Compare current performance against multiple criteria. For each PPI and OI, display current performance compared to (a) past performance, (b) targeted performance, and (c) as many other relevant benchmarks as possible.

Look for relationships among PPIs and OIs. In order to discover which POs might be "causing" overall program-level improvements, search for those OIs which correlate most closely with progress on PPIs.

Analyze cost-effectiveness, if appropriate. Divide the total impacts of the program by the total costs of the program activities to approximate the value received for each dollar expended.

Specify the limits of each finding. Be clear what each finding does and does not convey, so that findings are not over-generalized beyond their true meaning.

EP #5: USE AND REPORT THE FINDINGS

Display all findings in "user-friendly" ways. Use carefully designed graphics and tables to allow all audiences to easily understand exactly what was found.

Bring the findings to life. Include direct quotes, anecdotes, true-life incidents, case studies, photographs, etc. with all analyses in order to retain the humanity of the findings and their implications.

	RESOURCES AVAILABLE:					
	SO Mgr	SO Team	Proj Mgr	USAID M&E	Proj Dir	Proj M&E
Initiate a formal, Mission-wide process to interpret the findings. Rather than accept the numerical results as given, hold free-flowing discussions of the possible meanings and implications of each finding. As part of this process, bring in all other relevant information. Possibly marshal evidence to support three separate interpretations for each finding: (1) an optimistic interpretation attributing as much credit to USAID as possible, (2) a pessimistic interpretation attributing very little credit to USAID, and (3) a moderate interpretation between the two extremes. Encourage "Devil's advocating" and "point-counterpoint" discussions to highlight these different possible interpretations.						
Determine what additional information would be useful/needed. If the process of interpreting the findings raises additional questions or reveals gaps in the Mission's knowledge, determine what information is needed and how it can best be obtained (including special small-scale studies when appropriate).						
Feed the findings and interpretations directly into the SAR, Action Plan, and every other aspect of the Mission's management process. For example, the findings could be presented and discussed during: budget discussions, programming decisions, SOWs for new designs or evaluations, briefings on evaluation reports or audits, development of the CDSS, periodic reviews of programs with government and non-government organization counterparts, staffing analyses, senior management individual performance reviews, office retreats, etc.						

	RESOURCES AVAILABLE:					
	SO Mgr	SO Team	Proj Mgr	USAID M&E	Proj Dir	Proj M&E
Determine the relevant other audiences for the findings. Outside the Mission, many others are also interested in the PPAS findings and interpretations: AID/Washington, government counterparts, non-government collaborating organizations, the Ambassador, etc.						
Develop recommendations for future actions. Based on the Mission's best interpretations of the findings, recommend specific actions for each program or project.						
Report the findings - with the Mission's best interpretations - to these audiences. Provide personal briefings, videotapes, written reports, etc. to each audience as appropriate. Written products can include formal reports, internal memos, personal letters, speeches, policy dialogue tools, reports to the Ambassador, newspaper items and op-ed columns, articles in development journals, contributions to AID newsletters, "lessons learned" memos on substantive or procedural issues, etc.						

1. BEFORE FILLING OUT THIS FORM, READ THE ATTACHED INSTRUCTIONS.
2. USE LETTER QUALITY TYPE, NOT "DOT MATRIX" TYPE.

IDENTIFICATION DATA

A. Reporting A.I.D. Unit:

Mission or AID/W Office _____
(ES# _____)

B. Was Evaluation Scheduled In Current FY Annual Evaluation Plan?

Yes ☐ Slipped ☐ Ad Hoc ☐

Evaluation Plan Submission Date: FY ____ Q ____

C. Evaluation Timing

Interim ☐ Final ☐
Ex Post ☐ Other ☐

D. Activity or Activities Evaluated (List the following information for project(s) or program(s) evaluated; if not applicable, list title and date of the evaluation report.)

Project No.	Project /Program Title	First PROAG or Equivalent (FY)	Most Recent PACD (Mo/Yr)	Planned LOP Cost (000)	Amount Obligated to Date (000)

ACTIONS

E. Action Decisions Approved By Mission or AID/W Office Director

Action(s) Required	Name of Officer Responsible for Action	Date Action to be Completed

(Attach extra sheet if necessary)

APPROVALS

F. Date Of Mission Or AID/W Office Review Of Evaluation: (Month) (Day) (Year)

G. Approvals of Evaluation Summary And Action Decisions:

	Project/Program Officer	Representative of Borrower/Grantee	Evaluation Officer	Mission or AID/W Office Director
Name (Typed)				
Signature				

ABSTRACT

H. Evaluation Abstract (Do not exceed the space provided)

COSTS

I. Evaluation Costs

1. Evaluation Team		Contract Number OR TDY Person Days	Contract Cost OR TDY Cost (U.S. $)	Source of Funds
Name	Affiliation			

2. Mission/Office Professional Staff Person-Days (Estimate) _____

3. Borrower/Grantee Professional Staff Person-Days (Estimate) _____

A.I.D. EVALUATION SUMMARY – PART II

SUMMARY

J. Summary of Evaluation Findings, Conclusions and Recommendations (Try not to exceed the three (3) pages provided
Address the following items:

- Purpose of evaluation and methodology used
- Purpose of activity(ies) evaluated
- Findings and conclusions (relate to questions)
- Principal recommendations
- Lessons learned

Mission or Office:	Date This Summary Prepared:	Title And Date Of Full Evaluation Report:

ATTACHMENTS

K. Attachments (List attachments submitted with this Evaluation Summary: always attach copy of full evaluation report, even if one was submitted earlier; attach studies, surveys, etc., from "on-going" evaluation, if relevant to the evaluation report.)

COMMENTS

L. Comments By Mission, AID/W Office and Borrower/Grantee On Full Report

GUIDANCE ON DEVELOPING

A PROJECT-LEVEL MONITORING AND EVALUATION (M&E) PLAN

USAID/Ecuador

September 27, 1991

1 - WHAT IS THE PURPOSE OF THIS MONITORING AND EVALUATION (M&E) PLAN?

It takes time and effort to write an M&E plan, so every one should be written for very specific reasons, not simply to satisfy an Agency requirement. But what are those reasons? Why is this M&E plan being written, and how will it contribute to managing the project most effectively?

Users/Audiences	* Who will be the primary users/audiences for the findings resulting from this M&E plan?
	* Which other secondary users/audiences will also be interested in these findings?
Findings	* What types of findings will this M&E plan produce (e.g., descriptions, comparisons, insights, predictions, etc.)?
	* How will this plan provide information on program-level progress toward one or more of the Mission's strategic objectives?
	* How will this M&E plan produce specific, practical recommendations for the future?
Use of findings	* How will the different users/audiences use the findings from this M&E plan?
	* How will these findings shed light on program-level progress?
	* Should these findings be used in conjunction with other information? If so, what other information?

2 - WHAT IS THE PROJECT BEING MONITORED AND/OR EVALUATED?

Every M&E plan is different because each one is tailored for a specific, different project. The unique aspects of each project require that unique aspects be built into the M&E plan. But what is the unique project being monitored and/or evaluated?

Project description	* What exactly is the project being monitored and/or evaluated? What are the key elements of its logical framework?

matrices, decision trees, maps, graphs, tables, charts, etc.)

Ties to program level	*	Does this project support any Mission programs aimed at one or more strategic objectives? If so, which ones and how?
Overall clarity	*	Are key terms and concepts about this project defined in simple, non-technical language? Is a glossary needed for those technical terms which must be used?

3 - WHAT INFORMATION DOES THIS M&E PLAN NEED TO PRODUCE?

M&E plans are written and implemented in order to provide useful information about the project. But many different types of information can be useful throughout the life of a project, so which is most important? Furthermore, certain information might be most useful at certain times, while other information might be most useful at other times. What information is needed, and when will it be most useful?

Types of information	*	What types of information (On-going activities? Progress of implementation? Likelihood of success? Potential or emerging problems? Best operating practices? Overall project impact? Unexpected effects?) must this M&E plan produce?
	*	How "hard" (quantitative, numerical) must this information be to convince the eventual users?
Timing	*	When during the life of the project would each type of information be most useful?
Specific questions	*	What are the specific questions which this M&E plan needs to answer? What questions flow from the outputs, purpose, and goal levels of the project logframe? What questions flow from the information needs of the project managers and implementers?
	*	What questions flow from the Mission's information needs at the program level? What questions must be answered to address progress toward one or more strategic objectives?
	*	Have only a limited, manageable number of questions been identified, so that this M&E plan can be implemented with reasonable time, effort, and funds?

4 - WHAT SPECIFIC MONITORING OR EVALUATION ACTIVITIES WILL BE CONDUCTED?

During the life of a project, information can be gathered about the project in a variety of analytic techniques, including on-going monitoring systems, regularly scheduled evaluations, special studies, etc. Choosing the proper combination for each particular project is an important ingredient of an effective M&E plan? Which combination of these techniques is best for this particular project?

Types of activities

* Given the specific questions to be answered, what types of M&E activities will this M&E plan include? On-going performance monitoring? Baseline studies? Special "linkage" studies to verify the assumptions in the project logframe? Special case studies of unusual situations? Regularly scheduled project evaluations?

Timing

* Exactly when will each particular M&E activity be conducted?
* Is this schedule appropriate for studying this project in its "normal" status? Does this overall M&E schedule take account of the appropriate time of year, month, or day to study this project?
* Are there completion dates which must be met in order to stay coordinated with other important activities?
* Are there interim dates when preliminary findings would be especially useful?

5 - HOW WILL INFORMATION BE GATHERED FOR EACH SPECIFIC M&E ACTIVITY?

Once the proper combination of M&E activities has been decided, it is important that the needed information be properly gathered for each activity. There are many different ways to gather information, and the proper choice can be critical to the success of any M&E activity. Will the activity gather quantitative information through highly structured techniques, or will it gather more qualitative information through less structured techniques? Or will both types of information be gathered? Which choices are best for each activity?

Scope

* What will be the limits of each M&E activity (geographic areas, time periods, organizations, etc.)?

Sources	* What are the best sources from which to obtain the needed information?
Sampling plan	* What are the important units to study during each M&E activity? (persons, hospitals, villages, etc.?) What is the "sampling frame" - the total universe of all of these units?
	* What is the purpose of the sampling? What statements must each M&E activity make about the information gathered from those units which are sampled?
	* Given this purpose, will each M&E activity use probability (random) or non-probability (purposive) sampling?
	* If random sampling, will each M&E activity stratify the units into different categories from which to sample? If so, have all relevant categories been included (e.g., lower level staff as well as top administrators, rural sites as well as urban sites)?
	* Who will do the sampling? What will be the exact procedures used?
	* What specific sites, respondents, information sources, etc. will be included in each M&E activity?
	* How many of each will be sampled? Why this number?
Information gathering	* How exactly will the needed information be gathered during each M&E activity? Document reviews? Group discussions? Sample surveys? Mailed questionnaires (for certain types of respondents)? Focus groups? Downloading existing computerized data? Site visits? Case studies? Remote sensing? Participatory Rural Appraisal techniques? Tests/demonstrations? Role playing? Record reviews (at client level, etc.)? Unobtrusive measures? Interviews? Systems analysis? True experiments? Observations? Formal operations research methods?
	* How will each M&E activity ensure that information gathered is current?

Instruments	* What "instruments" (discussion guides, record review forms, observation protocols, etc.) will be used to collect the needed information during each M&E activity?
	* How will these instruments contain an appropriate mix of structured and unstructured items?
	* How will these instruments be pilot tested under realistic conditions to ensure that they work as needed? Will necessary revisions be made?
	* How will these instruments leave a way to follow important, unexpected leads which surface during each M&E activity?
Ethical safeguards	* How will each M&E activity select, inform, treat, measure, report, and reveal information in ways not to harm project participants in any way?
	* Have these safeguards been reviewed and approved by outside persons?

6 - HOW WILL THE INFORMATION FROM EACH M&E ACTIVITY BE ANALYZED?

Gathering the needed information in the proper ways is important, but this information becomes useful only after it is analyzed to provide credible answers to the important questions which stimulated the M&E activity in the first place. But there are many possible ways to analyze information, and which ones are most appropriate for each M&E activity?

Accuracy checks	* How will the information gathered be checked for its accuracy?
	* Will additional, independent sources of information also be used? If so, which sources?
New variables	* Will new variables, indices, etc. be created for these analyses? If so, which ones?
Analyses	* Exactly how will the information gathered be analyzed? What types of tables, graphics, etc. will result?

* How will the analysis compare the existing situation to appropriate performance standards? If so, what standard(s)? Performance in the past? In control or comparison groups? Performance elsewhere? Ideal performance? Expected performance? Performance in similar situations?

* How will any cost analyses be conducted? If so, will this include cost-feasibility, cost-utility, cost-effectiveness, and/or cost-benefit analyses?

* What will be the limitations of the analyses? What will they not be able to accomplish?

7 - HOW WILL THE FINDINGS FROM EACH M&E ACTIVITY BE PRESENTED?

Once the analyses produce the answers to the important questions, these answers must be communicated to the proper audiences. Only then can these audiences use the findings to improve the project and to report on its progress. But there are many different ways to report findings from a M&E activity, and which ones are most appropriate for each situation?

Products

* In addition to any formal reports, how will the findings from each M&E activity be communicated in the most effective way? By multiple smaller reports? Personal briefings? Internal memoranda? Videotapes? Progress reports? Personal letters? Speeches? Policy dialogue tools? Newspaper items? Articles in development journals and/or USAID newsletters?

8 - WHAT RESOURCES ARE NEEDED FOR EACH M&E ACTIVITY?

Every M&E activity involves the expenditure of valuable resources - resources which could be spent on other activities. For that reason, the resources needed for each M&E activity should be carefully justified and spent. But what resources are needed for each M&E activity?

Funds

* How much will each M/& activity cost? From where will these funds come?

Roles/responsibilities

* Who will conduct each M&E activity? What will be done by in-house staff, project grantees, outside contractors, etc?

* What is necessary in order to secure the assistance of these various persons?

Materials

* What physical materials will be needed to conduct each M&E activity? How will these be obtained?

This Working Draft was Presented to:

All Project Staff
USAID/Ecuador

Presented by:

Karen Anderson, LAC/DPP, Team Leader
Edgar Ariza-Niño, R&D/WID
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Patricia Vondal, AID/CDIE

September 27, 1991

OVERVIEW OF AN EFFECTIVE MONITORING AND EVALUATION PLAN

Over the life of a project, we need to learn different things at different times. At i beginning, we naturally need to learn about progress in implementation and about any potenti emerging problems. As a project becomes fully operational, we just as naturally also need t learn about the likelihood of success and about best operating practices. As a project near completion, we need to learn about its overall impacts and any unexpected effects.

The matrix below shows the nine aspects of an M&E plan and reminds us that we must addr each aspect differently during a project's different phases. The purpose of our M&E activit example, will vary over the LOP, as will the research design we use, the type of information gather, the analyses we conduct, etc. for all the nine aspects. Considering each of these n aspects in light of the information needs of the moment is key to an effective, useful M&E p

ISSUE AREAS FOR A MONITORING AND EVALUATION PLAN	PHASE OF PROJECT FOR M&E ACTIVITY		
	EARLY IMPLEMENTATION	FULLY OPERATIONAL	PROJECT COMPLETIO
1 - PURPOSE OF THE M&E ACTIVITY			
2 - PROJECT BEING MONITORED/EVALUATED			
3 - MONITORING/EVALUATION DESIGN			
4 - INFORMATION TO BE GATHERED			
5 - PLANS FOR ANALYZING DATA			
6 - PRODUCTS FROM THE M&E ACTIVITY			
7 - ETHICAL CONCERNS TO BE ADDRESSED			
8 - RESOURCES NEEDED FOR THE M&E ACTIVITY			

Follow-up on Evaluation Recommendations

After each major evaluation, the Project Officer will be responsible for calling a meeting of the major managers, that is those in USAID, the contract team and implementing organization to reach agreement on decisions which need to be made and actions that should be taken. The evaluation report with its recommendations, conclusions and findings will serve as the background document. The Program Division will develop an issues paper which will serve as the basis for discussions at the collaborative review meeting. The meeting is to result in a list of recommendations. For each recommendation the following will be identified: the expected result, who has the major responsibility for action, when the action should begin and by when the action should be completed.

The following sets forth the steps that shall be observed and specifies the time frame and loci of responsibility for each.

- within 5 work days of receipt of evaluation report, an issues paper shall be requested from the Program Division (AID Project Officer)

- within 10 work days of receipt of the evaluation report, the date shall be set for the collaborative review meeting and written notices distributed to the expected participants (together with a copy of the evaluation report if not previously sent) (AID Project Officer)

- the issues paper will be circulated to participants at least 5 work days before the review meeting (Program Division)

- within 25 work days of receipt of receipt of evaluation report, the collaborative review meeting shall be held (AID Project Officer)

- within 40 work days of the receipt of final evaluation report, a PES summary is submitted to AID/W with copies to key counterpart organizations (Program Division)

Once there has been agreement between USAID and the key parties, the status of each recommendation will be reported upon in the project's regular reports to AID. A format similar to that shown below shall be used in the SARs to monitor action on the recommendations.

In regard to the evaluation report recommendations found unacceptable and unfeasible even in a revised form, the Project Officer shall place a note in the files briefly specifying why each was rejected. For each recommendation accepted, the participants should specify the expected result and this should be recorded and

filed.

FORMAT FOR SAR REPORT

Recommendation	Action by (person (s) and organization)	Date to begin (mth/yr)	Date to complete (mth/yr)	Status	Comments
1.					
2.					
3.					
4.					

Status Code:

1 not begun

2 in progress, satisfactory with minor or no problems

3 in progress, moderate problems (significant but not crucial)

4 in progress, major problems causing delays

5 action officially deferred/eliminated/canceled

6 completed actions, led to results expected with minor or no differences

7 completed actions, did not achieve expected results

8 completed actions, unable to determine results

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.

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

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.

FILE:FINSAMPL

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

(1) PROJECT NO.	(2) PROGRAM/ PROJECT TITLE	(3) CATE-GORY	(4) DATE OF INIT. OBLIG.	(5) LAST REVISED PACD	(6) % OF LOP ELAPSED	(7) % OBLIG. EXPEND.	(8) AUTH. LOP AMOUNT	(9) CURRENT FY OBLIG. TO DATE	(10) CUMUL. AMOUNT OBLIG.	(11) MORTGAGE	(12) BEGINNING FY PIPELINE	(13) PLANNED SEMESTER EXPEND.	(14) ACCRUED SEMESTER EXPEND.	(15) ACCRUED AS % OF PLANNED	(16) CUMULATIVE ACCRUED EXPEND.	(17) ENDING PIPELINE	(18) 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	(8)-(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	56%	40%	5,500	0	4,000	1,500	3,079	250	660	264%	1,581	2,419	250
	(L)	B	28-Aug-85	30-Jun-90	85%	97%	17,300	0	17,300	0	9,230	0	0	0%	8,070	9,230	6,000
SUBTOTAL ACTIVE PROJECTS					56%	40%	22,800	0	21,300	1,500	12,309	250	660	132%	9,651	11,649	6,250
TERMINATED PROJECTS																	
SUBTOTAL TERMINATED PROJECTS																	

PIPELINE ANALYSIS
USAID/DOMINICAN REPUBLIC
Sept. 30, 1989

PROJECT NO (1)	PROJECT TITLE (2)	CUMULATIVE OBLIGATION (3)	FY OBLIGATIONS (4) 1982	1983	1984	1985	1986	1987	1988	1989	PIPELINE (5)	PIPELINE (6) 1982	1983	1984	1985	1986	1987	1988	1989
	ACTIVE PROJECTS																		
0155	Health Sys Mgt	2,769	0	0	679	821	0	0	950	319	984	0	0	0	0	0	0	665	319
0156	Ag Policy Analysis	1,250	0	0	500	0	0	0	750	0	[illegible]	0	0	1	0	0	0	750	0
0157	Grad Mgt Trng	6,500	0	540	1,690	3,889	381	0	0	0	[illegible]	0	0	0	512	381	0	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	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	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	0
0186	Agribusn. Prom (G)	4,000	0	0	0	1,740	760	0	0	1,500	2,419	0	0	0	159	760	0	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	0
0190	Exp & Inv Prom	6,600	0	0	0	1,850	2,950	820	980	0	1,073	0	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	0	1,000	4,580	0
0214	Comm Farming (G)	7,170	0	0	0	0	0	4,750	0	2,420	6,177	0	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	5,290	0	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	0	1,882	0	0	0
0218	CDE Rev Coll (G)	500	0	0	0	0	500	0	0	0	160	0	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	0	880	1,800	900	0
0235	Vector Control	1,500	0	0	0	0	1,000	500	0	0	537	0	0	0	0	37	500	0	0
0236	Super Diversif	3,500	0	0	0	0	0	2,025	1,475	0	2,834	0	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	0	2,818	0
0239	Child Survival	4,452	0	0	0	0	0	2,700	1,310	642	3,517	0	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	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	0	3,516
0247	PVO Cofinancing	3,000	0	0	0	0	0	0	0	3,000	3,000	0	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	0	3,000
0256	Aids Prevention	1,000	0	0	0	0	0	0	300	700	847	0	0	0	0	0	0	147	700
0640	PFSIC	3,374	0	0	0	0	0	1,100	25	2,249	1,658	0	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

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

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.

