Project Evaluation Guidelines

third edition

August 1974

Office of Development Program Review and Evaluation
United States Agency for International Development
Washington, D.C. 20523

M.O. 1026.1
Supplement I

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FOREWORD

This booklet represents the second revision of the *Project Evaluation Guidelines*, which were initially prepared in conjunction with the introduction of the new logical framework methodology and the revised Project Appraisal Report (PAR) in late 1970. At that time, the *Guidelines* were primarily designed as a teaching instrument, to be used in introducing the new techniques to Mission and AID/W personnel.

With the passage of time, a large number of persons have been exposed to the new logical framework process. In view of this fact, conceptual materials have been kept to a minimum in this edition*, with primary emphasis placed on getting the design and evaluation job done. On the other hand, some materials pertaining primarily to the application of the Agency's project evaluation system have been shifted from the *Evaluation Handbook* to be included in these *Guidelines*, and entirely new material based on working experience with the system has been added. As a result, the *Guidelines* has grown a little fatter and now brings together in one document information which will assist in the preparatory staff work for the annual project evaluation exercise.

A set of evaluation worksheets is included in these *Guidelines* for purposes of illustration. These worksheets, intended for use with the instructions in the *Guidelines*, are available separately. They are packaged as a set in the *Project Evaluation Workbook*, M.O. 1026.1, Supplement III, Second Edition, December 1972.

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* These can now be found in the *Evaluation Handbook* (Second Edition).

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Introduction[1/]

These Project Evaluation Guidelines start with the thesis that project design and evaluation are integral. Project design establishes the intent, the plan, the means for measuring progress, and the assumptions. Project evaluation reconsiders each of these design elements and then attempts to assess the progress. The results of such evaluations may then be manifested in changes in project design. Thus the framework of the original project design is also the framework for the evaluation. Although these Guidelines are primarily for the use of the project evaluator, some of the concepts and methodology described are equally useful to the project planner. These are the sections which describe the project logical framework: Introduction, Section II, and Section III.

These Guidelines also reflect the new policy emphasis on a collaborative relationship between Mission, the action agent, and the cooperating country. To the maximum extent feasible, the cooperating country and the action agent should participate in all stages of the process described.

After the need for a project has been established, project planning usually proceeds in two phases: first, a general formulation phase in which the cooperating country and the Mission jointly define the project purpose, the results or outputs expected, and the amounts and kinds of resource inputs which each will provide. Second, a phase of detailed technical design and specification about techniques, training, equipment, material, timing, etc. These Guidelines generally relate to the first of these two phases and the terms project "formulation," "planning," or "design" are used in that context. Nevertheless, the subsequent technical details should not change the basic logic of the project and are themselves elements for which progress is later evaluated.

[1/] Every effort has been made to avoid duplication of materials between the Project Evaluation Guidelines and the Evaluation Handbook. However, in order to allow this document to stand on its own, this Introduction has been adapted from Chapter III of the Evaluation Handbook (Second Edition).

Missions and A.I.D./W offices which finance technical assistance and certain other types of projects are required to assure that these projects are evaluated annually. The self-evaluation approach should enlist the judgments and suggestions of all knowledgeable personnel, including the cooperating country and other donors, members of contract and PASA teams, and Missions. Self-evaluation has the advantages of more complete coverage, greater knowledge, and more likelihood of putting recommendations into effect. To achieve objectivity despite self-evaluation, there is an established process described below which organizes people into interactive groups, and attempts to organize information into logical frameworks and Project Appraisal Reports.

Participants in the Evaluation Process

In conjunction with A.I.D.'s increasing emphasis on the collaborative style, and involvement of intermediaries, responsibility for the design, implementation and evaluation of A.I.D. projects has become a shared one among three parties: the cooperating country, the Mission, and the intermediary. 2/ The representatives of these three parties constitute a management team which is referred to in these Guidelines as the Project Staff.3/

The relative weight of this responsibility upon each member of the triumvirate--the Project Staff--will vary from project to project and may vary from one phase of a project to another. In some cases it will be rather evenly assumed, and in others, one or more members may predominate in their leadership. For instance, in some less-developed countries, the government officials and/or local project personnel are capable of taking a leading -- or at least an equal role--in planning and carrying out the project vis-a-vis the Mission and the intermediary. In all instances, however, participation of all three members of the Project Staff in the evaluation process is a fundamental element.