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

A __ B __ C __

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

II. PROJECT PURPOSE

(Project Purpose Statement)

III. PROJECT DESCRIPTION

(Succinct description of major components or activities)

IV. PROJECT STATUS

A. Planned EOPS — Progress to Date

1. (Logframe EOPS) — (Quantity, if possible or brief comment)
2.
3.
4.

FINANCIAL DATA

Amount Authorized:	DA/ESF Grant: original	$	amended to $
Amount Obligated:	DA/ESF Grant: original	$	amended to $
Amount Committed:	Period:	$	
	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.		__%	

B. Major Outputs

	Planned				Accomplished		
	LOP	Period	Cum.	Next Period	Period	Cum.	% of LOP
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%

(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

ther 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

April 1, 1989 - September 30, 1989 A __ B X 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 IA - Pending; Covenants: National Advisory Committees - functioning.

Date of Last Evaluation: 09/08/88 Next Evaluation: 12/10/89
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

	Planned				Accomplished		
	LOP	Period	Cum.	Next Period	Period	Cum.	% of LOP
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. Req. 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)	M E	M E	M E	M E	M E	M E	M E
Long-term	11 0	0 0	0 0	0 0	0 0	0 0	0% 0%
Short-term	75 10	0 0	0 0	0 0	0 0	0 0	0% 0%

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

Accomplishments and Overall Status

JWI has satisfactorily met the CP's to first disbursement of ·ct funds. The CP's to disbursement for Quick Impact Activities · have been met by UWI with regard to 4 OECS countries, and ·e, and now enables the disbursement of US$50,000 to each of · territories from the country specific line item of the Project ·t. The CPs to disbursement for QIA's in St. Lucia and Dominica ·xpected to be met by the end of February and will allow a ·er disbursement of US$50,000 in country specific funds to each ·ose territories. Six of seven participating countries have ·inted National Advisory Committees (NACs) which are actively ·tioning.

ings have been held with the OECS Secretariat in St. Lucia to ·ne the OECS role in the Project. A MOU signed between the UWI the OECS provides for payment to the OECS of US$60,000 during the ·od Jan. 1 - Dec. 31, 1987, for operational support out of a total S$250,000 to be provided over the LOP for this purpose. These s are being provided from the Regional TA/Training line item. ·ect Manager's (PM) contract, funded from the contingency line , has been finalized and the PM began working on November 24, . First Quarterly Activity Schedule on project status submitted WI. First Donors Committee meeting held in December. UWI ·lty of Law in process of acquiring computer to assist in the ·aration of Case Reports. Computer to be bought from case ·rts/Revolving fund line item and costs approximately US$10,000. PM has requested that project reporting include sex-disaggregated where relevant. In addition, UWI plans to increase the ·esentation of women among the justice system personnel receiving -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, BVI, 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.

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.

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".

EVALUATION PLAN

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

PROJECT STATUS REPORTS
FORMATTING AND PRINTING

Provided below are instructions for formatting and printing the Project Status Reports. This memo is designed to address any technical difficulties encountered in preparing these reports and should be shared with support staff involved in report preparation. It is our understanding that these instructions are operative for both the Wang OIS and VS systems. If you have any questions, please contact Elizabeth Warfield, LAC/DR/PSS (202-647-5252).

I. Formatting

The Wang word processing diskette included in this package contains a formatted model of the Project Status Report. This should be copied on to each Mission's system. The original should be retained as a master document and copied into the Wang libraries of each division in the Mission preparing the reports. The Wang document has the following format:

a. Page 1: Top format line has tabs at 8, 12, 27, 50, 92, 97, 102, 107, 112, 117, and 122. Right margin is 150.

b. The second format line should be between line 2 and 3 with the same tabs as above and the right margin set at 80. The dividing line at the end of the Background Data section should be positioned at line 21.

c. The third format line should be between lines 21 and 22 and should have tabs at every 5 spaces beginning at position 5 and extending to the right margin at 80. The page length should be set at 56.

d. Page 2: The top format line should be the same as (b) above. The dividing line at the end of the Financial Data section should be positioned at line 21.

e. The second format line should be between lines 21 and 22, with tabs set as in (c) above. The page length should be set at 56.

f. Page 3: Top format line is the same as (a) above.

g. The second format line between line 3 and 4 is the same as (c) above. The page length should be set at 56.

o Page 4: The format line should be the same as (g). The page length should be set at 56.

To print the document, go to Special Print Functions on the main Wang menu, hit execute, then go to Dual Column print, hit execute, type in the document No., and then hit execute twice (i.e. you don't need a second print number). You will now be at the print set-up menu.

There are two print setup menus depending upon whether you use a laser printer or a regular Wang printer.

Laser Printer

The following changes need to be made in the menu:

Page length: 76*	Character Set: ~~5~~ 8
Printer No.: 25	Left Margin: 0~~0~~6 0~~8~~6* 029-109
Forms: Form 1	Lines Per Inch: 8**

Other Printers

The following changes need to be made in the menu:

Page length: 76*	Character Set: ~~8~~ 5
Printer No.: ~~X~~ 30	Left Margin: 0~~0~~6 0~~8~~6* 015/095
Pitch: 15	Forms: Standard
Lines Per Inch: 8**	

You need to insert a 15 pitch daisy wheel before printing.

The reports can be printed on 8.5" by 14" paper and reduced to 8.5" by 11" or they can be left on the larger paper for reproduction and distribution.

* For those printers which don't use legal-size paper, the page length should be set at 68, and the left margin should be set at 015 095.

** Once you have printed the document with the above settings on the print menu, they are permanently stored for future printouts. However, you will always have to change the Lines Per Inch setting from 6 to 8 since it defaults to 6 regardless of the previous setting.

AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON, D.C. 20523

MEMORANDUM

OCT 31 1990

TO: LAC Bilateral Missions

FROM: LAC/DPP, Bastiaan Schouten
LAC/DR, Peter Bloom

SUBJECT: FY 92-93 Action Plan Guidance For LAC Bilateral Missions

This guidance (except for the Action Plan schedule) is for LAC bilateral (non-ADC) missions. Guidance for ADCs will follow.

Introduction

The Action Plan process for the FY 92-93 period takes place in a time of important changes for the Agency and the Bureau. This year's Action Plan will be expected to reflect the new statement of the Agency's Mission and LAC Bureau Objectives. In addition, the President has approved in principle legislation that would eliminate functional accounts and place greater reliance on performance to allocate funds among countries. This legislation could be in effect in FY 1992. Also, the President's Enterprise for the America's Initiative, announced on June 27, 1990, places primary emphasis on trade, investment and debt in Inter-American economic relations. A.I.D. programs will be increasingly challenged to show their relevance to this framework for economic cooperation.

The LAC Bureau seeks to orient A.I.D. activities in the region toward greater impact at the program level. This requires two distinct steps. The first is to define mission objectives at the highest possible level to make an important contribution to the Bureau objectives. The term "strategic objective" refers to objectives through which mission activities can be expected to have a direct and significant impact on achievement of those Bureau objectives. The second step is to continue to improve means of measuring and evaluating impact at the program level to yield objective and meaningful information.

Mr. Charles Costello
Mission Director
USAID/Quito
APO Miami, FL 34039-3420

This year's Action Plan is an initial step in moving toward actionable mission programs consistent with the new Bureau Objectives. We recognize that these changes will take time to fully implement at the mission level and even to fully conceptualize at the Bureau level in terms of structure, documentation and information requirements. To minimize disruption and the burden on the missions, we propose to make the transition a collaborative effort with the field over the next year or so to determine the best way of doing things.

It should be emphasized that it is not the intention of the Bureau to establish a standard set of strategic objectives and indicators for all missions. Each mission has the primary responsibility to judge the relative priority of possible activities in order to advance the Bureau Objectives.

We envision that over the next several years, LAC mission activities will become much more integrated and focused on specific impact at the program level. Elimination of functional accounts, if it can be achieved, will obviously be an important factor. In any event, a greater level of program focus is expected. The implications of this on the structure and program of individual missions will depend on mission objectives and anticipated resource levels. In some countries, this will result in a smaller number of activities. Others may retain a larger number of activities in several areas that are clearly integrated toward achieving specific long term changes related to the higher level objectives.

Format of the Action Plan

The basic format for the Action Plan remains the same as for last year with a 20-page limit. However, all mission activities should be discussed in relation to the Bureau Objectives. Discussion of policy dialogue objectives and issues should be integrated with those related to program (project and non-project) assistance.

A. Section I: Relationship of the Bureau Objectives and Country Strategy

This section provides the mission an opportunity to discuss adjustments in its strategic objectives. Given the nature of the exercise of relating programs to the LAC Bureau Objectives, this section takes on considerable importance this year.

This section should be addressed in three parts. The first should be to review the current policy dialogue (macro economic and sectoral) and assess progress made to advance the mission's agenda.

The second part of this section should explore the relationship of the existing CDSS and policy dialogue to the Bureau Objectives. This should include an assessment of the need to revise the CDSS. If the strategy or program structure and priorities are expected to change significantly, the mission should identify activities or priorities that may be modified or reduced in importance in the future and those that will increase in importance. It is not expected that the mission fully conceptualize a new CDSS, but rather that this section illustrate the directions that the mission intends to move in the future.

In an annex to their Action Plans, Missions will need to develop workplans detailing the actions each will take to ensure that progress is made towards the attainment of the Bureau Objectives. Supplementary guidance and model format is included in Annex A. Each mission will prepare its own workplan according to its own priority actions relative to the overall LAC Objectives. This will be Table I of the Action Plan. Questions or comments on preparing the workplan should be referred to LAC/DPP.

The eventual goal is for missions to have clearly defined high level strategic objectives toward which an integrated range of activities -- policy dialogue, project assistance, and nonproject assistance--are working and for missions to have clear measures/indicators of achievement at this level. This Action Plan should be a first step in determining where the mission is now, where it wants to go, and how it will get there.

B. Section II: Performance Related to LAC Bureau Objectives

Like last year, this section will present mission performance in two tables and a narrative. The primary difference will be a restructuring of the mission activities to illustrate areas of consistency with the LAC Bureau Objectives.

The Country Performance table will continue to be used to allocate funding above the MCC level. As in the previous Action Plan, LAC/DPP will prepare the table and send it to missions for inclusion in the AP. This will be Table II of the Action Plan.

The Program Performance table (Table III of the Action Plan) will be used to consider the impact of A.I.D.s program on the attainment of objectives. This is the point that the mission program will be related to the LAC Bureau Objectives. The existing set of mission objectives and indicators should be reviewed for consistency and appropriateness in the context of the Bureau Objectives (see Annex B). This table should be constructed by arraying the mission's strategic objectives and their indicators under the appropriate Bureau Objective and Sub-Objective.

The tables should be accompanied by a short (up to three pages) narrative highlighting achievements, explaining significant shortfalls, and noting the important accomplishments falling outside the information presented in the two tables. Of particular importance this year is the emphasis on program impact. The narrative should stress the impact of the overall program on mission and Bureau Objectives. The narrative should also discuss mission plans for evaluating the program over the next two years, beyond strictly project evaluations now planned. It is especially important that we be able to show how each mission's program is directly related to the achievement of Bureau Objectives. Such evaluations might focus on individual sectors, assessing the performance of an entire sector or on one aspect of a sector in which the mission has been particularly active. Program evaluations/studies might examine specific aspects of the Bureau Objectives - policy improvements, privatization accomplishments, growth of non-traditional exports, increased access to primary health care and primary education, improved management of forests and watersheds, electoral and judicial reform, or improved local authority to make decisions. This is an area where the Bureau must improve its performance and this Action Plan gives each mission the opportunity to present how it plans to evaluate its program over the next two years.

We recognize that most activities can be rationalized to fit within this framework in the sense of contributing to a Bureau objective. <u>However, the Bureau neither expects nor wants a simple reshuffling of activities from one rhetorical objective to another</u>. Rather, we want to be able to measure impact at a program level from an integrated set of activities. A strategic objective is selected precisely because it makes a distinct and measurable contribution to the overall Bureau Objectives.

Missions should start with the Bureau Objectives and determine what strategy should be pursued in the host country to achieve the greatest impact. From that point, an integrated set of strategic objectives and activities can be conceptualized. <u>The strategic objective represents a judgement that (1) this is the highest level objective that A.I.D. can reasonably expect to influence, and (2) that this is a critical intervention with a substantive contribution toward achieving the Bureau Objectives</u>. Many existing programs or projects may be consistent with this strategy, some may not. An annex should accompany the Action Plan which arrays the mission projects by Bureau Objective and Sub-objective (this is Table VI of the Action Plan). All existing activities that do not fit into the Bureau Objectives should be classified as either special category activities or as candidates for either redesign or eventual phaseout.

C. Section III: New Program Initiatives

This section provides a two-page statement summarizing the new program initiatives the Mission intends to authorize during the Action Plan period, the relationship of these activities to on-going programs and how they will further achievement of CDSS and LAC Bureau Objectives. It will also include the New Project Description (NPDs).

In deciding whether or not to submit NPDs, Mission should take into account probable funding availability given performance based budgeting. At present, performance based budgeting will only affect the non-narcotics related DA portfolio. The LAC performance budgeting system has been communicated to the field on several occasions, most recently in the LAC Bureau FY 1992 ABS--that document presents the LAC country performance rankings as of July, 1990. Missions will receive an updated performance matrix in November. This will include a listing of high performers, intermediate performers and poor performers.

In principle, in setting the FY 93 OYB level, high performers will receive the full increment between the APPL and the MCC (amount required, including pipeline, to fund on-going activities for 12 months), intermediate performers will receive half of the increment and poor performers will receive only the MCC. Thus, in general, poor performers would not qualify for new starts. Exceptions would be projects which pursue ongoing, long-term efforts such as family planning. Another exception could be efforts to influence the host country's policy performance where there are indications that such efforts have a reasonable expectation of success. Even for these exceptions, however, Missions are urged to first examine their existing portfolios for the necessary resources. The presumption is that within a poor performance framework, the continuation of all ongoing projects may not make sense. Missions proposing NPDs will have to indicate the source of financing, be they anticipated increments above the MCC or from deobs. Missions should include NPDs for each new project valued over $500,000 and for on-going project amendments effecting an increase in authorized LOP funding over $500,000 or 10 percent of LOP (whichever is larger). To the extent Missions are planning non-project assistance initiatives, we will consider such proposals within the NPD framework and at a minimum provide feedback to Missions for program development.

The merits of the NPDs themselves will be considered during Week 1 of the Action Plan process and recommendations will be brought up for consideration in the Action Plan Review whether to allow PID approval (For FY 91 projects which have yet to be reviewed by LAC and for FY 92 projects) and to provide guidance for project/program development. The purpose of the review of the new project/program activities proposed for FY 93 will be to determine whether to include the proposed activities in the

ABS. The NPD should continue to be brief -- no more than three pages. NPDs for FY 93 activities should follow the guidance previously in effect and therefore not exceed 1 page in length. In order to prompt a delegation decision for FY 91 and 92 projects, NPDs should contain the following information:

Bureau Objective(s) which the proposed project/program supports; Project/Program name, number, FY and type of funding, as well as LOP funding; an indication of whether the NPD represents an amendment to an existing project or a new project; and indication of the consistency of the project/program with the approved Mission strategy, its relationship to other A.I.D. on-going or proposed projects and to other donor activities; the relationship of the project to overall A.I.D. policy objectives; a statement of the dialogue agenda and which if any policies in the host country the project/program will effect; the project description which should include: (the project/program goal and purpose; a statement of the major development problem the project/program will address; a description of anticipated activities and project/program components in sufficient detail to indicate what will be done and how project/program resources will be used; a description of how project/program will impact on women both as beneficiaries and as participants in the project; and the project/program financial plan;) identification of planned implementation arrangements including host country institutions and their roles and probable procurement mechanisms; and indication of which activities planned or assisted under the project/program are to become self-sustaining and whether sustainability in the mission's judgement is likely to be possible by the end of the project. A description of mission management responsibilities and a statement of principal issues to be resolved during project design including significant technical concerns or innovative program approaches, should also be included.

In addition to the NPDs noted above, this section of the Action Plan should contain a list of planned Food Aid activities and NPDs for any project activities to be funded by host country-owned local currencies which the Mission will projectize and manage directly, if such activities are not also dollar funded and therefore described as part of the normal NPD presentation. Missions are encouraged to utilize the Action Plan review as the mechanism for decisions related to the mission's proposed program. We are discouraging off-cycle reviews.

SAMPLE
NEW PROJECT DESCRIPTIONS

LAC BUREAU OBJECTIVE/SUB-OBJECTIVE

PROJECT/PROGRAM TITLE (include whether new or amendment)

PROJECT/PROGRAM NUMBER

FUNDING

TYPE OF FUNDING

A. Consistency of project with mission strategy

B. Relationship to A.I.D. and other donor activities

C. Relationship to project to overall A.I.D. policy objectives (including project relationship to Mission's policy dialogue agenda)

D. Project description

E. Planned implementation arrangements

F. Sustainability of proposed activities

G. Mission management role

H. Potential issues and/or innovative program approaches

Section IV: Resource Requirements

In Section I, II, and III of the Action Plan, the USAID Mission will have confirmed the appropriateness of the CDSS strategy (or proposed and justified strategy modification); indicated progress in achieving CDSS objectives; and proposed new program initiatives to implement the strategy. The purpose of this section then, is to allow the USAID Mission to identify the resources it believes are necessary to carry out the on-going program and the planned new initiatives in the next two fiscal years and to justify any increases/decreases in a short narrative.

This section will consist of a narrative outlining the resources (OE, Staff, Trust Funds, PL-480, DA, ESF) required to carry out the on-going program as well as the new activities projected for

FY 92 and 93. To determine program funds required, the mission will include an analysis of current and planned program mortgages by functional account indicating how the mortgage will be funded from the expected Mission program budget over the next few years.

Because Operating Expense funds are scarce and will become more scarce for the foreseeable future, the Bureau will have to make many difficult choices over this action plan period. It is therefore necessary for missions to define clearly their needs and identify what the impact would be if their OE budget is reduced. If the control level is not adequate, what will you give up? If additional OE is required, how much is required and what will A.I.D. gain by this increase? How will that increase be used? The "trade-offs" have to be concisely presented. The mission should also explain any efforts to reduce costs both in the short and long-term. An example might be identification of lower cost office space or negotiation of a longer-term lease with limits on rental payments.

The mission will not be required to submit detailed line item budgets, but rather a discussion of not more than one page on the impact of the control levels proposed by the Bureau, the cost saving the mission is implementing to reduce the OE burden, the vulnerabilities that have been identified in the Internal Control Assessment with the cost of implementing corrective actions, etc. For FY 1993, Mission should estimate their resource needs and discuss the rationale for any increase over the FY 1992 control level.

The amount of reverse accomodation exchange should be discussed, if appropriate, and what plans the mission has to reduce this practice.

Please note that because of the continuing interest of the IG, Congress and OMB in the uses of local currency, missions will be required to discuss the program uses of it in the Action Plan. We realize this is somewhat of a divergence from the program level focus of the Action Plan but we believe it is necessary in view of this extraordinary interest. In addition to the narrative statement, the information should be presented in tabular form (this will be Table IV of the Action Plan) (see Annex C).

All Missions having or anticipating Trust Fund availabilities must identify balances anticipated to be on hand at the end of each fiscal year (FY 1990 through FY 1992) based on best estimates of deposits during the applicable fiscal year less obligations. Discussion on progress in obtaining an eighteen month reserve as well as the use of Trust Funds to reduce dollar requirements in later years such as purchase of buildings and funding severance pay should be included. If you anticipate a reduction in Trust Funds due to reduction in ESF levels, this

should be clearly stated, together with information as to the overall impact of such reductions on your operations should the Bureau be unable to replace the lost Trust Funds with dollars.

Missions relying on Trust Funds to cover more than 25 percent of Mission costs should identify what steps could be taken during the coming years to reduce such reliance, including the impact on their dollar requirements. In the discussion, you should consider that it is unlikely that the Bureau would be able to obtain sufficient dollars to fully fund costs now charged to Trust Funds.

Table V of the Action Plan is the Summary Program Funding Table (see Annex D) which lists all dollar-funded program activities. Funding controls for this table for FY 91 are from the FY 91 CP until the FY 1991 OYB is established. FY 92 DA and ESF program controls are from the FY 1991 ABS until the FY 1992 CP levels are established. FY 93 DA and ESF program controls are a straight line of FY 1992 levels until advised differently.

Section V: Mission and AID/W Initiated Issues

Program Week will continue to be a forum for mission and AID/W to raise a broad variety of issues for decisions and/or guidance. This section of the Action Plan will indicate issues the mission wishes to address during Program Week and in addition will contain responses to issues LAC/W has asked the mission to address. This presentation is not intended to be an exaustive analysis of the pros an cons of the issues but merely a statement which identifies the issues. This section should be limited to no more than two pages.

Action Plan Review Procedures

Upon receipt of an Action Plan, LAC/DR will handle the document distribution. The responsible finance officer will solicit issues from LAC offices and other bureaus for the issues paper.

Review of each Action Plan will spread over a two week period. Week I will focus on resolving questions/issues, reviewing New Project Descriptions, holding of any side meetings that may be necessary, and finalizing an issues paper for the principal Action Plan review. (A draft Issues Paper format is attached). Week II will include the principal Action Plan review, and preparation of a draft reporting cable for a summary meeting with the AA/LAC. The sequence of specific events will be as follows:

-- Circulation of draft issues paper: By COB Thursday of the week preceeding Week I, the draft AP issues paper will be circulated and faxed to the mission.

-- Issues Meeting (Tuesdays at 10:30): The meeting will be chaired by the Director of LAC/DR or his Deputy and be attended by all interested LAC and other A.I.D./W staff. Missions will be respresented. The purpose of the meeting will be to identify major issues and resolve as many minor issues as possible. The chair of the meeting will determine which issues will be included in the final issues paper.

-- New Project Description (NPD) Review (Wednesdays at 2:00): The NPDs for FY 92 and FY 93 will be reviewed in a meeting chaired by LAC/DR. Taking into consideraton the results of the Tuesday issues meeting and the most recent SAR review, the decisions to be reached are as follows:

FY 92 NPDs:
(a) approve/disapprove development of the project during FY 92
(b) delegate PID approval to the mission or request approval in A.I.D./W
(c) identify issues/options the mission should consider in project development

FY 93 NPDs:
(a) approve/disapprove inclusion of the project in the FY 93 ABS

-- The final issues paper will record decisions of the meeting and recommend actions on which consensus could not be reached with the missions.

-- Final Issues Paper: Each Issues Paper will be finalized by COB Friday of Week I and distributed by LAC/DR.

-- Action Plan Review: The Action Plan review will begin at 2:00 on Tuesday of Week II, with 9:30 on Wednesday reserved to continue the meeting if necessary. The agenda for the meeting will be the issues paper as finalized at the end of Week I. The meeting will be chaired by the AA/LAC or his representative.

-- Summary and Conclusion Meeting (Friday of Week II): The meeting will be chaired by the AA/LAC using the draft reporting cable prepared by the country desk officer after the conclusion of the Action Plan review. The meeting will review the major conclusions of the Action Plan meeting and provide an opportunity for the Mission Director to raise with the AA/LAC any further issues he/she would like to discuss. Attendance will be limited to AA-DAA/LAC, Office Directors of the geographic office, LAC/DR and LAC/DPP and their staff officers (one per office). Depending on the issues to be discussed, a representative from other offices (LAC/TI, LAC/DI, GC/LAC) would be asked to attend. The Mission Director may be accompanied by one other mission representative.

-- Reporting Cable: The geographic office will be responsible for drafting and obtaining clearances on the final reporting cable and its transmission to the field within one week following the summary and conclusion meeting.

MODEL ISSUES PAPER

INFORMATION MEMORANDUM FOR THE ASSISTANT ADMINISTRATOR, LAC

FROM: LAC/DR, Peter Bloom

SUBJECT: USAID/_____FY 1992/93 Action Plan Review

The subject review begins at 2:00 p.m. on [date], in the LAC Conference Room (2248 N.S.). If necessary, the review will continue in the same room on [date].

Actual and Proposed Assistance Levels
(000)

Plan	Actual	OYB	CP	Action		
	FY 90 (1)	FY 91 (1)	FY 92	FY 91	FY 92	FY 93
ARDN						
POP						
HEALTH						
CSF						
AIDS						
EHRD						
PSEE						
DA Total						
ESF						
PL 480 I:						
PL 480 II:						

(1) Source: LAC/DPP

An Issues Meeting was held on _____during which representatives of USAID/_____ met with AID/W staff to identify items which need to be brought forward for consideration by the AA/LAC and senior Bureau staff. The issues are presented below using the outline of the Action Plan Document itself. (If there are no issues under a specific heading, please so state.)

I. Relation to Bureau Objectives/Appropriateness of Country Strategy

II. Performance

III. New Program Initiatives

New projects in FY 91 (not yet reviewed by LAC) and FY 92 and FY 93 should be presented using the following sample format.

PROPOSED NEW PROJECTS

Project Number	Project Name	(000) Increment	LOP	Included in FY 91/92	Recmnd Action
FY 91					
517-0246 (OPG)	Rural Youth Ldshp.	270	680	No	Not approved
517-0256	AIDS Support	300	800*	No	NPD req.
FY 92					
517-0186 (A)	Agribusiness Prom.	1,500	4,000	No	AID/W review
517-0243 (PP)	Agribusiness Trng.	3,200	12,000	No	Delegate
517-0247 (PP)	Small Bus. Devel.	2,000	7,000	Yes	Delegate
517-0248 (PP)	Empl. Related trng.	1,500	4,500	Yes	Delegate
517-0200 (A)	Export Inv. Prmtn.	3,000	6,500	No	Defer
517-0252 (PP)	Indust. Link/FTZ	950	5,000	No	Delegate
FY 93					
517-0255 (PP)	Ag.Mktng. Systems	1,000	5,000		ABS FY93
517-0258 (PP)	Private Prim. Ed.	2,000	8,000		ABS FY93
517-0260 (PP)	Policy Planning	950	3,500		ABS FY93

A= Amendment Grant PP= PID/PP

A discussion of any issues related to the projects which will be carried forward to the AP review should be summarized here.

IV. Resource Requirements

V. Other Issues

(Should A.I.D./W or the misson request consideration of issues that don't fit within the above categories, they should be discussed in this section).

Attachments: Results of NPD review
Results of Issues Meeting

Action Plan Schedule

	Due in AID/W	Review Week
Chile/Brazil	Dec. 18	Jan. 22
Costa Rica	Dec. 18	Jan. 28
Belize	Jan. 2	Feb. 4
Paraguay/Uruguay/ Argentina	Jan. 2	Feb. 11
El Salvador	Jan. 8	Feb. 19
RDO/C	Jan. 15	Feb. 25
Bolivia	Jan. 22	March 4
Honduras (CDSS)	Jan. 29	March 11
Jamaica	Feb. 5	March 18
Colombia/Mexico	Feb. 12	March 25
Panama (CDSS)	Feb. 19	April 1
Dominican Republic (CDSS)	Feb. 26	April 8
Peru (CDSS)	March 5	April 15
Guatemala	March 19	April 29
Haiti (CDSS)	March 26	May 6
Ecuador	April 2	May 13
ROCAP (RDSS)	April 9	May 20
LAC/DI	April 16	May 28
LAC Regional	April 23	June 3
Nicaragua (CDSS)	April 30	June 10

Summary of FY 92/93 Action Plan Tables

Table I - Mission Workplan presenting the actions to be taken over the next year to ensure progress is made toward achieving the LAC Bureau Objectives (see Section I of the Action Plan).

Table II - Country Performance to be used to determine the allocation of funding above the MCC level (Section II).

Table III - Program Performance showing the relationship between Mission strategic objectives (and accompanying indicators) attainment of the LAC objectives (Section II).

Table IV - Local Currency Utilization showing how the mission plans to use local currency generations (Section IV).

Table V - Summary Program Funding Table presenting the mission's program by dollar level and functional account for FYs 91, 92 and 93 (Section IV).

Table VI - Listing of mission projects grouped by Bureau Objective and Sub-Objective (should be presented in the Action Plan as an annex) (Section II).

LAC BUREAU OBJECTIVES
IMPLEMENTATION WORKPLAN

I. Support the Achievement of Broadly-based, Sustainable Economic Growth.

A. Encourage economic policies that promote investment, productive employment, and export-led diversification.

1. General

--In consultation with PRE and State/ARA, develop an anti-inflation strategy, probably based on increasing central bank independence from government (DPP, November 1991).

--Establish a schedule of periodic consultations with major donors in LAC region, with a view to achieving optimum complementarity of policy conditionality and priorities (DPP, January 1991).

--Conduct a series of meetings with regional leaders and with other donors to identify specific policy impediments to more vigorous intraregional trade and to develop agreed actions to diminish or eliminate those impediments:

Central America (TI/CEN, June 1991);

Andes (TI/SAM, September 1991);

Caribbean (TI/CAR, December 1991).

--Support World Bank-led Consultative Group meetings that sustain policy reforms and international support therefor, in accordance with the following schedule:

Bolivia (SAM/DPP, November 1990);

Nicaragua (CEN/DPP, December 1990);

Honduras (CEN/DPP, December 1990);

Costa Rica (CEN/DPP, February 1991);

El Salvador(CEN/DPP, February 1991);

Central America Regional (CEN/DPP, April 1991);

Peru (SAM/DPP, June 1991).

--In consultation with Department of Agriculture, review final report of Andean Agriculture Productivity and Export Study and identify appropriate responses to the report's recommendations (DR/SAM, February 1991).

--Develop, in consultation with Inter-American Development Bank, OPIC, investors and Missions, and disseminate a data base of significant policy impediments to private investment in LAC countries and steps needed to overcome those impediments (DPP/TI, March 1991).

--Establish a system to encourage priority attention to overcoming identified policy impediments to investment in IFI sectoral loans, AID Mission action plans, binational trade commission agendas, and other appropriate policy dialogue mechanisms (DPP/TI, August 1991).

--Integrate food assistance programming, as appropriate, into economic policy dialogue (DPP/DR, September 1991).

2. Sector-specific policies

--Assure completion of guidance for Missions and related preparatory work that will permit the initiation of sectoral policy reform programs in the following countries and sectors:

Haiti, primary education financing and efficiency (DR, December 1990);

Honduras, primary education financing and efficiency (DR, January 1991);

Chile, primary health care (DR, January 1991);

Dominican Republic, primary education financing and efficiency (DR, February 1991);

Nicaragua, primary health care financing (DR, April 1991);

Honduras, agriculture (DR, June 1991);

Guatemala, primary education financing and efficiency (DR, August 1991);

Ecuador, agricultural technology (DR, September 1991);

El Salvador, primary education financing and efficiency (DR, January 1992).

--Develop and disseminate to Missions a strategy for overcoming obstacles to growth in the tourism sector (TI, April 1991).

--Conduct a series of subregional workshops for health officials to identify specific policy measures to increase the sustainability of primary health care programs (DR, May 1991).

--Facilitate the development of concrete plans by Mexico, Brazil and Colombia that will reduce their dependency on AID-supplied contraceptives (DR, June 1991).

--Develop, in consultation with Missions, an agriculture and natural resources strategy to guide investment toward greater emphasis on reform of sectoral policies that inhibit sustainable agriculture and natural resource management (DR, July 1991).

--In collaboration with the World Bank and Inter-American Development Bank, complete and disseminate to Mission guidance for an agricultural sector investment strategy in Bolivia (DR/SAM, July 1991).

B. Encourage a Vigorous Private Sector Response

--Inaugurate the Latin American and Caribbean Business Development Center in the Department of Commerce and disseminate information about its program and capabilities (TI, November 1990).

--Organize and sponsor a series of seminars, with interagency and private sector participation, on how to trade with Latin America and the Caribbean and how to trade with the United States (TI):

New Orleans World Trade Center (October 1990);

Miami World Trade Center (February 1991);

Minneapolis (April 1991);

Atlanta (.....1991);

San Antonio (1991);

Charleston (1991);

San Diego (1991).

[OTHERS TO BE SUPPLIED BY TI]

--Develop, in consultation with Commerce, USTR, and State, a plan to implement administrative enhancement of CBI, including reactivation of interagency coordination mechanisms (TI, February 1991).

--Complete, in coordination with Commerce, preparations for inaugural meeting of the private sector Latin American and Caribbean Business Promotion Council (TI, March 1991).

--Organize and sponsor, through the Latin American and Caribbean Business Development Center, or otherwise support the following private sector missions:

Honduras to Washington, D.C. (November 1990);

El Salvador (FUSADES) to New Orleans (November 1990);

OPIC to Argentina (March 1991);

[OTHERS TO BE SUPPLIED BY TI]

--Develop a plan to increase financing available for private investment in LAC region, taking into account AID and other donor programs, IRC section 936, LAAD, CARESBAC and other initiatives (TI, June 1991).

--Provide to Missions guidance and marketing information on expanding the export of spices (DR/TI, September 1991).

C. Encourage Increased Economic Opportunities for the Disadvantaged

--Initiate implementation of follow-on regional project to increase coverage of basic immunizations and reduce the incidence of preventable diseases (DR, January 1991).

--Evaluate and disseminate to Missions guidance on country programs to alleviate the impact on the poor of economic adjustment, with a view to improving the effectiveness of such programs (DPP, June 1991).

--In consultation with State and with other donors, develop a specific set of actions to address the special needs of the displaced and recently resettled in Central America (CEN, February 1991).

--Identify and disseminate to Missions guidance on overcoming impediments to secure ownership and use of land which particularly constrain small farmers and entrepreneurs (DR, September 1991).

D. Encourage Preservation and Sustainable Use of Natural Resource Base

--Support establishment of Rio Bravo Conservation and Management Area (110,000 acre rain forest) in Belize, within context of a possible tripartite park to be developed by Mexico, Guatemala and Belize (DR, January 1991).

--Develop and disseminate to Missions LAC environmental strategy, integrating environmental concerns into program development in other sectors (DR, February 1991)

--Establish Mbaracayu Nature Reserve (143,000 acre rain forest) in Paraguay (DR, February 1991)

--Initiate implementation of Parks in Peril project to protect 20 threatened national parks (DR, September 1991).

II. Support the Evolution of Stable, Democratic Societies

A. Strengthen Civilian Government Institutions

1. Electoral Process

--Assure adequate and timely support for free and fair elections in the following LAC countries (DI):

Guatemala (November 1990, January 1991);

Haiti (December 1990);

Panama (January 1991);

Guyana (March 1991);

El Salvador (March 1991);

Paraguay (May 1991);

Bolivia (December 1991).

--Develop a plan to aid the Organization of Eastern Caribbean States Constituent Assembly in political integration in the Eastern Caribbean (DI/CAR, March 1991).

--Develop a plan for possible electoral assistance to Suriname in 1992 (CAR/DI, May 1991).

--Develop, in coordination with LAC countries and other donors, a plan for sustained operation of CAPEL (DI, September 1991).

I. Administration of Justice

Establish an interagency group to provide coordinated and effective backstopping from Washington for the diverse elements of the Colombia AOJ program (DI/SAM, January 1991).

--Assure completion of preliminary studies and design work needed to launch new or revised AOJ programs in the following countries (DI):

Panama (January 1991);

Bolivia (March 1991);

Uruguay (April 1991);

Peru (June 1991);

Ecuador (August 1991).

--Initiate operation of a restructured ILANUD, with a clearly defined mission and improving management capability (DI, April 1991).

I. Legislative

--Determine institutional development needs and initiate programs, as appropriate, for the following countries:

Nicaragua (December 1990);

Panama (December 1990);

Bolivia, Ecuador, Peru (June 1991);

Caribbean Region (September 1991).

4. Financial Management

--In collaboration with regional organizations, stimulate interest in and support for public accountability and effective management of public finances through seminars and training programs (DI):

Anti-fraud conference in Paraguay (March 1991);

Conference in Miami for all LAC countries on safeguarding public funds against fraud and theft, followed by training on combatting economic crime (April 1991);

Initiate financial management training in Chile (April 1991);

5. Local Government

[TO BE SUPPLIED BY DI]

B. Strengthen Public Participation in Democratic Process

--Support the organization of a regional civil-military relations conference to be held in Uruguay (DI, March 1991).

--Initiate a project in two pilot countries (one in Central America and one in South America) to promote citizen education and participation in the law (DI, May 1991).

--Support the establishment of an Andean Bar Association (DI, September 1991).

C. General

--Expand RTAC II to provide university textbooks, including in economics and social sciences, to students in following countries (DR):

Panama (October 1990);

Nicaragua (April 1991);

Caribbean Region (August 1991);

Andean Region (September 1991).

--Complete and disseminate to Missions LAC Democratic Initiatives Strategy (DI, February).

III. Respond to Specific Challenges

--Initiate, following completion of interagency coordination, FY 1991 Andean Counter-Narcotics Implementation Plan (SAM, December 1990).

--Assure, through a Mission Directors Conference, fully coordinated understanding and execution of the Andean Counter-Narcotics Plan, Andean Trade Initiative and other significant developments affecting the Andean region (SAM, January 1991).

--Develop and put into operation a new AID strategy for Central America which reflects changed political and economic circumstances and supports Administration initiatives (DPP/CEN, January 1991).

--Establish a Management Information System for tracking by Missions of country performance under the Andean Counter-Narcotics Implementation Plan (SAM, February 1991).

--Provide initial financial and related support for the establishment of a coordinating mechanism (CADCC) for Central American participants in a Partnership for Democracy and Development (CEN, March 1991).

--Develop for incorporation into Mission action plans a Caribbean trade and investment strategy (CAR/TI/DPP, March 1991).

--Working with Central American members and with other donors, obtain a restructuring of a viable Central American Bank for Economic Integration that will have a clearly defined mission contributing to regional cooperation and development (CEN, June 1991).

--In coordination with PPC and State/INM, develop and initiate a set of actions to obtain increased international donor support for economic development in the Counter-Narcotics Initiative countries (SAM, August 1991).

Annex B

Establishing Strategic Objectives Consistent with LAC Bureau Objectives

Most missions have had an opportunity to examine the new LAC Bureau Objectives. The objectives describe the desired direction of the LAC Bureau and mission activity for the next several years. Missions are being asked to refocus their thinking about development strategy toward achieving measurable impact on the program level from policy dialogue, project, and non-project interventions.

The Bureau recognizes that re-examining mission portfolios at the program level in terms of the new Bureau Objectives will be a challenge. Accordingly, the following section on the Bureau Objectives and program level analysis is provided to assist missions. It reviews the Bureau Objectives and relates them to possible strategic objectives.

Program Level Planning.

Program level planning is distinguished from project level planning by the potential level of impact. The key terms are defined as follows:

Program: A program is the sum of the project, non-project, and policy dialogue actions undertaken by a Mission in pursuit of a given strategic objective.

Strategic Objective: The three to eight highest level objectives on which a Mission's activities can be expected to have a meaningful impact in the medium term (3-5 years).

Relating Mission Activities to LAC Objectives

There are three LAC Bureau Objectives with several subgoals under each. All of these are at a level higher than most actionable/measurable objectives at the mission level. In fact, except for some macroeconomic policy changes, changes at this level of objective are distinctly long term endeavors. Strategic objectives are lower level objectives derived from the mission strategy that represent the highest level of impact toward meeting the Bureau Objectives that is in the Mission's "manageable interest".

For some missions and in some areas, this exercise will be one of simply restructuring an existing conceptual framework and applying goal indicators to the Bureau Objectives. However, the

distinguishing feature of this approach is that it is not enough simply to explain how an activity will contribute to a higher level objective. Rather, the intention is to set specific measurable strategic objectives to achieve the program objectives. The challenge lies in defining a meaningful level of impact for the higher level objectives and identifying appropriate indicators for achieving those objectives.

There is a difference between starting with an objective and designing a program to achieve it, and starting with activities and explaining how they relate to an objective. The questions to be answered in this exercise are the following:

1. What are the mission's objectives? To answer this question, determine which of the objective or sub-objective statements in the LAC Bureau Objectives are most appropriate for the mission. If the mission has higher level objectives that are not covered by one of these objectives, such objectives should be presented in an "other" category. The majority of current mission activities are expected to be consistent with these objectives, although it is recognized that they may not all be the priority activities that could be chosen had the LAC Objectives been in place prior to the CDSS on which they were designed.

2. What are the mission's strategic objectives? For each objective or sub-objective, each mission should determine what strategy is most appropriate to achieve the objective. For example, a strategy to strengthen private sector development might be to promote agricultural exports, in which case a strategic objective might be to increase production of non-traditional agricultural exports. The following table shows the LAC Objectives and a range of possible mission strategic objectives related to those objectives. The list of strategic objectives is illustrative and is not intended to be a menu of required choices.

3. The third step is to determine what activities or set of activities are needed to achieve an impact at the level of the strategic objective and what the expected level of impact is. Then, the mission should relate the existing programs and activities to what is necessary to accomplish the objective and discuss what changes will be needed.

4. The final step is to identify appropriate indicators of achievement at the level of the strategic objectives.

Indicator Selection

Achieving real progress in development is a long-term process. However, for reasons of both management and public accountability A.I.D. needs to track progress and report on performance in fairly short-term intervals. With this in mind, strategic objectives should be defined as objectives which can

be achieved in five to seven years. Targets should be achievable in a one to five year timeframe.

In designing indicators of progress, missions should keep the following in mind:

1. Indicators must measure what is important in the objective. The indicator should measure precisely what is implied in the objective. For example, the LAC Objective of "participation by historically disadvantaged in the economy increased" would require indicators that specify what is meant by increased participation (such as increased numbers, scope, and remuneration of opportunities in the cash economy).

2. Indicators must be plausible. Indicators selected must be so closely related to what is being measured that the Mission can be confident that its activities are an important factor in the observable results. This may not be possible in all cases.

3. Indicators must be targeted. Indicators must be targeted in terms of quantity, quality, and time. The following steps must be taken: (1) identify the indicator, (2) quantify the indicator, (3) set a standard of quality with respect to the indicator, (4) specify a time frame by which the indicator will have shown change.

4. Indicators are independent. Indicators that demonstrate the achievement of an objective at one specific level cannot be used to demonstrate achievement at the next higher level. Indicators can not be the purported cause of the thing to be measured. For example, the number of hospitals constructed can not be used to measure the"quality of social services improved". Again, this represents an ideal. In some cases the data for an appropriate indicator may not be available, so missions will have to use less exact indicators.