The Mission is represented by the Project Officer. As suggested above his responsibility for the design, implementation, and evaluation of the project will vary. In some cases, when the intermediary and/or cooperating country have been able to assume a greater share, he will be more indirectly involved, in a monitoring capacity. In the past, this function has been designated as that of Project Manager, but, in order both to avoid confusion with responsibility for administrative chores and to reflect the shared and sometimes indirect responsibility for managing the development process, the term Project Officer has been substituted.

2/ A.I.D. intermediaries may be contractors, PASA's, or Voluntary Agencies.

3/ Note that the word "Project" tends to be used by donors; the cooperating country may think of the activity as part of a larger ongoing responsibility such as secondary education.

The intermediary is represented by the Team Leader.

Representation for the cooperating country will vary according to a number of factors including the size and organization of the governmental structure and the project; the level at which responsibility for design, implementation, and evaluation is assigned in that country; and the time and interest the cooperating country will invest in the project. Missions which have thus far brought cooperating-country personnel into collaboration in the evaluation process have worked with a variety of personnel in the design clarification and progress measurement stages, ranging from technical counterparts on the project site to government officials who are the equivalent of the Mission Project Officer. A number of Missions have reported, however, that while such representation during preliminary staff work is important to understanding what cooperating-country project personnel see as the direction of the project, and its strengths and weaknesses in the local context, it is most effective to have a representative at the final Director's Review who is in a sufficiently responsible position to make action decisions on behalf of his government.

In addition to the various people constituting the Project Staff, other personnel will participate at the various stages of the evaluation process. The Evaluation Officer will be involved throughout the process, as will either the Program Officer or Assistant Program Officer involved with the project. The Mission Director and/or his Deputy will participate in the Director's Review. The Technical Division Chief--or other sector management staff--if he is not in fact also the Project Officer for the particular project, will become involved as design and implementation issues arise. In addition, depending on the information required or the actions to be assigned, other concerned individuals such as the cooperating-country Planning Ministry, or the Mission Controller or the Supply Advisor may need to participate. On occasion, the stateside backstop for an intermediary organization, depending on the degree of its responsibility for design and evaluation, may be involved.

The various roles described above are presented in more detail throughout the Guidelines as the stages of the evaluation process are discussed.

The Process

The key elements of the Agency's project evaluation process are:

1. Clarification of Project Design.

Using a logical framework, Project Staff and other personnel concerned lay out a project design, including a hierarchy of objectives, progress indicators, and assumptions about necessary conditions.

The logical framework is not normally used as an evaluation device; rather, it sets the stage for the evaluation. If the project is being evaluated for the first time, the framework clarifies the project design against which progress will be evaluated. If the project is being evaluated for a second, third, or fourth time, the logical framework helps consideration of whether the design is still valid or should be changed in the light of changing circumstances and greater knowledge.

2. Assessment of Progress

Having reexamined project design, the next task is to look at objective data about the delivery of project inputs, production of project outputs, whether this production of outputs in fact has brought progress toward the achievement of the project purpose, and, finally, whether this progress is making a significant contribution, as planned, to the higher goal.

Although its evaluation looks at the performance of input factors (personnel, training, commodities) and action agents (Mission, intermediaries, other donors, and the cooperating country) A.I.D. puts more emphasis on results, on actual progress toward outputs, purpose, and goal.

3. A Group Review

Following the staff work to clarify design and assess progress, the next element is an interactive review among interested and responsible parties. This is essential for reaching the best evaluative conclusions. It also assures that evaluation findings are considered by senior decision makers. The desired approach in the review is a collaborative effort rather than a judicial inquiry. The attendance at these reviews depends on the project. In addition to Project Staff, others who will usually attend are the Mission Director, or Deputy Director, the Program Officer, the Evaluation Officer, and the Technical Division Chief or other sector management staff. Others who might also attend include the Controller, other donors, or representatives from A.I.D./W (in the case of field-managed projects) or the Mission (in the case of A.I.D./W-managed projects).