Following is a listing of the LAC Bureau Objectives and Sub-Objectives with illustrative Strategic Objectives listed under each Bureau Objective:

CTIVE I. Support the Achievement of
dly-based sustainable economic growth.

OBJECTIVES

Encourage the adoption of and continued adherence to economic policies that promote investment, productive employment, and export-led economic diversification.	1. Excessive regulation of private sector reduced. 2. Protectionist tax and other incentives favoring import substitution reduced. 3. Market exchange rates established/maintained. 4. Trade procedures simplified. 5. Tax policies that favor savings over investment established/maintained. 6. Positive interest rates established/increased. 7. Provision of goods and services by the public sector reduced. 8. Export incentives established/maintained. 9. Sector specific agricultural marketing trade, or price policies constraining growth in the sector reformed. 10. Energy policies constraining growth reformed. 11. Quality and efficiency of social services improved; health, basic education, food/nutrition, etc. 12. Financial sustainability of social services improved.
Encourage a vigorous response by private sector to a favorable policy ironment.	13. Communication and transportation infrastructure improved. 14. Private investment increased. 15. Coca-based economic activity replaced by activity not based on coca. 16. Appropriate agricultural technology developed and transfered. 17. Management and vocational training strengthened. 18. Marketing information dissemination and networks strengthened. 19. Jobs, non-traditional exports increased.
Encourage accelerated opportuni-s for increased participation in the nomy by the historically disadvan-ed.	20. Population growth rates reduced. 21. Participation by historically.disadvantaged in economy increased. 22. Access to primary health services improved.

22. Malnutrition in children diminished.
23. Access to primary education improved.
24. Access to portable water improved.
25. Access to adequate shelter improved.
26. Access to electricity increased.
27. Jobs at low-ended of economy increased

D. Encourage preservation and sustainable use of the natural resource base.

28. Deterioration of soil, air, water slowed.
29. Sustainable use practices adopted in ecologically vulnerable areas:
30. Environmental education strengthened.
31. Economic policies negatively affecting substanable use of natural resources reformed.

OBJECTIVE II. Support the evolution of stable, democratic societies.

SUB-OBJECTIVES

A. Encourage the strengthening of competent civilian government institutions that will merit the confidence of political and military leaders, citizens, and investors.

1. Effectiveness of judicial systems improved.
2. Control of civilian elected leadership over military strengthened.
3. Effectiveness and strength of legislative branch improved.
4. Ability of executive branch to impose fiscal accountability improved.
5. Local and municipal government strengthened.
6. Ability to administer free, fair, and open elections strengthened.

B. Encourage pluralism, tolerance of opposing views and support for democratic values on the part of non governmental bodies, including the press, community organizations, labor unions, and business associations.

7. Multi-party political system strengthened.
8. Civilian participation in democratic decision-making increased.
9. Exercise of human rights improved.
10. Civic, professional, and community organizations strengthened.
11. Free and democratically oriented unions strengthened.
12. Free media strengthened.

OBJECTIVE III. Respond to needs for international cooperation in addressing specific challenges to the attainment of broadly-based sustainable economic growth and the evolution of democratic societies.

SUB-OBJECTIVES

A. Contribute to the formulation and implementation of USG strategies for dealing with issues of particular concern, such as drugs, terrorism, and environmental degradation.

1. Reduce production and export of illegal drugs.
2. Strengthen enforcement of drug laws.
3. Reduce incidence and opportunities for terrorism.
4. Improve intra regional trade and cooperation in finding regional solutions to problems.
5. Improve regional cooperation in dealing with cross-border effects of environmental degradation.

B. Support USG foreign policy initiatives that can benefit from AID resources and expertise, such as disasters, epidemics, and resettlement of displaced persons.

6. Reduce incidence and transmission of AIDS.

Annex C

SUMMARY PROGRAM FUNDING TABLE
Dollar Program by Functional Account

Project Title and No.	FY 91	FY 92	FY 93
Development Assistance			
ARDN			
Subtotal			
(Loan)			
(Grant)			
Population			
Subtotal			
(Loan)			
(Grant)			
Health			
Subtotal			
(Loan)			
(Grant)			
Child Survival			
Subtotal			
(Loan)			
(Grant)			
AIDS			
Subtotal			
(Loan)			
(Grant)			
Education			
Subtotal			
(Loan)			
(Grant)			
Environment & Energy			
Subtotal			
(Loan)			
(Grant)			
Subtotal DA	_____	_____	_____
(Loan)	_____	_____	_____
(Grant)	_____	_____	_____
Economic Support Fund			
Subtotal ESF	_____	_____	_____
(Loan)	_____	_____	_____
(Grant)	_____	_____	_____
P.L. 480, Sec. 416			
	_____	_____	_____
(Loan)	_____	_____	_____
(Grant)	_____	_____	_____
PROGRAM TOTAL	_____	_____	_____
(Loan)	_____	_____	_____
(Grant)	_____	_____	_____

UNITED STATES GOVERNMENT

memorandum

DATE: PPD-91-277
October 11, 1991

REPLY TO ATTN OF: Charles E. Costello, Mission Director

SUBJECT: Semi-Annual Reports (SAR's)

TO: See Distribution

Re: 1991 Fall Semi-Annual Reports (SAR's)

The fall Semi-Annual Review is tentatively scheduled for the week of November 4th pending confirmation from AID/W of the dates. Since the LAC Bureau has eliminated the AID/W review of Missions' SARs, the Mission reviews will be attended by a LAC representative, but the Bureau is still coordinating the schedules for these visits to the Missions. A final schedule will be announced shortly.

The SAR preparation process and the review meeting format will be somewhat different this cycle in order to better link the SAR with the Mission's Strategic Planning exercise. The new elements of the SAR are as follows:

1. Each SAR will be prepared and discussed by a SAR team, consisting of the Project Officer, the PPD Project Backstop Officer, and the Project Accountant. (A list of each project to be reviewed during this cycle and the team assigned to it is attached). Rather than PPD's preparing the Background Data section (including financial data) as before, the SAR team will be responsible for preparing the entire report. The SAR team will also be responsible for developing the issues with regard to each project's progress.

2. Each Strategic Objective Team Leader will prepare the two or three page narrative overview of projects which fall under the Strategic Objective. Projects which do not fall under a Strategic Objective will be treated separately. In order to facilitate our on going effort to develop the Mission's Program Performance Assessment System (PPAS) and to better understand the Mission's Program impact, the SAR narrative should also mention what actions are contemplated under each Project in terms of program output data gathering and establishing baseline data and targets.

3. The Mission SAR Review Meetings will be organized by Strategic Objective. The presentations by each SAR team will be to the Mission Director and the Deputy Director as before, but also to the Strategic Objective Teams. This will allow for greater discussion of impact issues and will allow for better integration of project management into the Strategic

Planning process.

Beginning with this SAR, each SAR Team will also be asked to code projects in terms of activity and special interest codes normally used in the Annual Budget Submission (ABS). This information will be used to prepare the Annual Budget Submission. We are asking SAR teams to code projects at this time, when they are focussing on each project intensively, so that the data we submit with the ABS will be more accurate and therefore give more credit where it is due for projects which are contributing to certain Agency funding goals. PPD will schedule a meeting with all SAR Teams to explain the coding process.

PPD will no longer be responsible for editing SAR's. Rather, each team should complete the work of drafting and final editing of all SAR's. Also, of special concern this year will be expenditure projections. In the past, these have proven to be less than accurate. During this cycle, SAR teams are asked to review historical expenditures and liquidation rates, and to try to produce more accurate projections. Office Directors should perform the final review of each report.

The specific instructions for the SAR are attached.

The reviews have been tentatively scheduled as follows:

OFFICE	DATE	HOUR	DUE DATE IN PPD FOR DUPLICATION & DISTRIBUTION
SO No. 1			
SO No. 2			
SO No. 3	(WEEK OF NOVEMBER 4-8, 1991		
SO No. 4	TO BE ANNOUNCED)		
SO No. 5			
Other			

Please begin immediately to convene SAR teams and prepare the reports according to the information provided above.

Thank you.

Attachments:

1. Guidance for Semi-Annual Reports.
2. Project Status Report sample format and instructions.
3. USAID/E Project Implementation Responsibilities.
4. State 326103

DISTRIBUTION:

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All Project Accountants

Clearances: PPD:PGoddard
D/DIR:HRKramer

Drafted by: PPD:Paula Goddard, Paulyna Martinez, Rocio Cedeño:PZ

(SARMEM)

Guidance for Semi-Annual Reports for Second Semester FY 91 (April 1, 1991 to September 30, 1991)

The purpose of the Semi Annual Review is to provide mission management and project staff an opportunity to look at the mission's portfolio, as well as to link project implementation to the Mission's Strategic Objectives.

I would like each Strategic Objective Team Leader to prepare a short (no more than 2-3 pages) overview memo covering the projects under each strategic objective which should include the following:

1. A brief assessment of overall performance of the Strategic Objective's project portfolio.
2. A listing of the indicators at the Strategic Objective and Program Output level including a description of progress to date in developing baseline information and establishing targets.
3. A discussion of significant sector developments and issues (positive and negative) relating to each Strategic Objective.
4. Discussion of relevant developments in policy dialogue related to the Strategic Objective.
5. Highlights of the major events, accomplishments and actions in the portfolio expected during the next six months.
6. A look back at the last SAR's "Actions to be taken over the next six months" and a discussion of any issues that remain.

I would like each SAR Team (composed of Project Officer, Project Accountant, Project Backstop Officer) to develop the individual project status reports. To facilitate the report drafting process, PPD has developed a new format under Word Perfect 5.1 (LAN). The SAR Team will be responsible for preparing the complete report following the instructions on the attached sample.

Project status reports are to be prepared for all activities with LOP funding of US$500,000 or more. For projects under this funding level, please provide the following information only: project name, number, purpose, implementing agency and/or grantee, and a brief 3-4 sentence statement of major accomplishments or problems. The review meeting will focus on progress on major actions scheduled during the past six months, issues requiring management attention (including note of steps taken to date to resolve such issues and recommended future action for consideration during the review), as well as major actions planned for the next semester (Sections VI, VIII and X). Accordingly, care should be taken to ensure that those sections are clearly focused in the review reports.

With regard to Section II - 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. 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.

For the first time there is a section (IV.) which addresses the relationship between projects and Strategic Objectives. While this section may be somewhat difficult for some SAR teams to complete, please make an attempt in every case.

From Section V. through X. the guidance is the same as last semester's. Please adhere to the sample format and make every effort to provide reports which are complete, frank, readable and concise as possible. The audience for the report is the Mission and, as always, I want the benefit of your candid assessment of project progress and issues. I particularly look to Office Chiefs to assure the quality and candor of reports submitted from their offices. In the event of any difficulty adapting the format to a particular project, PPD backstop officers should be contacted. Please ask your secretaries to follow this format carefully so as to avoid unnecessary revisions and delays.

The definitions for A, B, and C projects 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 project 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 AID'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.

Drafted by PPD:PGoddard:RC
(SAR.GUI) (10-11-91)

PROJECT STATUS REPORT
April 1, 1991 - September 30, 1991

A ___ B ___ C ___

I. BACKGROUND DATA

Project Title: XXXXXXXXXXXXXX
Project Number: 518-XXX (Loan 518-X-XXX)
Date of Authorization: original 00-00-00 last amendment 00-00-00
Date of Obligation: original 00-00-00 last amendment 00-00-00
PACD: original 00-00-00 amended to 00-00-00
Implementing Agencies: XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
Major Contractors: XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
AID Project Officer: XXXXXXXXXXXXXXXXXX
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:	DA Grant: original	$0,000,000	last amend $0,
	Loan: original	$0,000,000	last amend $0,
Amount Obligated:	DA Grant: original	$0,000,000	last amend $0,
	Loan: original	$0,000,000	last amend $0,
Amount Committed:	Grant - Period:	$0,000,000	
	Cumulative:	$0,000,000	
	Loan - Period:	$0,000,000	
	Cumulative:	$0,000,000	
Accrued Expenditures:	Grant:		
	Period - Projected:	$0,000,000	
	Period - Actual:	$0,000,000	
	Cumulative:	$0,000,000	
	Period - Next	$0,000,000	
	Loan:		
	Period - Projected:	$0,000,000	
	Period - Actual:	$0,000,000	
	Cumulative:	$0,000,000	
Counterpart Contribution:	Planned:	$0,000,000	
	Actual:	$0,000,000	
% LOP Elapsed:		00%	
% of Total Auth. Oblig.	(Grant)	00%	
	(Loan)	00%	
% of Total Oblig. Exp.	(Grant)	00%	
	(Loan)	00%	
% of Total Auth. Exp.	(Grant)	00%	
	(Loan)	00%	

II. MAJOR OUTPUTS:

	PLANNED				ACCOMPLISHED		
	LOP	PERIOD	CUM	NEXT PERIOD	PERIOD	CUM	% OF LOP
1. Logframe outputs, including sex disaggregated data, e.g.	#	#	#	#	#	#	%
	M F	M F	M F	M F	M F	M F	M F
2. Training (persons)							
Long term	# #	# #	# #	# #	# #	# #	% %
Short term	# #	# #	# #	# #	# #	# #	% %

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

III. PROJECT DESCRIPTION

Succinct description of major components or activities.

IV. RELATIONSHIP OF PROJECT TO STRATEGIC OBJECTIVE (OR OTHER JUS

Brief description of how project is intended to contribute to Pro
Strategic Objective. Where possible state relevant indicators, s
and progress toward performance targets.

V. PROGRESS TOWARD PURPOSE ACHIEVEMENT AND PROJECT OFFICER'S ASSESSMENT

- List Project Purpose Statement and key EOPS indicators for project.
- Provide a brief discussion of progress toward accomplishing EOPS indicators and a candid assessment of how the project is progressing toward achievement of its objectives and whether the purpose is still an accurate statement of project objectives.

VI. PROGRESS DURING REPORTING PERIOD

Give a brief summary of major highlights and/or significant progress during the reporting period. Also include, as appropriate:

- Status of CPs/covenants, especially those that have not been met.
- Follow-up action to problems identified in previous report.
- Follow-up to actions requested at most recent LAC portfolio review.

A complete listing of actions planned in the last report is not necessary.

VII. GENDER CONSIDERATIONS

Brief discussion of the key gender considerations that affect the implementation of the project and accomplishment of project objectives, and what is being done to address these considerations. Include any specific indications (outputs) of progress made during the reporting period in including women as project participants and/or beneficiaries.

VIII. EVALUATIONS AND AUDITS

Briefly describe efforts to develop M&E plans or re-orient project M&E systems to reflect information needs for the Mission's Program Performance Assessment System (PPAS).
List evaluations or audits planned, underway or recently concluded and specify purpose/focus of each.
Describe major findings and list all outstanding audit or evaluation recommendations. Describe status of follow-up actions and expected date of closure.

IX. ISSUES, PROBLEMS, DELAYS AND CORRECTIVE ACTIONS

Discuss in specific terms any major issues or problems, your strategy for dealing with these problems, what corrective actions have been taken to date, the success of these actions in resolving the issue, and further measures that are recommended to address them. Care should be taken to include ongoing concerns as well as those which are expected to arise during the next semester, especially those which require management attention. Address significant issues related to information gathering and analysis required for the Mission's Program Performance Assessment System (PPAS) here.

X. MAJOR ACTIONS PLANNED FOR THE NEXT SEMESTER

This section should incorporate proposed actions from the previous section as as major activities or accomplishments planned during the next six months that make a significant impact on achievement of project objectives. In addition t actions themselves, please state the name(s) of the individual(s) (not office "GOE") responsible for completing each action and the date by which each is expected to be accomplished. Please refer to Paragraph 5 of the Objectives sections of the Action Plan, Key Project/Program Accomplishment Planned, in dr up this list.

ACTION AID-2 I FO DCM

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AIDAC FROM JIM MICHEL, AA/LAC FOR AID DIRECTOR

E.O. 12356: N/A
TAGS:
SUBJECT: REVISED GUIDANCE FOR THE PREPARATION OF THE SEMI-ANNUAL REPORTS

REF: 90 STATE 086114

1. IN ACCORDANCE WITH MY CONTINUING INTEREST IN DELEGATING PROGRAM AUTHORITY TO THE FIELD AND IN RECOGNITION OF FIELD OB AND STAFF CONSTRAINTS, I WISH TO ADVISE YOU THAT THE LAC BUREAU WILL NO LONGER HOLD FORMAL ANNUAL PORTFOLIO REVIEWS IN AID/W. MISSIONS, HOWEVER, MUST CONTINUE TO CARRY OUT SUCH REVIEWS AND TO FORWARD COMPLETED SEMI-ANNUAL PORTFOLIO REPORTS TO LAC FOLLOWING EXISTING GUIDANCE AND FORMAT FOR THEIR PREPARATION. THESE REPORTS WILL PROVIDE INFORMATION TO AID/W STAFF SUPPORTING YOUR PROGRAM AND QUESTIONS ARISING FROM THEIR CONSIDERATION WILL BE DEALT WITH DURING OR OUTSIDE ACTION PLAN WEEK AS APPROPRIATE. IN ADDITION, TO MAINTAIN EFFECTIVE COMMUNICATION WITH MISSIONS ON ACTIVITIES BEING IMPLEMENTED, AT LEAST ONE MEMBER OF THE LAC/W STAFF WILL PARTICIPATE WITH MISSION SAFF IN THE FALL MISSION REVIEW OF ITS PORTFOLIO.

2. SEMI-ANNUAL REPORTS COVERING THE PERIOD APRIL 1 TO SEPTEMBER 30 ARE DUE IN LAC/DR BY DECEMBER 6. MISSIONS SHOULD CARRY OUT THEIR REVIEWS BETWEEN OCTOBER 15 AND NOVEMBER 22. I KNOW THAT IN THE PAST OTHER MISSION BUSINESS HAS SOMETIMES RESULTED IN THESE REVIEWS STRETCHING OVER SEVERAL WEEKS. I REQUEST INSTEAD THAT TO ENSURE TIMELY COMPLETION OF REVIEW AND PARTICULARLY TO ENABLE LAC/W STAFF PARTICIPATION YOU LIMIT THE TIME PERIOD FOR YOUR FORMAL REVIEWS TO NO MORE THAN ONE WEEK. ALSO, TO ENABLE US TO IDENTIFY AND ARRANGE FOR THIS PARTICIPATION PLEASE ADVISE LAC/DR OF THE DATES OF YOUR REVIEWS BY OCTOBER 8. IT WOULD BE HELPFUL IF MISSIONS WITHIN EACH REGION WOULD COORDINATE SO YOU DO NOT ALL CHOOSE THE SAME REVIEW WEEK, ALTHOUGH SOME OVERLAP CAN BE ACCOMMODATED.

3. TWO IMPORTANT PARTS OF THE TOTAL SAR PRESENTATION ARE THE MISSION DIRECTOR'S NARRATIVE HIGHLIGHTING SUCCESSES AND MAJOR PROBLEMS IN THE PROJECT PORTFOLIO, AND THE IDENTIFICATION IN EACH PROJECT REPORT OF THE PROGRESS IN ATTAINING THE PROJECT PURPOSE (I.E., PROJECT IMPACT). PLEASE ENSURE THAT YOUR COMMENTS IN EACH OF THESE AREAS ARE CANDID AND IN EACH SECTION NOTE HOW THE AREAS YOU WISH TO HIGHLIGHT OR THE PROGRESS IN INDIVIDUAL PROJECTS IS IMPACTING ON THE ACHIEVEMENT OF MISSION OBJECTIVES.

4. FINALLY, IT IS CLEAR THAT THE SAR EXERCISE WILL CONTINUE TO PLAY AN IMPORTANT ROLE IN PROGRAM MANAGEMENT BECAUSE IT WILL PERMIT US TO IDENTIFY AREAS WHERE WE CAN FOCUS AND CONCENTRATE OUR OVERALL PORTFOLIO. IT IS ONLY THROUGH GREATER FOCUS IN OUR PROGRAMS THAT WE WILL BE IN A POSITION TO MAKE OUR WORKLOAD MORE MANAGEABLE FOR EACH MISSION. BAKER

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1. Hierarchy of Project Objectives

The Logical Framework breaks a project down into four separate and distinct levels of objectives. At the lowest level are the Project Inputs. These are the activities to be undertaken that will in turn result in the second level of objectives that we call the Outputs. Outputs are the results that are directly accomplished by management of the inputs. For example, in an education project, we can produce trained teachers, a constructed and equipped school building and trained administrators. We do this by managing a specific set of inputs (e.g., training of teachers, construction of school building, etc.). Yet the outputs themselves are not valuable for their own sake and are not the justification for the project. What we are really interested in is an improvement in education. This then, represents a higher level objective that we call the Purpose. The purpose is what we expect to result from having achieved the outputs. The outputs are a set of interrelated objectives that, combined, are aimed at achieving the project purpose. Within the project itself we have, therefore, three levels: Inputs, Outputs and Purpose.

The fourth level in the Logical Framework is a higher order objective called the Goal. The project is one of the necessary conditions for achieving this goal, but will not be sufficient by itself to achieve the goal. Using the same example of an education project, the specific project purpose is improved education and the goal is manpower needs for local industry met. In order to achieve this goal, other projects also may have to be undertaken, such as one to motivate those with the required skills to work in the region in which their skills are needed. Just as we must identify all the outputs necessary to achieve the purpose, so we must identify all the purposes (projects) necessary to achieve the goal. The goal is usually associated with specific program or sector objectives.

Specification of outputs to achieve purpose and management to achieve purpose (hence produce these outputs) is normally the project manager's function. Specification of all purposes to achieve goal, and management to achieve goal (hence, "producing" purposes) is normally the program manager's function.

2. Linked Hypotheses

It is important to note that the relationship between the levels of objectives is not random or accidental; there is a definite causal relationship. When we identify our purpose, for example, and then define the outputs we will need to achieve that purpose, we are in effect saying: "If we can produce these outputs, then we should achieve this purpose". In other words, we select these outputs because we believe they can cause the purpose to happen. We are therefore making a hypothesis that if outputs, then purpose.

An hypothesis is defined as a predictive statement about a causal relationship that involves uncertainty. A simple example of this is the prediction that if one boards one's regular morning bus by 8 o'clock, then one will arrive at one's office on time. However, it is not possible to have 100 percent certainty that this will happen because many things could happen between boarding the bus and arriving at the office, such as the bus breaking down, or being involved in an accident.

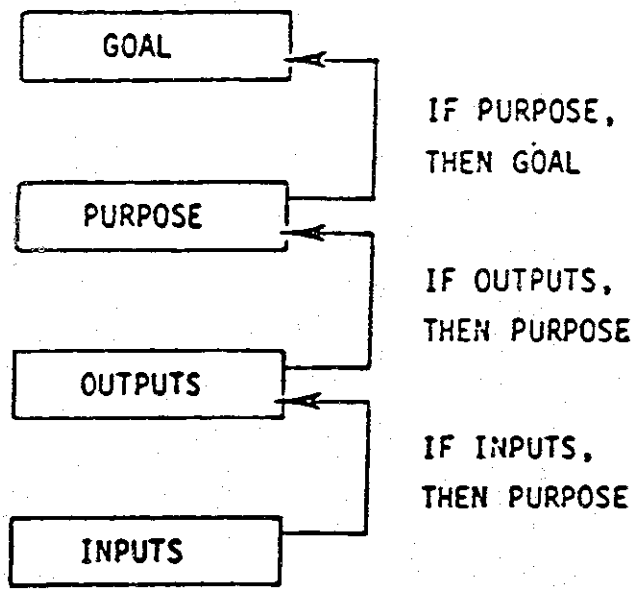
When we design a project using the Logical Framework, we make a series of predictions which we usually call hypotheses. These are:

1. IF the inputs are managed properly,
   THEN the outputs will be produced.

2. IF the outputs are produced,
   THEN the purpose will be achieved.

3. IF the purpose is achieved,
   THEN this will contribute to achievement of the goal.

This can be viewed graphically as follows:



The hypotheses as shown here are over-simplified. Each time we make such hypotheses, we have to accept that there will be a degree of uncertainty. The amount of uncertainty increases as we reach higher up the project hierarchy of objectives. It therefore becomes very important to clarify the nature of uncertainty so that we can select a design that has the highest probability of success. This is done by including in our project design factors necessary for achieving success but beyond our control. We call these additional factors assumptions. For example, when one predicts that one will get to the office on time by boarding one's regular bus at 8 o'clock, one assumes that the bus will be in good mechanical condition, and that there will be no accidents.

Because we recognize the existence of uncertainty, we need to describe the full dimensions of the hypothesis we are making.

Instead of saying:

IF one gets the bus on time, THEN one will arrive at the office on time.

We must say:

IF one gets the bus on time, AND (1) IF the bus doesn't break down,
AND (2) IF there are no traffic delays,

THEN one will arrive at the office on time.

We have then described the nature of the uncertainty affecting our hypothesis, and have expressed it in the form of assumptions. (See Figure II-1 for a set of linked hypotheses and assumptions for a Rice Production Project.)

3. Assumptions

Assumptions reflect our recognition that there are factors beyond our control that are necessary for successful achievement of objectives at all levels of the project. In the previous example, we can control getting up on time, having breakfast and getting to the bus-stop for ourselves. We cannot control the traffic or ensure that the bus company keeps its buses in good running order. So by identifying our assumptions, we have expanded our original hypothesis statement to include the specific nature of the more important uncertainties that could affect that hypothesis.

Figure II-1:

PC-110

LOGICAL FRAMEWORK FOR SUMMARIZING PROJECT DESIGN

Est Project Completion Date _____

Date of this Summary _____

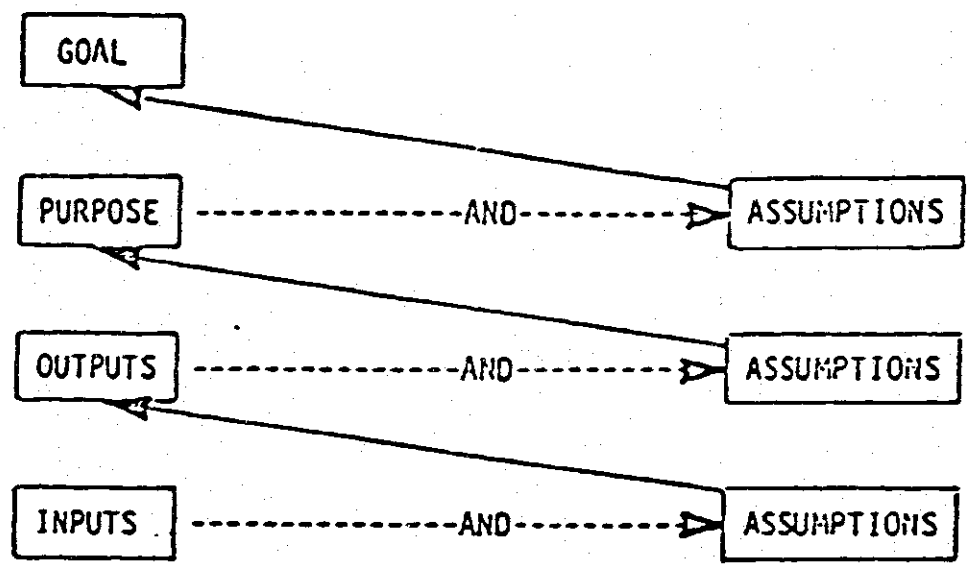
Project Title _____

DEVELOPMENT HYPOTHESES

MANAGEABLE INTEREST

	NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
If Purpose, Then Goal	Program Goal: The broader objective to which the project contributes farm income increased	Measures of Goal Achievement:		Concerning long term value of program/project
If Outputs, Then Purpose	Project Purpose: Production increased.	Conditions that will indicate purpose has been achieved: End of project status.		Affecting purpose to goal link. 1. Prices remain stable. 2. Transport facilities adequate. 3. Storage facilities exist.
If Inputs, Then Outputs	Outputs 1. fertilizers and HYV seed distribution system in place. 2. farmers trained. 3. Credit system in place.	Magnitude of Outputs necessary and sufficient to achieve purpose		Affecting output to purpose link: 1. fertilizer used where needed. 2. Rainfall supply adequate. [Improved Assumption: 2. 10 inches of rain will fall between May and October each year.]
	Inputs: Activities and Types of Resources 1a. Design distribution system. b. Construct storage facilities. c. Training staff. 2a. Recruit farmers. b. Develop training facilities and materials. c. Conduct training. 3a. Hire credit specialist. b. Develop system procedures. c. Train staff.	Level of Effort/Expenditure for each activity		Affecting input to output link 1. Farmers receptive to new methods. 2. fertilizer prices remain stable.

A more complete statement of the hypotheses and the uncertainties inherent in them is shown in diagram form as follows:



Having once identified the assumptions, we can then try to deal with them in such a way as to increase our probability of success and consequently our confidence in our project design. In the case of the bus example, we can get up earlier to avoid traffic delays or we could call the bus company and find out how often their buses break down. If the answer is 80% of the time, we might decide to rent a car!

The above is, of course, a simple example. But the question of assumptions can be <u>the</u> critical factor in a development project. The important point is that we must define, at any one level, all the necessary and sufficient conditions (both within our control--the central hypothesis-- and outside of our control--assumptions) that must be in place for us to achieve the next level objective.

Let us now follow this concept by looking at a more complex development project. In the case of development projects we are talking about important development objectives and scarce resources, so it is worthwhile to make the effort to assess whether our predictions in the project design are good predictions. Before we begin the project, we want to have confidence that we can achieve our objectives. We must therefore assess carefully what it is we are assuming about those factors outside our control that could be detrimental to achieving our objectives. We then record these assumptions as they are first identified in the Logical Framework in the assumption column at the same level as the "IF" portion of the hypothesis is recorded. For example:

NARRATIVE SUMMARY			ASSUMPTIONS
Goal			
Purpose Important Contract Signed.			
Outputs 1. Arrive at office on time.	----------and	------->	1. Client agrees to final version of contract.
Inputs 1a. Get up in time to catch bus.	----------and	------->	1. Bus in good condition. 2. No traffic delays.

The Logical Framework requires that at each "level" the activities or results planned plus assumptions at that "level" constitute sufficient conditions to achieve the next higher level.

Once we have identified as many critical assumptions as possible with information at hand, it is then time to look more closely at each assumption. Let us take one assumption from the rice production example in Figure II-1 and see how it is used in the project design. Adequate rainfall is necessary for the project purpose to be achieved. This is not difficult to understand, but the project planners and managers will need more guidance if they are to assess the validity of this assumption. The first question to be answered is how much rainfall is adequate? We must find out how much rainfall the crops will need. It will not be enough to know how many inches of rain are required. We must also know when it should fall. If we find that the rains must begin in May and last through October, with a monthly average of 12 inches, the next step is to find out if it is reasonable to expect this level and pattern of rainfall. If careful analysis of climatic history in the region shows that for eight of the last 20 years, rainfall was less than eight inches for the months of June and July, our assumption of adequate rainfall would not be valid.

We could continue with the project "as is" and accept the lower probability of success, but generally when the probability of success drops substantially due to an invalid assumption, we should take some steps to rectify the situation. We must first ask if there is something the project itself can do to effect the necessary change. In the above example, perhaps an irrigation system developed by the project would bring a sufficient supply of water to the crops. The project planners should study this to determine what would be required to develop the irrigation system and whether the project would have the necessary resources. If the project cannot expand, perhaps another project could take on this task. If there are no means to rectify the problem, then two other possibilities arise: (1) the objectives of the project could be modified (the expected level of productivity in the above example could be reduced) OR (2) the project could be abandoned as unworkable, thereby freeing resources for alternative projects. If each of the assumptions in the project design are handled in this manner during the design phase and the project improved accordingly, the project manager should have a realistic idea of what the probabilities are of project success and also be able to anticipate the kind of difficulties that might arise during the course of the project.

Assumptions are useful not only during the design stage of the project but also during the course of the project and its evaluation. Once the project begins, the project manager should monitor the assumptions regularly to assess their continuing validity. If he finds that an assumption proves to be invalid, he must take action to rectify the situation. A good project manager monitors assumptions regularly so that corrective action can be taken in a timely manner. Assumptions are also important during an evaluation because their examination can provide insight as to why the project has or has not succeeded in achieving its objectives.

To develop useful assumption statements, we ask the question: "What could happen to make this assumption invalid?" For example, if we have a very general assumption such as "equipment available on time", we would ask: "What could happen to delay the availability of equipment?" The response might be that there is a likelihood that a dock strike will occur and thus we realize we are really making the underlying assumption that the dock strike would not occur. We can then follow this with a further question: "What could happen to make the dock strike occur?" Suppose we find that the government is scheduled to sign a contract with the dock workers' union two weeks before the project equipment is due to arrive at the port, and there is a possibility that the government will not accept the union's demands. Project staff could check with the union and with the appropriate government officials to determine the probability that the contract will be signed on time. If the probability appears high, instead of the original assumption ("equipment available on time"), the following assumption would be made: "Government and dock workers' union sign labor contract by June 28, 1982 in time for delivery of equipment". The project manager will know then to keep an eye on negotiations between the government and the dock workers and, if it looks like the contract may not be signed, he can replan the project accordingly.

Clarifying assumptions allows for better communication between the project manager and his superiors. By carefully analyzing the uncertainties in a project before the project begins, it is made clear to a project manager's

superiors what factors are outside of his control and yet might affect the project. When the superiors approve the project, they accept the assumptions as being outside of the project manager's control. They have shared in the judgement with the project manager that the project has a high probability of success given the clearly stated and validated assumptions. This shared judgement frees the project manager from individual accountability for the total project design. If an assumption then proves to be invalid, thus causing a problem, the project manager can communicate openly about the situation without fear that he alone will be criticized for the misjudgement. A good manager should feel free to communicate such problems to his superiors readily, without fear that he will be unfairly blamed for poor management. If the manager hides problems, especially those caused by failed assumptions, he cuts off the possibility of corrective action by his superiors. The project manager and his superiors should work together to identify problems and find the proper solutions. While assumptions are outside the control of the project manager, they are not necessarily outside the control of the project manager's superiors. More will be said about the role of the project manager in a later section.

4. Objectively Verifiable Indicators

It is not sufficient to define the general intent of a project in terms of the linked hypotheses and relevant assumptions for each project level. The statements of Goal, Purpose, Outputs and Inputs, frequently are subject to misunderstanding or open to different interpretations by those involved with the project. Goal and Purpose level statements, in particular, tend to be ambiguious. It frequently happens that a project purpose is interpreted to mean as many different things as there are people involved in the project. For example, a Goal Statement such as "improved living conditions for villagers" is liable to have very different meaning for all the different people concerned about the project. If we could visualize exactly how we will be able to recognize success at each project level, we would be able to sharpen our focus of the project objectives and have

confidence that all those concerned with the project share the same picture. Objectively Verifiable Indicators are the means for establishing what conditions will signal successful achievement of the project objectives.

Indicators are defined as those conditions that are so strictly associated with certain other conditions that presence of or variation in the former indicates the presence of or variation in the latter. Indicators demonstrate results. They are not conditions necessary to achieve those results. For example, an increase in the temperature reading of a thermometer would indicate that we have successfully heated water to a desired level. The increase in the temperature reading, however, is not necessary to achieve heated water. For that we need the right kind of heating element.

Thus we can use indicators to clarify exactly what we mean by our narrative statement of objectives at each of the project levels (note there is a variation for input level indicators--where we are simply concerned with indicators of consumption of project resources).

As the project purpose is of major concern, the set of indicators at that level has been given a special name: End of Project Status (EOPS). This is due to the importance of the purpose--it is the main thrust of the project and the focus for programming and project dialogue. It is also due to the fact that the purpose is frequently extremely complex--involving such factors as organizational viability, net improvement in complex (e.g., human) systems, etc. For complex objectives, it is frequently true that no single indicator suffices: relevant indicators could be attributed to alternative events or our "functional specification" is multi-dimensional. Hence the rule for selection of EOPS is similar to that used by any good manager or applied scientist: if all EOPS conditions are met, then there would be no plausible alternative explanation (that is, no explanation other than the desired one--achievement/ purpose).

The Logical Framework therefore encourages the project designer to define clearly and explicitly what will indicate that the project can be considered a success. Included directly in the project design is the set of conditions that will signal successful achievement of the project purpose. An example follows:

PURPOSE	EOPS
Rice Production increased.	1. 30,000 farmers with 7 rai or less increase rice yields by 50 percent between October 1979 and October 1981.
	2. Rice harvested by small farmers in 1981 is of equal quality (x percent cracked) to rice harvested by same farmers in 1979.

Notice, in the above rice product example, how the indicators add depth and dimension to the purpose statement. The purpose "production increased" is vague. If we only succeed in raising production 2% for one farmer we could be considered successful--we have increased production! Without the indicators, we have no way of knowing the specific intent of the original design. Also, the way the purpose is written, it is not clear that we are aiming at small farmer production. When we specify exactly what we visualize will be in place because we have achieved our purpose, we actually clarify the purpose. It should be rewritten as follows: Small farmer rice production increased in Northeastern region. When we clarify the purpose statement we must again examine our indicators. Frequently they need further refinement. This refinement process is essential for good application of the concepts. We should not be reluctant to change the Logical Framework during design-- we should in fact expect to have to change it as use of the concepts constantly raises important questions and forces us to continually refine our design until we have high confidence in its validity. It is much better if we make our mistakes on paper. The

process of using the concepts is best undertaken collaboratively. It calls for participation by all parties to the project: programming staff, top management, project management, specialized experts and technicians, and frequently evaluation experts. Notice too that once we have added indicators to our design we are better able to judge its adequacy.

Figure II-2 shows a Logical Framework for the Agricultural example for which indicators have been added, the purpose and goal have been clarified, and assumptions made more explicit. Compare this figure to that in Figure II-1 for an illustration of how the concepts are used to build and improve the design.

Often a number of indicators will be necessary to measure success. The number of indicators that are necessary is that minimum number which gives us confidence that their existence will in fact demonstrate achievement of our project objectives and in addition, give the project manager a clear target to aim at achieving. It is only when the objectives are clearly targeted that the project manager can judge whether or not the conditions at one level in the project design are sufficient to achieve the next higher level objective.

Useful rules to remember are:

1. The narrative summary must provide a clear aiming point for all involved in the project--something they can easily remember and which they believe to be important.

2. The objectively verifiable indicators add depth and understanding--establishing a "performance specification" such that even skeptics would agree that our intended result has been achieved (when indicators are objectively verified).

Four characteristics of good indicators are discussed below.

Figure II-2:

Adding Indicators Further Clarifies Project Design

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LOGICAL FRAMEWORK
FOR
SUMMARIZING PROJECT DESIGN

Est. Project Completion Date _____
Date of this Summary _____

Project Title: RICE PRODUCTION

DEVELOPMENT HYPOTHESES — If Purpose, Then Goal; If Outputs, Then Purpose; If Inputs, Then Outputs — MANAGEABLE INTEREST

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
Program Goal: The broader objective to which the project contributes Small farmer income increased in Northeastern Region.	Measures of Goal Achievement: 1. Average farmer income raised from 100 baht per year in 1976 to 130 baht/yr. in 1978. 2. Small farmer income raised from 70 to 110 baht in same period.		Concerning long term value of program/project: 1. Inflation doesn't exceed 12%/yr. 2. Sufficient "luxury" goods available for farmers to spend "Disposable" income. 3. Farmers protected from unscrupulous merchants.
Project Purpose: Small farmer rice production increased in Northeastern Region.	Conditions that will indicate purpose has been achieved: End of project status. 1. 30,000 farmers (owning 7 rai or less) increase rice yields by 50 % between October 1976 and October 1978. 2. Rice harvested by small farmers in 1978 is of better or equal quality (1% cracked) to rice harvested by some farmers in 1976. 3. 95% of farmers buy HYV seed for 1979 planting season.		Affecting purpose to goal link: 1. Price of rice does not fall below X baht/ton in 1977, and X baht/ton in 1978. 2. Market absorbs total increased production each harvest. 3. No spoilage or waste occurs in marketing/storage system.
Outputs: 1. Functioning fertilizer and high yield variety rice seed distribution system in place. 2. Farmers trained. 3. Functioning credit system in place.	Magnitude of Outputs necessary and sufficient to achieve purpose. 1a. 10 distribution centers constructed by 12/78. b. X tons fertilizer and X tons seed distributed to target group by 12/78. c. 96% of all purchases paid for within 2 months of purchase. 2a. 35,000 farmers trained by 12/78. b. 98% of those trained use new planting and cultivating techniques appropriately. 3a. 8m baht issued in credits to 25,000 small farmers by 1978, by 30 credit area offices b. Default rate does not exceed 2% of total loans. c. Credit terms acceptable to local farm leaders.		Affecting output to purpose link: 1. Extension agents correctly supervise farmer application of fertilizer. 2. 10 inches of rain falls between May and October each year. 3. Price of soya seed stays at 1976 levels so farmers will stay with rice project and not convert to soya.
Inputs: Activities and Types of Resources. 1a. Design distribution system. b. Construct storage facilities. c. Training staff. 2a. Recruit farmers. b. Develop training facilities and materials. c. Conduct training. 3a. Hire credit specialist b. Develop System procedures. c. Train staff.	Level of Effort/Expenditure for each Activity. 1a. 6 manmonths $15,000 baht 600,000 b. 12 manmonths $1,800,000 baht 900,000 c. 36 manmonths $150,000 baht 1,200,000 2. 24 manmonths $100,000 baht 100,000 24 manmonths $200,000 3. 36 manmonths $150,000 TOTALS: $..... BAHT.....		Affecting input to output link: 1. Farmers willing to accept new cultivation methods. 2. Fertilizer prices do not exceed $.. per ton. 3. Can recruit locally 150 agricultural extension agents.

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a. Indicators Measure What is Important

The indicators must measure what is important in the objective. For example, in our statement of goal "Small farmer income increased" (Figure II-2), it will be easier to measure farmer income, but we are interested in small farmer income; thus, our indicators must reflect our interest in small farmers. And we are talking about income--but do we mean income in general or do we mean real income? If we mean the latter, this must be specified so that we can measure the important aspects of our project.

b. Indicators Must Be Plausible

The indicators we select must be so closely related to what we are trying to measure that we are confident our project was an important factor in the observable results. For example, to state that the presence of farmers making large profits demonstrates that a functional credit system has been established is not plausible. Farmers making large profits could demonstrate a number of other factors at work--successful crop production, unusually high demand and short supply of a specific crop, high levels of activity in black market products, etc. To demonstrate that we have a functioning credit system, we must look for indicators more closely related with what it means to have a functioning credit system--i.e., numbers of loans actually issued to small farmers, effective default rates, speed and efficiency with which loans are processed and administered, etc.

c. Indicators Must Be Targeted

Indicators must be targeted in terms of quantity, quality, and time (QQT). If any of these three are missing we cannot be entirely objective about whether we have been successful or not. There is a simple, step-by-step process for targeting an indicator which is described below using one of the indicators selected in Figure II-2 to signal achievement of the purpose.