4. A Summary Report.

A simplified Project Appraisal Report (PAR), conceived as a low-cost by-product of the evaluation process is designed to provide evidence to A.I.D./W of a rigorous field evaluation process as well as a permanent record of the actions resulting from the evaluation review.

This four-step process is assisted by a process manager called an Evaluation Officer who is responsible for seeing that an evaluation schedule is set and met, who helps project personnel analyze their progress in accordance with the logical framework, who arranges for and follows up on the

group reviews. It is the Evaluation Officer who helps organize both the information and the people--he does not do the evaluation or make the evaluation decisions.

At first glance this approach to evaluation may appear too elementary for examination of the more profound aspects of economic development. In fact, the format allows the widest latitude in the degree of sophistication and analysis applied to the collection of data, the examination of causative linkages, and other aspects.

The Concept

Underlying the concept of ongoing evaluation is a recognition that many AID-assisted projects are experimental in nature and that, due to lack of valid theory, data, or experience, their outcomes are not always predictable. Evaluation, under such circumstances, is doubly important: not only does it increase the chances for ultimate success in a particular project, but it clarifies project effectiveness and impact, to the benefit of AID planning in general.

Like a scientific experiment, the development assistance process may be described as a series of hypotheses or causative (means-end) linkages which will trace the transformation of resource inputs into planned development change. The first linkage is that if the donor and cooperating country provide certain inputs, then predicted project outputs should occur.[4/] We then hypothesize that if these outputs occur, certain economic or social changes will follow--a project purpose will be achieved. Finally, we hypothesize that, if these changes take place, then increased employment, higher living standards, political stability, or other broad goals beyond the project will be achieved. (The actual number of linkages may be more than the three described, but there are advantages in telescoping the chain to a length which is easily grasped.)

The concept of a series of hypotheses or causative linkages carries with it several other ideas of importance for evaluation, quite aside from the fact that careful definition of levels of intent can (1) permit advance judgment about the probability of achieving objectives with available resources and methods and (2) facilitate systematic execution of the project.

One of the related ideas is that the first linkage--the conversion of inputs to outputs--is presumed to be manageable, although the management is often very complex because of the joint provision of inputs and the subtle process of adapting imported technology. The degree of responsibility of the managers is greater for the production of outputs than for the achievement

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[4/] See Glossary for definition of terms.

of purpose, since this achievement depends heavily on external influences beyond the control of the project personnel. The responsibility of managers is even more attenuated for a goal. Evaluation is easier when managers realize that they will not be held accountable for all linkages, but will join with other interested officials to test the hypotheses that production of outputs will lead to achievement of purpose and that this achievement will contribute to the goal. The managers' responsibility about purpose is to recommend changes in outputs or purpose if the first plan is not working.

Another related and crucial idea is that the assessment of progress toward purpose (either qualitative or quantitative) must be independent of the measurement of outputs, otherwise a logical fallacy results. Too often in the past it has been forgotten that the production of outputs does not guarantee achievement of purpose. By using such words as targets, results, or objectives, a clear distinction has not been made of the logical difference between producing something such as trained agriculturists (output) and solving a problem such as low yields (purpose).

The final related idea is that when evaluation focuses on causative linkages it is looking at impact and thus reducing management's usual preoccupation with inputs. A salient aspect of the scientific method is a painstaking review when results are not as expected. Why didn't the hypothesis prove valid? Were the inputs of the wrong type or inadequate? Had the nature of the problem been incorrectly diagnosed, so that the outputs were irrelevant? By asking such questions, decisions can be reached on ways to improve project design and methods for the coming year.

To recapitulate, the process of analysis should follow the vertical progression of a development project:

(1) If adequate inputs are provided, then planned outputs will be produced.