Step One	Identify Indicator Small farmers increase rice yields.
Step Two	Quantify 30,000 small farmers (owning 7 rai or less) increase rice yields by 50%.
Step Three	Set Quality 30,000 small farmers (owning 7 rai or less) increase rice yields by 50% while maintaining same quality existing in 1979 harvest.
Step Four	Specify Time Frame 30,000 small farmers (owning 7 rai or less) increase rice yields by 50% between October 1979 and October 1981 maintaining same quality existing in 1979 harvest.

Not every indicator can include all three factors (QQT). In the step-by-step process shown here, QQT have all been included, but the resulting indicator is somewhat awkward. In Figure II-2, however, quality has been separate and put in a separate indicator. The best method is that which simplifies. The question of quality is extremely important, but is frequently overlooked. In this example, the concern is clear--if we produce more rice at the expense of quality, we will have failed. In setting targets we must ask: "How much is enough to achieve next level objectives, what quality should it be, and by when do we need it?"

In order to answer these questions, of course, we must know the targets at higher levels. In our example, we know what farmer income currently is; we know how much basic necessities (food, seed, clothing) cost him now and can estimate what they will cost him three years from now. We therefore can estimate how much income he will have to earn in order to have a real income that sufficiently increases to make the project worth his time and effort. From this, we can derive how much rice he will have to sell at what price (hence, our assumptions about rice prices) by 1981, and in turn, we can then derive how much rice he will have to produce. This process is used for deriving targets for all components of the project. Beginnning at the highest level to determine what we need--all the way down to calculating how much it will cost us to finance the project. Then, given that we rarely get what we need, we have to look at the available resources and work our way back up the project, testing whether we can in fact accomplish the desired levels of results, and whether, once achieved, they would prove to be worth the cost ("cost effective").

d. Indicators are Independent

Indicators that demonstrate the achievement of an objective at one specific level cannot be used to demonstrate achievement at the next higher level. Although this appears to be one of the simplest concepts of Logical Framework methodology, it is also one of the most common weaknesses in Logical Framework designs. There is a common tendency to demonstrate achievement of a result by measuring the means used to achieve the result. It is frequently claimed that "school building constructed" and "teachers trained" (outputs) demonstrate improved quality of education in the school (purpose). Or "health center constructed", "medicines supplied", and the "medical staff hired", (outputs) demonstrate health care services provided by the health center (purpose). This is because it is easier to think of success in terms of the tangible deliverables of the project--we can see buildings and people. Purpose level objectives are much harder to define. Instead of struggling with something difficult and perhaps somewhat abstract, it seems logical to think: "Well, of course, we have improved health; just look at this fine building with full medical facilities and the first-class doctors and nurses we have working for us." We need to think carefully about what indicators would truly demonstrate "health care services provided": i.e., number, type and quality of actual health care provided to specified target audiences--such as number of children immunized, numbers of mothers that receive preventive health counseling, number of babies delivered successfully, etc.

We have thus made a prediction that producing the outputs will achieve the purpose, but the prediction includes uncertainty. Therefore, we cannot say that production of outputs automatically achieves purpose; nor can we use production of outputs as proof of purpose achievement. We must measure purpose-level achievement independently of output-level achievement. One way to check this independence is to determine if the set of indicators we have identified at the purpose level (EOPS) represents the means to achieve the project purpose (in which case they are really outputs, not indicators) or if they actually describe the conditions that would exist if the purpose has been achieved.

Special Indicators

Good indicators are not always available. A good indicator is a direct measure of achievement. For example, increased crop productivity can be measured by the change in crop yield per hectare on fields in the area in which the project is operating. Evaluators can measure success of this project. However, when the objective is a "viable industry established" it becomes much more difficult to measure project success. The industry may have been developed in such a fashion that it will become viable three years after the project terminates. In order to have some confidence of success at termination, it is necessary to find an indicator that can be assessed now that will predict later performance. In this case such an indicator might be a trend in the reduction of production costs per unit and/or a steady increase in orders.

Such indicators can also be used to measure results when preferred indicators are too costly to verify. If a preferred indicator requires an expensive survey for verification and if this is not within the project budget, indirect or proxy indicators must be found. If the project wants to test the quality of education in a vocational school, but cannot afford to examine the graduates, the evaluators may check how many of the graduates are being employed at what salary. Indirect indicators do not offer as much confidence in success as do direct indicators, but they represent an acceptable alternative. In using indirect indicators, care should be taken to assess what other variables could explain the change in our chosen indirect indicator. In the example above, salaries of graduates from a vocational schoold could well reflect employer satisfaction with the quality of the graduate. However, it is possible that there is a shortage of people with these particular skills and the resulting demand is unrealistically forcing prices, even if the graduates were only mediocre.*

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*/ Eugene J. Webb, Donald T. Campbell, Richard D. Schwartz, and Lee Sechrest, Unobstrusive Measures: Nonreactive Research in the Social Sciences.

RECOMMENDED FORMAT FOR AN EVALUATION SCOPE OF WORK

Name of Country (USAID) or Office (AID/Washington)
Sponsoring the Evaluation

Title of Project or Program
(or Title of Proposed Evaluation Report)

EVALUATION SCOPE OF WORK

I. ACTIVITY (PROJECT/PROGRAM) TO BE EVALUATED:

Identify the activity that will be evaluated. For example, if one or more A.I.D. assisted projects are to be evaluated, state the project number, title, cost, life-of-project dates, and most recent PACD for the project or projects to be examined. Modify appropriately if the evaluation is to cover a program, or only selected components of one or more projects.

II. PURPOSE OF THE EVALUATION:

Specify the planning, programming or implementation reason for the evaluation, and the specific agencies which are expected to use the results of the evaluation. Provide information on the following questions: To what uses will the evaluative information be put (e.g., upcoming decisions or longer-term planning needs requiring this information)? When will the information be needed to enable its practical use? Who are going to be the immediate users of the findings and recommendations? Are there other anticipated users?

Refer to appropriate project or program monitoring and evaluation (M&E) plan(s), or program documents such as CDSS or Action Plan.

Indicate whether or not the evaluation was planned for in the current Annual Evaluation Plan.

III. BACKGROUND:

The sponsoring Mission or office should outline in no more than two pages a brief history to date of the activity to be evaluated, and what is generally agreed upon by A.I.D. and the borrower/grantee as the present status of the activity (i.e., what has happened, what the activity is achieving).

Include names of key organizations and individuals involved in the activity (spell out acronyms of organizations).

IV. STATEMENT OF WORK:

State in explicit terms the questions that the users of the evaluation need answers to, and state that the evaluators have to focus their investigations on the questions, and are expected to provide answers to the questions. In formulating the questions, keep in mind the anticipated use of the information that will emerge. Remind yourself: Why do I need this information? How will I use it when I have it?

State between five and ten primary questions (no more) and indicate their priority. Expand on these essential questions by identifying subordinate questions or issues. Questions should be based on, and go beyond, what is already known about the status of the activity to be evaluated -- don't waste the time of the evaluators in covering old ground (that is, leave up to the evaluators the extent which they believe it may be useful to examine earlier events and assumptions).

As appropriate, one of the questions may relate to the adequacy and utility of the existing M&E system, and to opportunties to improve data collection before a subsequent evaluation. Otherwise, these matters may be covered in the required appendix on methodology.

State that the evaluators will be required to provide in a final report the following:

- -- their findings (i.e., the "evidence");
- -- their conclusions (i.e., their interpretation of the evidence and their best judgment based on this interpretation);
- -- their recommendations based on their judgments

Require the evaluators to distinguish clearly between their findings, their conclusions (that is, their interpretations and judgments), and their recommendations.

A listing of specific, explicit questions, together with an indication of priorities, is crucial for getting a report that tells the intended users what they need to know. A scope of work that merely says: "The evaluation team shall address the following subjects -- matters, concerns, issues -- or the extent to which a project has achieved its inputs, outputs, purpose and goal" is likely to produce a rambling evaluation report that fails to pinpoint the aspects of the project most needing attention and to provide useful information.

V. METHODS AND PROCEDURES:

This section of the scope of work should identify the design and data collection methodologies that will be used. This can be clarified by the sponsoring Mission or office by obtaining the advice of an evaluation specialist familiar with both current state of the art in evaluation and the practical circumstances in which the evaluation will take place. Otherwise, ensure that the evaluation team itself includes an evaluation specialist.

The methods and procedures must also take into account the funds budgeted for the evaluation.

The design selected for the evaluation, the associated procedures, and the cost, are based primarily on the questions asked by the users. The conceptualization, or research plan, for an evaluation is likely to vary from case to case. In A.I.D.'s experience, however, there are some practical matters that can be taken care of through a scope of work, and still allow for the flexibility that evaluators will need. These are:

- -- duration and time phasing of the evaluation (e.g., whether one or more team members, including an evaluation specialist, should be available in advance for preparatory work, or later to see the report through its final drafting; time for a team planning meeting);
- -- any requirement for team members to work a six-day week
- -- national holidays, working hours, communications/ travel problems, geographic dispersion of project or program sites, and language problems that may affect the team's activities; note availability of local translators;
- -- availability and location of data that may be useful in measuring changes or impacts in the area addressed by the project or program; list documents that team members should receive and be familiar with before the team begins its investigation (provided by the Mission or office);
- -- review of relevant materials from CDIE;
- -- characteristics of the beneficiary population that may affect interviewing procedures (e.g., gender, ethnic group, homogeniety);
- -- an estimated division of time spent between research and interviews in the U.S., in-country capital city interviews and document review, field site visits, and analysis and report writing. Note any hardship or rigorous conditions (health, climate, roughness of travel, field site living conditions) that may affect the selection of team members;

-- other administrative/logistical support to be provided by the sponsoring Mission or office (if not otherwise included in the PIO/T);

-- state whether all or a portion of the scope of work is appropriate for small 8 (a) minority and women owned firm contract.

VI. COMPOSITION OF EVALUATION TEAM:

The composition of the evaluation team should flow from, rather than determine, the statement of work. Too often, the AID sponsor selects team members on the basis of qualifications related to the technical aspects of the project or program, when such individuals lack the skills needed to design and carry out an evaluation. Especially for a major project or program, an evaluation specialist should be included on the team. When extensive field work in rural areas is envisioned, or when economic issues are a focus, include such specialists as development anthropologist, rural sociologist, development economist or political economist. At all times, seek a multi-disciplinary team, and one that includes an appropriate male/female balance. Identify language requirements, if any.

Indicate the team composition in terms of representation by the host-country borrower/grantee, host country's external contractor, beneficiary groups, USAID, Bureau, U.S. external contractor, U.S. implementing contractor. As a general rule:

-- The team for a final or ex-post evaluation should not include the USAID staff, host country agency personnel, members of the project design team, or contracted U.S. organization technical team who are directly managing and implementing the project or program. There are just too many potential conflicts of interest. On the other hand, these people should be used as major sources of information, and as sounding boards for the team's analysis. (U.S. contractors implementing projects are, of course, encouraged to carry out their own self-evaluations, but these do not substitute for an AID-sponsored evaluation).

-- The team for an interim evaluation should preferably include individuals directly involved, or at least persons representing their interests. They can gain a great deal from interaction with external evaluators on the team during the evaluation process, and in turn can help the latter understand the objective of the project or program as currently defined. The team can work out among themselves interviewing procedures that avoid the problem of the effects on interviewees of the presence of official project staff.

Specify the skills, background and experience that the team leader should have.

The shorter the duration of the evaluation, the more essential it is to have at least one team member who is familiar with the country environment and the sector of the project or program, and who is experienced in working for AID or other development agencies.

Describe the team members' roles and responsibilities (e.g., "the team leader will be responsible for preparation the final report", etc.), especially if special kinds of technical analysis will be required.

VII. REPORTING REQUIREMENTS:

1. Format of the report. State that the evaluation team should prepare a written report containing the following sections:

-- Basic Project Identification Data Sheet. (See outline that follows);

-- Executive Summary. No more than three pages, single spaced. (See outline that follows);

-- Table of Contents;

-- Body of the Report. The report is to include a description of the country context in which the project or program was developed and carried out, and provide the information (evidence and analysis) on which the conclusions and recommendations are based. It is advisable to specify the general length of the body of the report (e.g., no more than 40 pages), and allow the evaluators to include details in appendices or annexes.

-- The report should end with a full statement of conclusions and recommendations. Conclusions should be short and succinct, with the topic identified by a short subheading related to the questions posed in the Statement of Work. Recommendations should correspond to the conclusions; whenever possible, the recommendations should specify who, or what agency, should take the recommended actions;

-- Appendices. These are to include at a minimum the following:

(a) The evaluation Scope of Work;

(b) The pertinent Logical Framework(s), together with a brief summary of the current status/attainment of original or modified inputs and outputs (if these are not already indicated in the body of the report

(c) List of actions taken, and status of actions not yet taken but still considered valid by the evaluation team, based on the recommendations of an earlier evaluation of the project(s) or program(s).

(d) A description of the methodology used in the evaluation (e.g., the research approach or design, the types of indicators used to measure change of the direction/trend of impacts, how external factors were treated in the analysis). Evaluators may offer methodological recommendations for future evaluations;

(e) A bibliography of documents consulted.

Other appendices may include more details on special topics, and a list of agencies consulted.

If the Mission or office wants the evaluation team to draft the abstract for the A.I.D. Evaluation Summary, this requirement must be included in this section.

2. Submission of Report. The Scope of Work should specify both what portion or version of the report (e.g., a preliminary draft) will be presented to the sponsoring Mission or office upon completion of the field portion of the evaluation, and when the final draft will be submitted to the sponsor for formal review. If a Mission intends to include other host country or the AID/Washington Bureau in a review of a preliminary draft, additional time will have to be built into the Scope of Work to encompass this process. The Scope of Work should state that the evaluation team leader will be responsible for seeing the report through to a timely, professional completion. If all or a portion of the evaluation report is to be translated by the evaluation team (i.e., under their contract to the sponsor), specify those portions.

3. Submission of Data Sets and Documentation. If the evaluation involves the production of a data set (i.e., a series of systematic observations or measurements), the Scope of Work should require the evaluation team or the relevant contractor to provide the AID sponsor with a fully documented, reusable copy of that data set as a deliverable, with the concurrence of host country should such concurrence be necessary. Suggested wording for this requirement is contained in the AID publication "Selecting Data Collection Methods and Preparing Contractor Scopes of Work", August 1985 (PN-AAL-057), available from CDIE.

4. Debriefing(s). Specify the timing and audience(s) for debriefings by the evaluation team or team leader.

VIII. FUNDING:

Estimate the cost of the evaluation, and state how the cost will be met (e.g., project funds, PD&S funds, other resources, or some combination of these).

The following outlines for completing the Basic Project Identification Data Sheet and the Executive Summary must be attached to the Scope of Work.

EXECUTIVE SUMMARY OUTLINE

The executive summary is a two- to three-page, single-space document containing a clear, concise summary of the most critical elements of the report. It should be a self-contained document that can stand alone from the report. The summary should be written in such a way that individuals unfamiliar with the project can understand the project's basic elements and how the findings from the evaluation are related to it without having to refer to any other document.

1. Name of Mission or A.I.D./Washington Office initiating the evaluation, followed by title and date of full evaluation report.

2. Purpose of the activity or activities evaluated. What constraints or opportunities does the activity address; what is it trying to do about the constraints? Specify the problem, then specify the solution and its relationship, if any, to overall Mission or Office strategy. State the purpose and goal from the Logical Framework, if applicable.

3. Purpose of the evaluation and methodology used. Why was the evaluation undertaken and, if a single project or program evaluation, at what stage--interim, final, ex post? Briefly describe the types and sources of evidence used to assess effectiveness and impact.

4. Findings and conclusions. Discuss major findings and conclusions based on the findings as related to the questions in the scope of work. Note any major assumptions about the activity that proved invalid, including policy-related factors. Cite progress since any previous evaluation.

5. Recommendations for this activity and its offspring (in the Mission country or in the Office program). Specify the pertinent conclusions for A.I.D. in design and management of the activity, including recommendations for approval/disapproval or for fundamental changes in any follow-on activities. Note any recommendations from a previous evaluation that are still valid but were not acted upon.

6. Lessons learned (for other activities and for A.I.D. generally). This is an opportunity to give A.I.D. colleagues advice about planning and implementation strategies: how to tackle a similar development problem, key design factors, and factors pertinent to management and to evaluation itself. There may be no clear lessons. Do not stretch the findings by presenting vague generalizations in an effort to suggest broadly applicable lessons. If items 4-5 above are succinctly covered,

the reader can derive pertinent lessons. Conversely, do not hold back clear lessons even when they seem trite or naive. Address particularly the following issues:

-- Project design implications. Findings/conclusions about this activity that bear on the design or management of other similar activities and their assumptions.

-- Broad action implications. Elements that suggest action beyond the activity evaluated and that need to be considered in designing similar activities in other contexts (e.g., policy requirements, procedural matters, factors in the country that were particularly constraining or supportive).

INSTRUCTIONS FOR COMPLETING AND SUBMITTING "A.I.D. EVALUATION SUMMARY"

This form has two parts. Part I contains information to support future A.I.D. management action, and to process the evaluation into A.I.D.'s automated "memory". Part II is a self-contained summary of key elements of the full evaluation report; it can be distributed separately to interested A.I.D. staff.

WHAT WILL THIS FORM BE USED FOR?

- Record of the decisions reached by responsible officials, so that the principals involved in the activity or activities evaluated are clear about their subsequent responsibilities, and so that headquarters are aware of anticipated actions by the reporting unit.
- Notification that an evaluation has been completed, either as planned in the current Annual Evaluation Plan or for *ad hoc* reasons.
- Summary of findings at the time of the evaluation, for use in answering queries and for directing interested readers to the full evaluation report.
- Suggestions about lessons learned for use in planning and reviewing other activities of a similar nature. This form as well as the full evaluation report are processed by PPC/CDIE into A.I.D.'s automated "memory" for later access by planners and managers.

WHEN SHOULD THE FORM BE COMPLETED AND SUBMITTED? After the Mission or A.I.D./W office review of the evaluation, and after the full report has been put into a final draft (i.e., all pertinent comments included). The A.I.D. officer responsible for the evaluation should complete this form. Part of this task may be assigned to others (e.g., the evaluation team can be required to complete the Abstract and the Summary of Findings, Conclusions, and Recommendations). The individual designated as the Mission or A.I.D./W evaluation officer is responsible for ensuring that the form is completed and submitted in a timely fashion.

WHERE SHOULD THE FORM BE SENT? A copy of the form *and attachment(s)* should be sent to each of the following <u>three</u> places in A.I.D./Washington:

- The respective Bureau Evaluation Office
- PPC/CDIE/DI/Acquisitions, Room 209 SA-18 (Note: If word processor was used to type form, please attach floppy disk, labelled to indicate whether WANG PC, WANG OIS or other disk format.)
- SER/MO/CPM, Room B930 NS (please attach A.I.D. Form 5-18 or a 2-way memo and request duplication and standard distribution of 10 copies).

HOW TO ORDER ADDITIONAL COPIES OF THIS FORM: Copies of this form can be obtained by sending a "Supplies/Equipment/Services Requisition" (A.I.D. 5-7) to SER/MO/RM, Room 1264 SA-14 in A.I.D./Washington. Indicate the title and number of this form ("A.I.D. Evaluation Summary", A.I.D. 1330-5) and the quantity needed.

PART I (Facesheet and Page 2)

A. REPORTING A.I.D. UNIT: Identify the Mission or A.I.D./W office that initiated the evaluation (e.g., U.S.A.I.D./Senegal, S&T/H). Missions and offices which maintain a serial numbering system for their evaluation reports can use the next line for that purpose (e.g., ES# 87/5).

B. WAS EVALUATION SCHEDULED IN CURRENT FY ANNUAL EVALUATION PLAN? If this form is being submitted close to the date indicated in the current FY Annual Evaluation Plan (or if the final draft of the full evaluation report was submitted close to that date), check "yes". If it is being submitted late or as carried over from a previous year's plan, check "slipped". In either case, indicate on the next line the FY and Quarter in which the evaluation was initially planned. If it is not included in this year's or last year's plan, check "ad hoc".

C. EVALUATION TIMING: If this is an evaluation of a single project or program, check the box most applicable to the timing of the evaluation relative to the anticipated life of the project or program. If this is the last evaluation expected to inform a decision about a subsequently phased or follow-on project, check "final", *even though the project may have a year or more to run before its PACD*. If this is an evaluation of more than a single project or program, check "other".

D. ACTIVITY OR ACTIVITIES EVALUATED: For an evaluation covering more than four projects or programs, only list the title and date of the full evaluation report.

E. ACTION DECISIONS APPROVED BY MISSION OR A.I.D./W OFFICE DIRECTOR: What is the Mission or office going to do based on the findings, conclusions, and recommendations of the evaluation; when are they going to do it; and who will be responsible for the actions required? List *in order of priority or importance* the key actions or decisions to be taken, unresolved issues and any items requiring further study. Identify as appropriate A.I.D. actions, borrower/grantee actions, and actions requiring joint efforts. Indicate any actions that are preliminary pending further discussion or negotiation with the borrower/grantee.