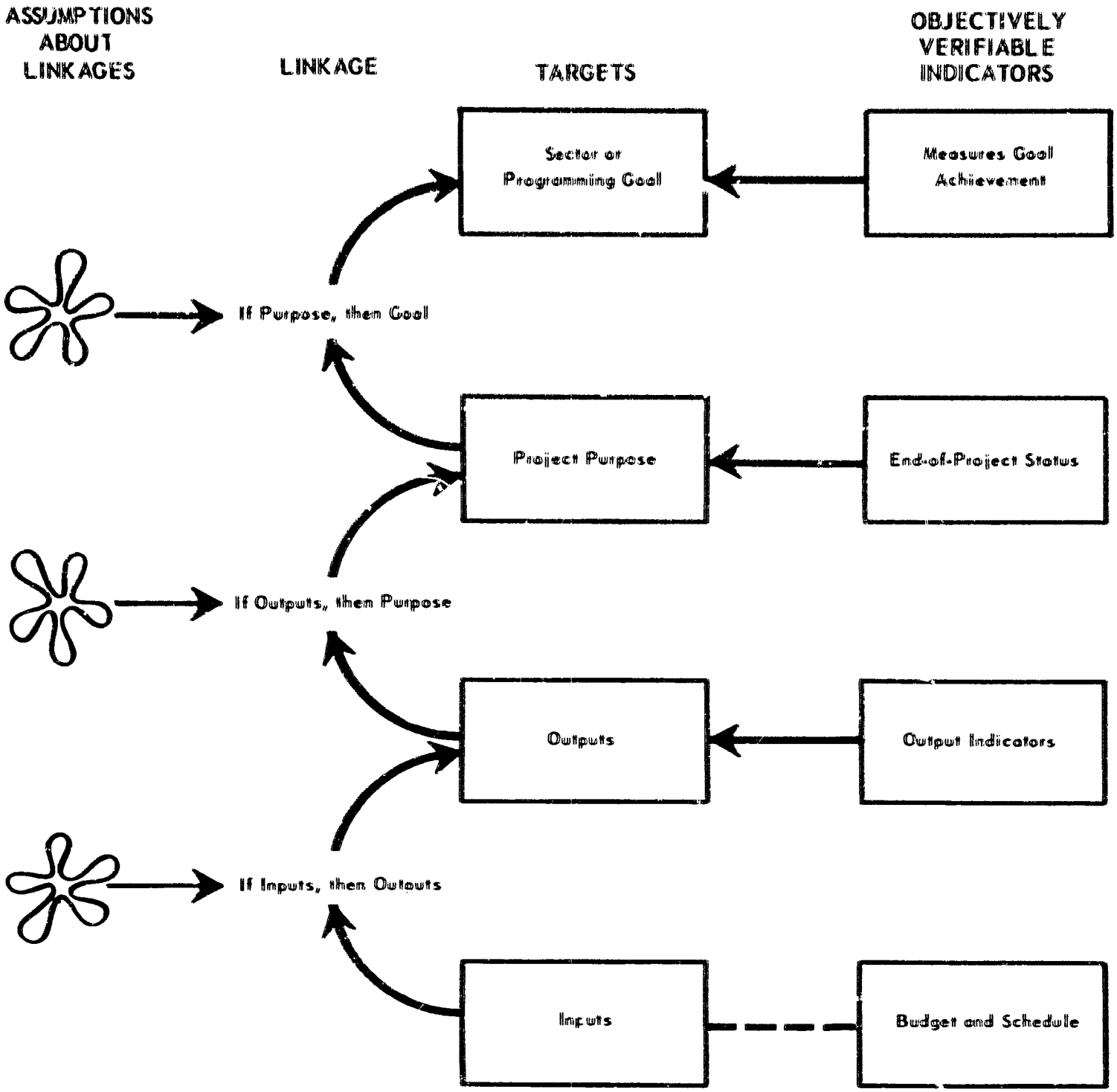
(2) If these outputs are produced then purpose will be achieved.

(3) If purpose is achieved, then a planned degree of progress toward a higher goal will occur.