F. DATE OF MISSION OR A.I.D./W OFFICE REVIEW OF EVALUATION: Date when the internal Mission or office review was held or completed.

G. APPROVALS OF EVALUATION SUMMARY AND ACTIONS DECISIONS: As appropriate, the ranking representative of the borrower/grantee can sign beside the A.I.D. Project or Program Officer.

H. EVALUATION ABSTRACT: This one-paragraph abstract will be used by PPC/CDIE to enter information about the evaluation into A.I.D.'s automated "memory". It should invite potentially interested readers to the longer summary in Part II and perhaps ultimately to the full evaluation report. It should inform the reader about the following:

- If the evaluated activity or activities have characteristics related to the reader's interests.
- The key findings, conclusions, and lessons.
- An idea of the research methods used and the nature/quality of the data supporting findings.

Previous abstracts have often been deficient in one of two ways:

- Too much information on project design, implementation problems, and current project status discourages readers before they can determine if there are important findings of interest to them.
- A "remote" tone or style prevents readers form getting a real flavor of the activity or activities evaluated; progress or lack of progress; and major reasons as analyzed by the evaluation.

In sequential sentences, the abstract should convey:

- The programming reason behind the evaluation, and its timing (e.g., mid-term, final);
- The purpose and basic characteristics of the activities evaluated;
- A summary statement of the overall achievements or lack thereof to date;
- A picture of the status of the activities as disclosed in the full evaluation report;
- An idea of the research method and types of data sources used by the evaluators;
- The most important findings and conclusions; and key lessons learned.

Avoid the passive tense and vague adjectives. Where appropriate, use hard numbers. (An example of an abstract follows; "bullets" may be used to highlight key points).

EXAMPLE OF AN ABSTRACT

The project aims to help the Government of Zaire (GOZ) establish a self-sustaining primary health care (PHC) system in 50 rural health zones (RHZ). The project is being implemented by the Church of Christ in Zaire and the GOZ's PHC Office. This mid-term evaluation (8/81-4/84) was conducted by a GOZ-USAID/Z team on the basis of a review of project documents (including a 4/84 project activity report), visits to nine RHZ's, and interviews with project personnel. The purpose was to clarify some uncertainties about the initial design and set future priorities for activities. The major findings and conclusions are:

- This well-managed and coordinated project should attain most objectives by its 1986 end.

- Progress has been good in establishing RHZ's, converting dispensaries into health centers, installing latrines (over double the target), and training medical zone chiefs, nurses, and auxiliary health workers. Long-term training has lagged however, and family planning and well construction targets have proven unviable.

- The initial assumption that doctors and nurses can organize and train village health committees seems invalid.

- User fees at health centers are insufficient to cover service costs. A.I.D.'s PRICOR project is currently studying self-financing procedures.

- Because of the project's strategic importance in Zaire's health development, it is strongly recommended to extend it 4-5 years and increase RHZ and health center targets, stressing pharmaceutical/medical supplies development and regional Training for Trainers Centers for nurses, supervisors, and village health workers.

The evaluators noted the following "lessons":

- The training of local leaders should begin as soon as the Project Identification Document is agreed upon.

- An annual national health conference spurs policy dialogue and development of donor subprojects.

- The project's institution-building nature rather than directly service nature has helped prepare thousands of Zairois to work with others in large health systems.

I. EVALUATION COSTS: Costs of the evaluation are presented in two ways. The first are the cost of the work of the evaluation team per se. If Mission or office staff serve as members of the team, indicate the number of person-days in the third column. The second are the indirect estimated costs incurred by involvement of other Mission/Office and borrower/grantee staff in the broader evaluation process, including time for preparations, logistical support, and reviews.

PART II (Pages 3-6)

J. SUMMARY OF EVALUATION FINDINGS, CONCLUSIONS, AND RECOMMENDATIONS: The following reflects a consensus among A.I.D.'s Bureaus on common elements to be included in a summary of any evaluation. The summary should not exceed the three pages provided. It should be self-contained and avoid "in-house" jargon. Spell out acronyms when first used. Avoid unnecessarily complicated explanations of the activity or activities evaluated, or of the evaluation methodology; the interested reader can find this information in the full evaluation report. Get all the critical facts and findings into the summary since a large proportion of readers will go no further. Cover the following elements, preferably in the order given:

1. Purpose of the activity or activities evaluated. What constraints or opportunities does the loan and/or grant activity address; what is it trying to do about the constraints? Specify the problem, then specify the solution and its relationship, if any, to overall Mission or office strategy. State logframe purpose and goal, if applicable.

2. Purpose of the evaluation and methodology used. Why was the evaluation undertaken? Briefly describe the types and sources of evidence used to assess effectiveness and impact.

3. Findings and conclusion. Discuss major findings and interpretations related to the questions in the Scope of Work. Note any major assumptions about the activity that proved invalid, including policy related factors. Cite progress since any previous evaluation.

4. Principal recommendations for this activity and its offspring (in the Mission country or in the office program). Specify the pertinent conclusions for A.I.D. in design and management of the activity, and for approval/disapproval and fundamental changes in any follow-on activities. *Note any recommendations from a previous evaluation that are still valid but were not acted upon.*

5. Lessons learned (for other activities and for A.I.D. generally). This is an opportunity to give A.I.D. colleagues advice about planning and implementation strategies, i.e., how to tackle a similar development problem, key design factors, factors pertinent to management and to evaluation itself. There may be no clear lessons. Don't stretch the findings by presenting vague generalizations in an effort to suggest broadly applicable lessons. If items 3-4 above are succinctly covered, the reader can derive pertinent lessons. On the other hand, don't hold back clear lessons even when these may seem trite or naive. Address:

— Project Design Implications. Findings/conclusions about this activity that bear on the design or management of other similar activities and their assumptions.

— Broad action implications. Elements which suggest action beyond the activity evaluated, and which need to be considered in designing similar activities in other contexts (e.g., policy requirements, factors in the country that were particularly constraining or supportive).

NOTE: The above outline is identical to the outline recommended for the Executive Summary of the full evaluation report. At the discretion of the Mission or Office, the latter can be copied.

K. ATTACHMENTS: Always attach a copy of the full evaluation report. A.I.D. assumes that the bibliography of the full report will include all items considered relevant to the evaluation by the Mission or Office. NOTE: if the Mission or Office has prepared documents that (1) comment in detail on the full report or (2) go into greater detail on matters requiring future A.I.D. action, these can be attached to the A.I.D. Evaluation Summary form or submitted separately via memoranda or cables.

L. COMMENTS BY MISSION, AID/W AND BORROWER/GRANTEE: This section summarizes the comments of the Mission, AID/W Office, and the borrower/grantee on the full evaluation report. It should enable the reader to understand their respective views about the usefulness and quality of the evaluation, and why any recommendations may have been rejected. It can cover the following:

- To what extent does the evaluation meet the demands of the scope of work? Does the evaluation provide answers to the questions posed? Does it surface unforeseen issues of potential interest or concern to the Mission or Office?

- Did the evaluators spend sufficient time in the field to fully understand the activity, its impacts, and the problems encountered in managing the activity?

- Did any of the evaluators show particular biases which staff believe affected the findings? Avoid ad hominem discussions but cite objective evidence such as data overlooked, gaps in interviews, statements suggesting a lack of objectivity, weaknesses in data underlying principle conclusions and recommendations.

- Did the evaluation employ innovative methods which would be applicable and useful in evaluating other projects known to the Mission or Office? Note the development of proxy measures of impact or benefit; efforts to construct baseline data; techniques that were particularly effective in isolating the effects of the activity from other concurrent factors.

- Do the findings and lessons learned that are cited in the report generally concur with the conclusions reached by A.I.D. staff and well-informed host country officials? Do lower priority findings in the evaluation warrant greater emphasis?

ATTACHMENT E

Program Performance Assessment System Guidance

Bureau for Latin America and the Caribbean

November 1991

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Program Performance Assessment System Guidance

Introduction

The Bureau for Latin America and theCaribbean is engaged in a careful examination of its monitoring, evaluation and reporting (M/E/R) functions. This appraisal draws on a long term Bureau commitment to evaluation, and extends that commitment to program-level assessment to measure results.

It has become increasingly important to:

- Concentrate and focus resources for impact on key development problems;
- Better measure and report program-level progress and impact; and
- Use this information to improve program performance.

With declining resources and increased outside interest and oversight (Congress, OMB, GAO, IG, and State) of our programs, we need to assess and understand our successes and failures, and also report them for external review and understanding.

To systematically enhance our *learning* and *reporting*, we are implementing a strategic systems approach to program planning and assessment, a program performance assessment system (PPAS).

What is PPAS? — a strategic systems approach based on building an objective tree. It is planning for measurability. The system encompasses (1) strategic planning, by identifying program-level strategic objectives using an objective tree methodology, and (2) program assessment through, the identification of performance indicators (the means of verification). The building blocks are program outputs and their respective indicators for measuring progress towards strategic objective achievement. This strategic systems approach has the following characteristics whereby it can help a Mission to:

- Focus its strategy and concentrate its resources on key country development problems;
- Demonstrate how projects, non-project assistance (NPA), and policies relate to a program strategy;
- Place the emphasis on results; and
- Assess and report on its program.

Background

Establishing and focusing on objectives is not new to the LAC Bureau. Previously the Bureau had a system of managing by objectives (MBO). The PPAS builds on the Bureau's MBO experience. The MBO system had deficiencies: objectives were defined at the Bureau level, objectives were not built on a strategic plan or vision, there was no attempt to focus resources, the emphasis was on capturing data, and there was not always a linkage between the USAID program activities and Bureau objectives.

The PPAS is a more bottom up approach. Missions establish their own respective objectives and indicators of measurement to address the Bureau's broader objectives; i.e., objectives and indicators are country specific. The country specific objectives are based on a strategic plan or vision for the USAID's program. The PPAS calls for focusing resources on key country development problems and the emphasis is on tying results to objectives. The PPAS provides for linkage between the Bureau objectives and sub-objectives, USAID strategic objectives, and USAID program activities.

In 1988-1989, the Africa Bureau, with Management Systems International (MSI) assistance, developed an objective tree methodology for program-level assessment. With the increasing interest from Congress and others outside the Agency, the LAC Bureau embarked on implementing a system for program-level assessment with MSI technical assistance. In 1990 CDIE/MSI teams began providing assistance to LAC Missions in identifying program strategic objectives and indicators.

PRISM

In April, 1991 the Administrator approved PPC/CDIE's proposed Agency-wide Program Performance Information System for Strategic Management (PRISM). The objective of PRISM is to strengthen operational-level performance information systems to provide better information on program results for more informed management decision-making. It will be a system for agency-wide program performance monitoring. PRISM is expected to indicate, at the Agency level, whether desired results are occurring and whether program outcomes are basically on track.

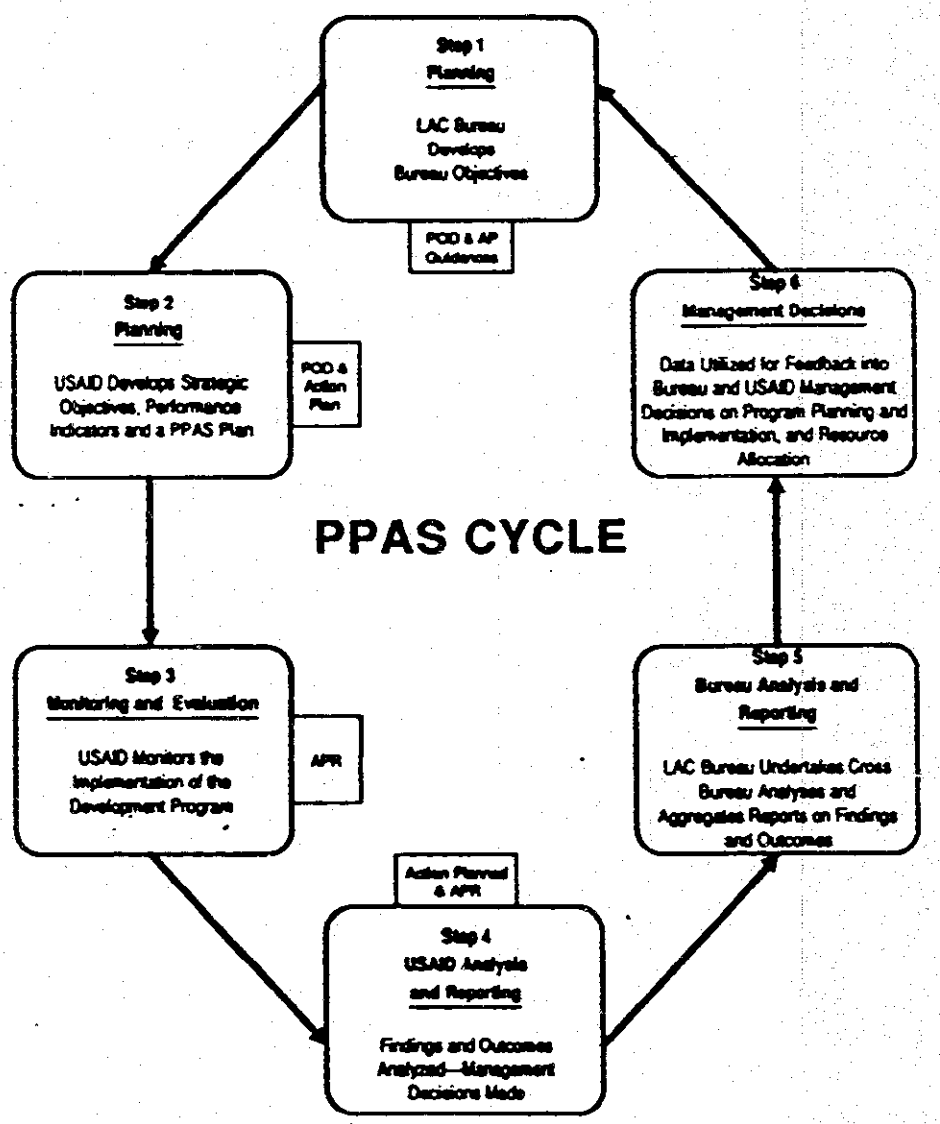
PRISM works in concert with and is based on the program performance assessment systems of the regional bureaus. It is designed to meet the decision-making needs of senior executives from performance information reported by the missions. Based on mission reported objectives and indicators, PRISM will initially select about 10 to 15 performance indicators for approximately four to six key strategic objectives. These objectives and indicators will reflect the Agency's program world-wide.

In addition, CDIE, in its PRISM program, will continue to work closely with the Bureaus in providing technical assistance to the field. This will include development and implementation of mission strategic plans, information systems and program assessments in accordance with each Bureau's system for program performance assessment. The LAC Bureau program performance system is the PPAS.

Components of the PPAS

The PPAS comprises a cycle of planning, monitoring and evaluation, analysis, reporting, management decision-making based on results, new planning, and etc. — the cycle begins again.

PPAS COMPONENTS



Note: ☐ - Document Flow

Stage One — Bureau Planning:

As indicted above, the LAC Bureau establishes Bureau-level program objectives and sub-objectives that provide a framework within which missions plan their development programs. These LAC Bureau objectives and sub-objectives are as follows:

I. Achievement Of Broadly-based, Sustainable Economic Growth

a. Adoption of and continued adherence to economic policies that promote investment, productive employment and export-led economic diversification.

b. A vigorous response by the private sector to a favorable policy environment.

c. Accelerated opportunities for increased participation in the economy by the disadvantaged.

d. Preservation and sustainable use of the natural resource base.

II. The Evolution Of Stable, Democratic Societies

a. Strengthening of competent civilian government institutions that will merit the confidence of political and military leaders, citizens and investors.

b. Pluralism, tolerance of opposing views and support for democratic values on the part of nongovernmental bodies, including the press, community organizations, labor unions and business associations.

III. International Cooperation In Addressing Specific Challenges To The Attainment Of Broadly-based, Sustainable Economic Growth And The Evaluation Of Stable, Democratic Societies.

a. Formulation and implementation of United States Government strategies for dealing with issues of particular concern, such as the production, trafficking and consumption of drugs, terrorism and environmental degradation.

b. Support United States foreign policy initiatives that can benefit from A.I.D.'s resources and expertise, such as the international observation of elections, the resettlement of displaced persons, and relief from natural and man-made disasters and epidemics.

Often the Bureau's objectives and sub-objectives are also the mission's program goals and sub-goals, but not necessarily. Missions may choose to formulate their own program goals and sub-goals, depending on how high a level their objectives reach and how close to achieving the Bureau's objectives. Should a Mission choose to develop its own program goal and/or sub-goals, the Mission's program goals and strategic objectives should be directly related to the Bureau's objectives.

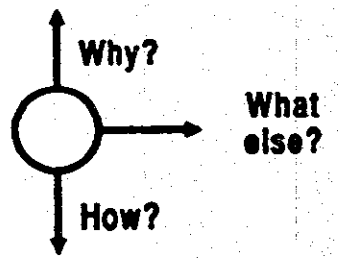
Stage Two — Mission Planning:

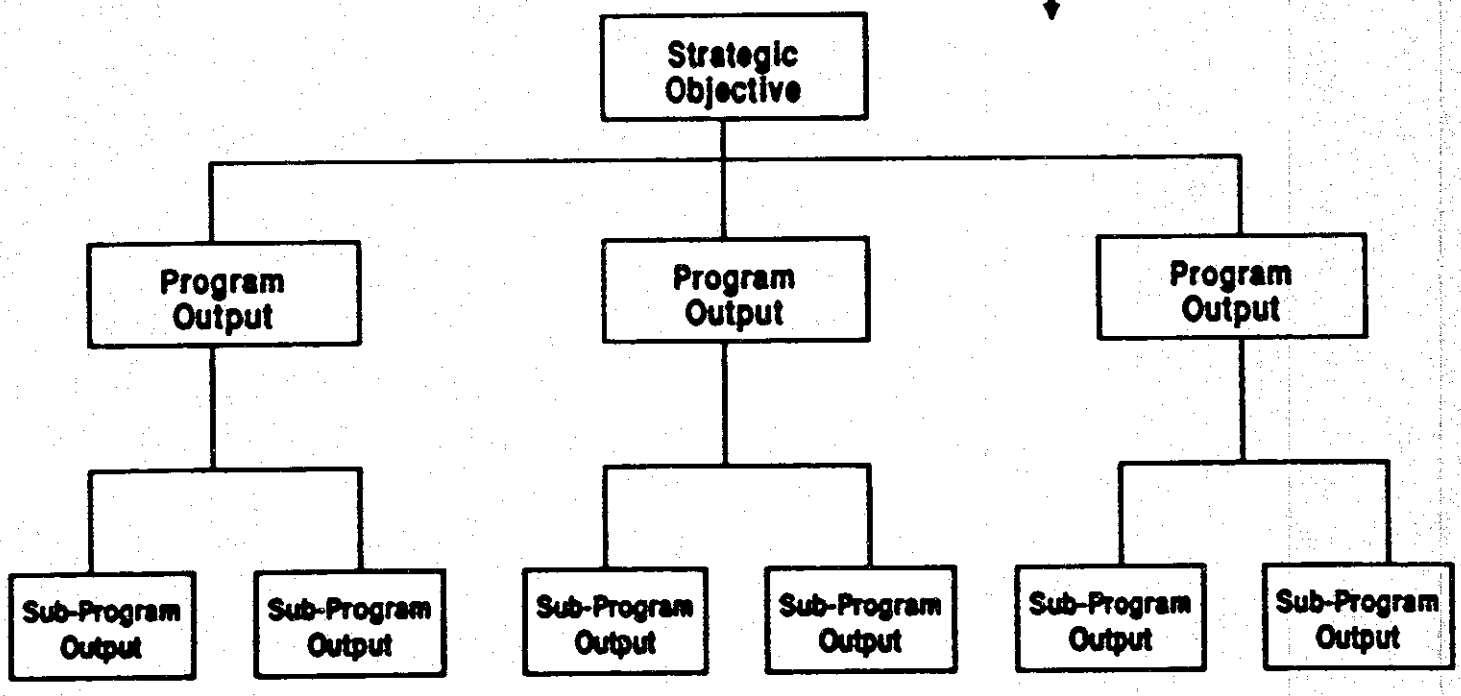
A.Identifying strategic objectives and performance indicators:

Within the framework of Bureau objectives, the USAID develops a Program Objectives Document (POD) consisting of strategic objectives and program outcomes that are focused and concentrated on selected development problems of the country. Missions are encouraged to develop strategic objectives that cover a five to seven year time frame, in consultation with appropriate representatives from the country. In

Objective Trees to Assist in Identifying Strategic Objectives

- Graphic display of causes and results.
- Identifies necessary and sufficient elements to produce results.
- Identifies key management questions.





the initial stages of developing program objectives, until the objective tree methodology is fully understood by the staff, missions are also encouraged to invite Bureau, CDIE and/or consultant review and expertise. The methodology, when appropriately applied, is conceptually rigorous, apolitical, and exacting of what is and is not strategic. An external eye tends to improve application of the methodology. (The objective tree methodology is discussed in more detail in a later section.)

Part of this second stage and of the objective tree methodology is to develop performance indicators to measure achievement of the mission's strategic objectives. Each objective may have one or several indicators. The number of indicators is dependent on the number needed to give an accurate indication of whether the objective was or was not achieved. Indicators must measure performance and be directly linked to achievement of the objective it is measuring. An aid to establishing strategic objectives and performance indicators is the development of program outputs and their respective indicators of measurement. These program outputs are essentially building blocks that lead to achievement of each strategic objective. They are concrete, near-term results of USAID activities that are most likely to contribute to the achievement of a strategic objective. The program output indicators measure progress made against the expected program outcomes. Theoretically, achievement of the program outputs for each objective will result in achievement of the strategic objective.

The following graphic depicts the role of the objective tree in developing strategic objectives and program outputs:

B. Tracking program performance:

Also, in this second stage, the mission is expected to develop a system for tracking performance, a program performance assessment plan (PPAP). The PPAP provides the framework for identifying, collecting and analyzing data to measure program-level impact. It is based on the mission's strategic objectives and performance indicators, and, therefore, should be carried out only after the mission has established its objectives and indicators. Though this plan need not be shared with A.I.D./W, it is highly recommended that missions complete such a plan for the following reasons:

- To guide information systems development
- To create a management tool for coordinating Mission Program Assessments
- To contain information system development costs
- To determine how impact will be measured
- To determine information sources

Suggested Framework for Tracking Program Performance

Strategic Objective	Performance Indicator(s)	Data Collection Methodology	Institutional Data Source	Baseline Data-Start Date	Target-End Date	Action Office	Comments

- To identify information gaps
- To assign responsibility for measuring impact

Stage Three — Monitoring and Evaluation:

In doing a program performance assessment plan (PPAP), responsibility for data collection is designated to the appropriate officers in the mission. Most of the staff make a contribution towards measuring impact. If multiple divisions within the mission share the same strategic objective, it becomes even more important to designate responsibility. The mission evaluation officer can coordinate and provide oversight to mission data collection to ensure obtaining timely and relevant information in conformance with the PPAP.

Once the PPAP is completed and information systems developed to collect information, the mission can develop information systems to monitor and assess the progress and impact of its program. Program-level monitoring and assessment may be the result of multiple evaluative exercises, such as project, NPA and PL 480 program evaluations, and baseline, linkage and other types of special studies.

For purposes of measuring program-level performance or impact, it continues to be important to ensure that each project, NPA, and PL 480 program have well articulated monitoring and evaluation (M&E) plans that are implemented. These activities contribute to achieving the mission's strategic objective and, therefore, can also contribute to measuring achievement of the strategic objective, in so far that it does so at a more macro level of achievement. Each M&E plan should outline how the project or program is linked to achieving a strategic objective(s) and how it will measure progress towards achieving the broader program-level strategic objective(s). A separate guidance will be forthcoming on the development of project, NPA, and program-level monitoring and evaluation plans.

Stage Four — USAID Analysis, Management Decisions and Reporting:

In this stage the information collected by the mission is analyzed and used by the mission in making management decisions and in ascertaining whether or not the program-level strategic objectives are being achieved. The missions may wish to structure a formal review of outcomes, findings, and results during its semi-annual project/NPA reviews or find some other occasion to focus on information generated. Information, once analyzed and reviewed should lead to improved decision-making, which is reflected in new project designs or extensions, project implementation, action plans and program objective documents.

Progress and impact is also reported to AID/W. The reporting is a part of the action plan that the mission submits annually to AID/W. Table 1 is the reporting form to be used by each mission to report the progress and impact made towards achieving each of the mission's strategic objectives.

Table 1A: MONITORING THE ACHIEVEMENT OF STRATEGIC OBJECTIVES

Country:

LAC Bureau Objective and/or Sub-Objective:

Mission Strategic Objective:

Performance Indicator	Unit	Base-line		Target		Revised	Current Year 1991		1992 Target		Data Sourc
		value	date	value	date		value	date	value	date	

Table 1B: MONITORING THE ACHIEVEMENT OF PROGRAM OUTPUTS

Country:

LAC Bureau Objective and/or Sub-Objective:

Mission Strategic Objective:

Program Output:

Program Output Indicator	Unit	Base-line		Target		Revised	Current Year 1991		1992 Target		Data Source
		value	date	value	date		value	date	value	date	

Stage Five — Bureau/CDIE analysis and Reporting:

Once the information on progress and results is reported in action plans to AID/W, on diskette as well as in hard copy, the Bureau and CDIE will use the data to analyze programming trends in common areas of endeavor. Because each mission selects its own performance indicators, some of which may not be entirely quantifiable, the data cannot be simply aggregated. We expect, however, to be able to group similar data and thus be able to report on the status of our A.I.D. development programs. Trend analysis will be possible as well as the development of case studies.

The reporting point for the missions is the Bureau through the reporting format designed for the action plan. The Bureau will share the data with CDIE for their own use. From the analyzed data, the Bureau and Agency will be in a better position to make improved internal management decisions and to report to external interests the accomplishments of our program.

Stage Six — Management Decisions:

In this sixth stage, the information received from the field has been analyzed and is used to improve decision-making at all levels of the Agency. CDIE will use the data to report directly to the Administrator and to the public on the results of our AID programs in the field. The Agency policy office will also use the information to enhance agency-wide policy formulation, program planning and budgeting.

Bureaus will have their own purposes for using the information to improve similar functions at the Bureau level. The information, used as feedback, will then influence the LAC Bureau's planning and programming. The Bureau, at this time, does <u>not</u> intend to use the information on mission program performance to make resource allocation decisions. Use of mission information for Bureau and Agency decision-making essentially leads us back to the first stage of the program assessment cycle — Bureau planning.

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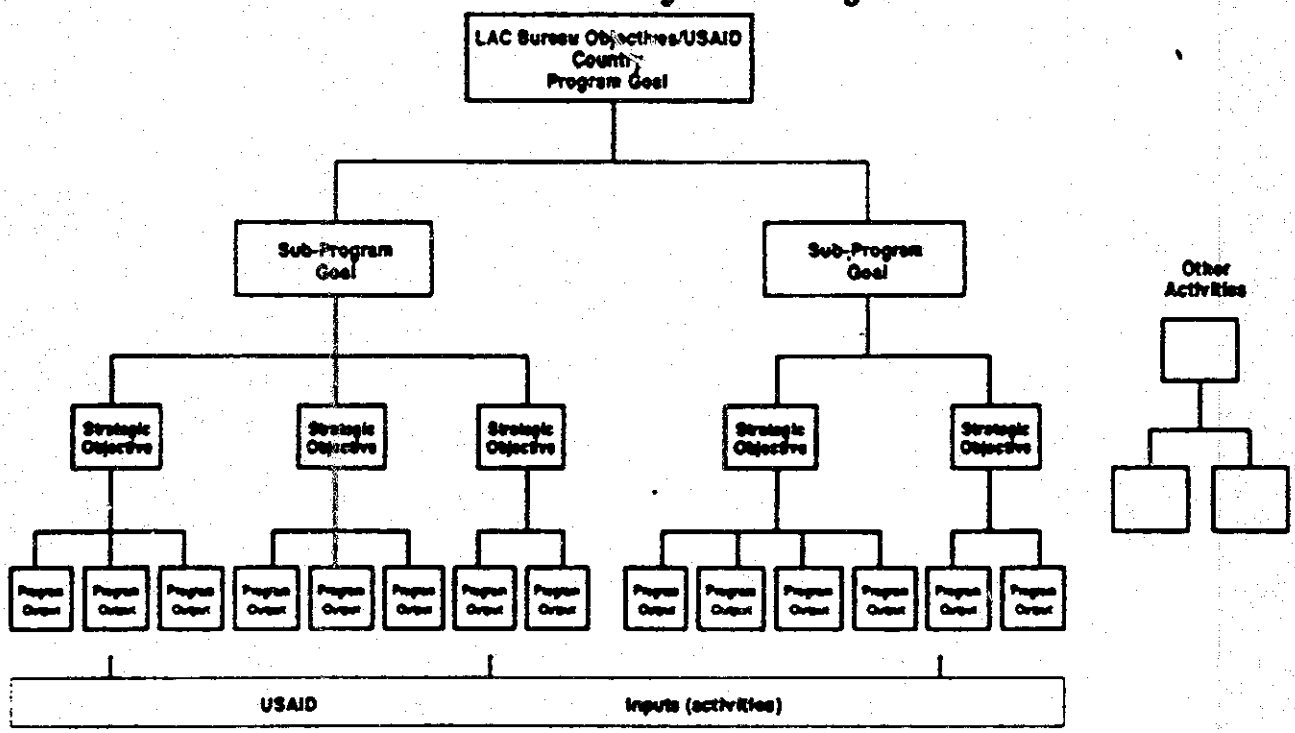
Building An Objective Tree

As shown in the following graph, an objective tree methodology is to build a program with linkages between every level that lead to accomplishing program-level objectives. Each level contributes directly to the next level.

Building a Tree Is a Process:

The professional staff of each mission is responsible, collectively, for implementing the mission's program. Active and equal participation in program planning tends to elicit staff "buy-in" and commitment to the goals and broader strategic objectives of the mission's program. Unless there is mutual understanding of what the broader program-level objectives mean and how they were derived, there will be less efficiency and, therefore, productivity in

USAID Hierarchy of Objectives



NOT ALL OF A USAID'S WORK WILL NECESSARILY FIT NEATLY.

DON'T FORCE IT!

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achieving the mission's program-level objectives.

Full staff participation takes time and is often difficult. Personal objections and varying points of view are aired, heard and negotiated until there is, for the most part, buy-in. Staff are more likely to pull in the same direction, speak the same language, and work more collaboratively when a process of inclusive participatory planning has taken place. Outside, neutral facilitation may be helpful.

Because planning is cyclical, missions may want to build in periodic planning exercises on a routine basis. Without continued review and adjustment, plans (objectives and indicators) become stale and no longer functional. With today's pace of change in the environment, this is more true than ever before. Information generated by the system for program-level assessment should facilitate a continued, periodic sharpening and focussing of the mission's strategic objectives over time.

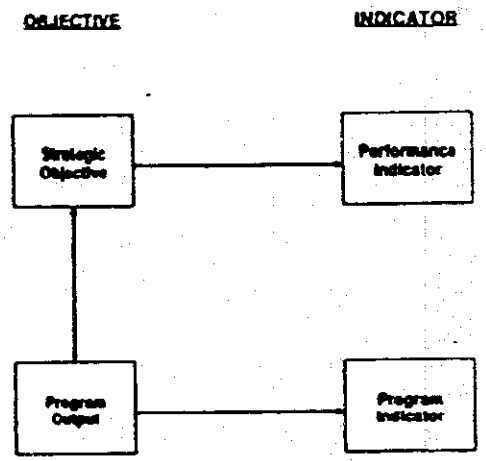
Identifying Strategic Objectives:

A strategic objective is the ***result*** of a process rather than an action towards an end result. A strategic objective:

- Is within the manageable interest of the USAID
- Results in a high level accomplishment associated with USAID action
- Focuses on results versus action
- Is a worthy development undertaking
- Leads to impact in the medium term that is measurable and which can be reported on

Program Monitoring System

Identification of Indicators to Measure Impact (Success) at Strategic Objective and Program Objectives Levels



The emphasis is on whether the USAID can significantly effect achievement of the objective, and on the measurability of that which is achieved. If the objective, as stated, does not depict an end state and is not measurable as stated, it is not a strategic objective as defined by the objective tree methodology.

Justification for the selection of each strategic objective should be in terms

of the criteria for the decision. Appropriate criteria may include some or all of the following:

- It is critical to the long-term growth and stability of the economy and society;
- It will make a greater contribution to Bureau goals than alternative investments;
- An opportunity exists for A.I.D. resources and assistance to have a significant program-level impact in this area;
- A.I.D. has a comparative advantage in the area, or is providing critical assistance not offered by another donor;
- The host government is supportive and policies are conducive to change, or key policy change is the focus of the intervention;
- The U.S. has an overriding foreign policy interest in providing support to this area;
- The opportunity exists to leverage substantial resources from the government, private sector, or other donors in support of this objective;
- It supports initiatives promoting regional cooperation; and
- It supports activities of the EAI dealing with policy reform, investment, environment, trade, and debt restructuring.

Criteria For Selecting Objectives:

- Should be short ***precise statements of the impacts*** being sought, rather than a detailed description of the means through which results will be achieved;
- Should be the ***most significant results*** in a program area for which an operating unit is willing and able to be held accountable;
- Should represent ***significant improvements*** in the well-being of people and/or the sustained performance of an economy or government;
- Should be pursued through ***clear program strategies*** (a coherent program of projects, non-project assistance, policy dialogue, and other interventions;
- Should be within an operating unit's ***manageable interest;***
- Should be amenable to ***substantial progress in the medium (5 to 7 year) term***;
- Should result from the achievement of one or more shorter term (2 to 5 year) *program outcomes;*
- Should reflect ***Agency and Bureau priorities*** in the context of country-specific opportunities;
- Should represent the *most productive investment* of A.I.D. resources given country conditions, U.S. capabilities and interests, and the activities of other donors; and
- Should be defined and ***pursued consistently*** across country settings to the extent possible.
-

Examples of strategic objectives might include:

Farm income on small and medium farms from selected commodities increased by 20% by 1997

Increased exercise of individual rights, responsibilities and representation by 1995

Increased civic participation, and lawful, representative government by 1997.

Non-traditional exports increased by 15% by 1996

Improved sustainable use of biological resources in the Highland areas by 1997

Increased use, effectiveness, and sustainability of family planning and MCH services by 1995

Developing Program Outputs:

The identification of strategic objectives operates parallel to identifying program outputs, which are the building blocks to achieving the strategic objectives. Program outputs are:

- Those concrete, near-term results of USAID activities that are most likely to contribute to the achievement of strategic objectives;
- Directly attributable to USAID activities; and
- Suitable for monitoring and reporting at regular intervals (usually annually).

The program outputs, that lead to achievement of strategic objectives, are not a composite of the USAID's projects and NPAs. They are, instead, a conceptual identification of those discrete areas of activities, carried out by the USAID, that will collectively lead to achievement of the strategic objective(s).

If, in reviewing the program outputs, they do not add up to achievement of the objective, an adjustment is needed. Either (1) the strategic objective needs to be redefined to be a natural result of the program outputs in their totality, or (2) the mission needs to reconsider its program activities to determine what fewer, additional, or different program activities need to be undertaken to achieve the strategic objective. Adjustments are made moving between strategic objective and program outputs until there is a logical sequence of events with a logical conclusion.

Selecting Indicators:

To monitor program performance, indicators are selected to measure achievement of strategic objectives and program outputs. At the level of strategic objectives, the indicator is an indicator of performance; that is to say, the indicator measures actual achievement or victory and is ***directly*** linked to achievement of the strategic objective. Identify what criterium depicts victory if the objective is achieved, frame the criterium to ***measure*** attainment of the victory, and use it as a performance indicator. Each strategic objective may have more than one performance indicator.

Criteria For Selecting Program Performance Indicators:

- Should represent the ***most useful (relevant, objective, valid) dimensions*** for measuring progress in achieving objectives;
- Should be ***clearly and obviously linked*** to the statement of intent articulated in the strategic objective;
- Should provide ***convincing evidence*** that objectives are being achieved;
- Should encompass, whenever possible, (gender disaggregated) ***program impact;*** and
- Should be ***practical,*** based on data which is already available or easily obtainable in most settings and is affordable.

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Indicators that measure program outputs function more as a progress indicator, and is indicative of making progress towards achievement of the program output, which in turn contributes to achievement of the strategic objective. This relationship is depicted below:

In the selection of the two types of indicators, quantify, to the extent possible, the amount of change expected over a specific period of time. Specify, also, if a particular segment of society is targeted. Therefore, quantify, focus and determine the timing of each indicator.

Secondly, in selecting each indicator, consider how the data will be gathered, by whom, and how often. After these considerations, is the indicator still a good measure of achievement or progress? Finally, plan the data flow. Who will get the data, in what form, how often and for what purpose?

Examples of ***performance*** indicators are the following:

Increased exports as a percent of GDP by 1997

Increase in non-traditional agricultural exports as a percentage of total exports by 1996

Decreased public sector current expenditures as a percent of GDP by 1997

25% increase in voting rights exercised by eligible electorate by 1995

15% increase in citizen perception of improved due process under the law by 1997

Legally established hectares of protected areas increased by 20% by 1996

Contraceptive prevalence rate increased from 27% in 1991 to 32% in 1997 (disaggregated for urban/rural couples)

Decrease in infant mortality from 71.4/1000 in 1991 to 66/1000 in 1997

10% increase in average promotion rate of primary schools (disaggregated by gender) by 1995

Examples of ***program output*** indicators are the following:

25% decrease in number of pre-trial detentions by 1994

Merit promotion and selection of judicial employees by 1997

Increase in tax revenues as percent of GDP by ___ % by 1996

Increased private investment as percent of GDP by ___% by 1997

15% increase in domestic savings by 1996

6,000 hectares of land reforested by 1995

More than 100,000 hectares of forest under sustainable management by 1997

Increase from 24% in 1989 to 50% use of ORT in children under five years by 1995

Reported incidence of diarrheal disease decreased in children under five years from 350,000 per year to 270,000 per year by 1994

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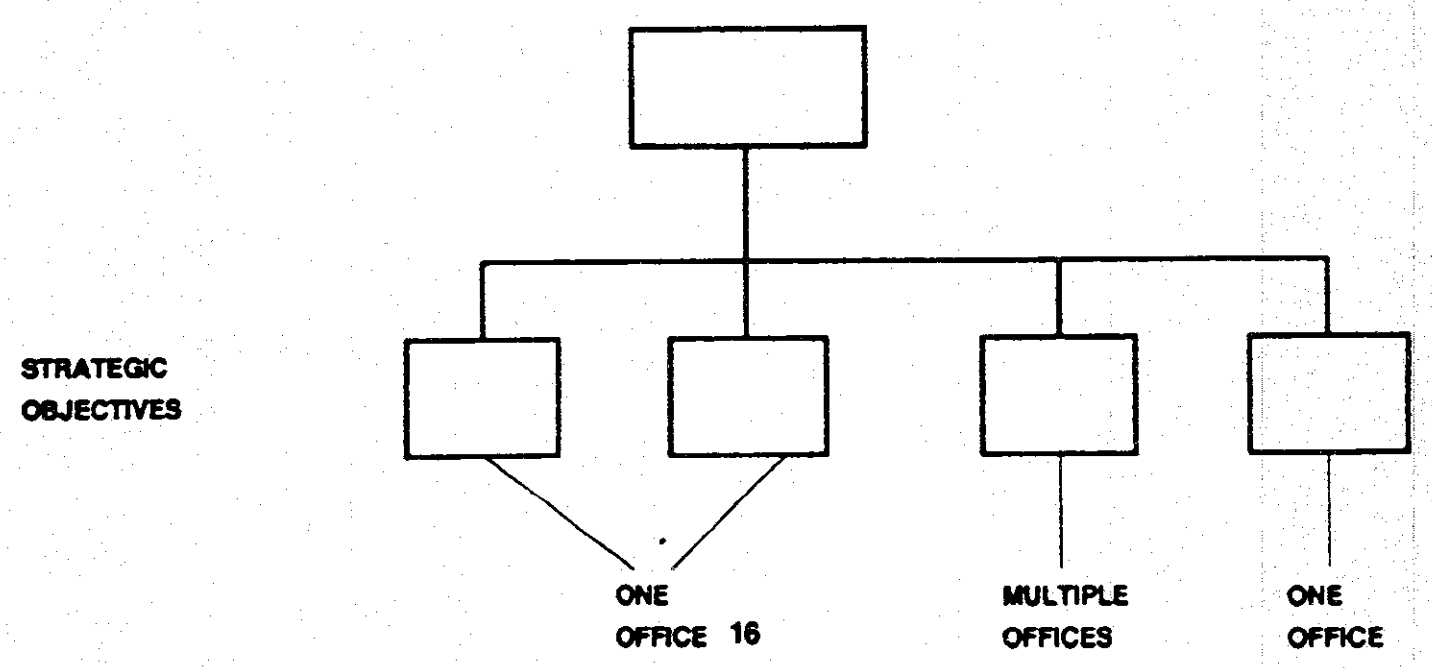
Program Management

Traditionally USAID's have, for the most part, managed projects and programs by staff within specific divisions. With the advent of strategic objectives, responsibility for achievement of each objective is often mutually shared by several offices within a mission. It has become, therefore, increasingly more important for each person within the mission to know, understand and accept responsibility for their contribution to the achievement of a commonly shared strategic objective.

For each member of the staff to accept responsibility with commitment, it is important that each:

- Participate in identifying and monitoring strategic objectives and program outputs;
- Participate in identifying performance and program output indicators; and
- Report on the status and impact of strategic objectives.

Management of the program to achieve clearly defined and measurable results, when shared by multiple offices, often requires greater attention to communication and coordination among offices. Missions may need to ensure that either formal or informal arrangements are made to encourage and support increased communication and coordination. To facilitate lateral relations, the mission may plan special committees, monthly joint staff meetings, brown bag lunches, jointly prepared status reports to the mission director, or other similar types of arrangements as needed to ensure that coordination takes place.

SOME STRATEGIC OBJECTIVES WILL FIT CLOSELY WITH OFFICES — OTHERS WILL CUT ACROSS BOUNDARIES