Along with this vertical logic, a kind of implicit horizontal logic needs to be made explicit. Earlier, in speaking of the measurement of progress, there was a presumption that for each level of aim or intent--for output, purpose, and goal--it is possible to devise objectively verifiable indicators. These indicators may be qualitative or quantitative but they should provide evidence that would lead to the same conclusion by two different people. Frequently, the effort to define relevant and practical indicators leads to a much clearer definition of purpose and goal, which in turn affects the type of inputs and outputs. Adopting the experimental viewpoint of a

THE LOGICAL STRUCTURE OF

A TECHNICAL ASSISTANCE PROJECT



scientist does not remove the need for judgment or lessen the need to discriminate between the subjective and the objective. Production of outputs and achievement of purpose are objectively verifiable; the subjective element is the predictive judgment that producing the outputs will achieve the purpose.

The other implicit element of horizontal logic is that for each level of intent there are certain controlling factors which are beyond the scope of the project but which are nevertheless critical to success. Of necessity, project personnel must make the supposition that these external factors or outside influences will interact in such a way that they do not prevent success. This does not imply a partial surrender to uncertainty. Properly treated, assumptions about such factors are a means for codifying and thus reducing the uncertainties surrounding the project. Making these assumptions explicit when a project is being planned may reveal advisable changes in project design to enhance the probability of success. Later, when evaluation reveals that one stage did not lead to the next to the extent expected, the reason may be that some assumption proved invalid. Alternatives to the mixture of inputs and methods or to the nature of the purpose and goal must then be considered.

The careful and objective sorting of evidence is what both Project Staffs, and the planners and managers of development programs, must strive for; and the logical framework is designed to support this process. For the evaluation process to be useful, it must be carried out with the utmost candor and objectivity. Proposals to change or adjust shortcomings in strategy are the mark of alert and flexible officers who take advantage of experience.

THE EVALUATION PROCESS

1. Setting the Stage

To paraphrase the well-known warning which appeared at one time on cigarette packages:

> Absolute adherence to all details below may be harmful to your evaluation

In other words, though these Guidelines offer a set of principles which have been field-tested and proved of value in improving project design and evaluation, they can be adapted. Specific circumstances will differ from country to country, from Mission to Mission, from A.I.D./W Office to Office, and what may work like a charm in one may prove less satisfactory in another. This does not mean, of course, that it is possible to do violence with impunity to the basic evaluation concept, or for that matter to any and all parts of the process, and still expect to come up with a meaningful result. However, within reason it should be possible to adjust the process to fit specific circumstances, style of working, and even the idiosyncrasies of some key participants in the process.

What follows is a proven approach to project evaluation. Depending on the circumstances in the cooperating country, the operational style of the Mission or AID/W action office, the Evaluation Officer, the predilections of the Project Officer, etc., appropriate adjustments may be made. This particular approach is represented in the hope that it will assist the development of an individualized procedure.

1. Some weeks prior to beginning the evaluation, the Evaluation Officer undertakes to alert the Project Staff so that they can think about and collect basic data for the forthcoming evaluation. 1/

1/ For one Mission's sample memorandum, see Appendix A.

2. The Evaluation Officer and Project Officer should jointly decide who is to participate in the examination of project design and project status. A Program Office representative[2/] and key project personnel, whether contractor, PASA, or direct-hire, should be present; the active participation of cooperating-country officials should also be encouraged and increasingly strengthened.

3. Before beginning review of a particular project, the Evaluation Officer discusses the evaluation system with the group which has been selected. If all are familiar with the system, a minimum of discussion is required; if not, a thorough discussion of the concepts and procedures will save time in the long run. Those not familiar with the process might be invited to sit in on the examination of another project to familiarize them with the system.

4. When practical, working sessions should be scheduled over a reasonable period of time; e.g., two half-day sessions per week. Continuous sessions covering several days are likely to interfere with other duties and generate excessive tensions.

5. One person thoroughly familiar with evaluation procedures (such as the Evaluation Officer) should guide the other members of the reviewing group through the reexamination of the project's design and status, by assisting in the preparation of the worksheets and matrix; it can be helpful if the Evaluation Officer assumes responsibility for actually putting the information on paper. The interaction which results is likely to enhance the quality of the analysis and it will not be necessary for the Evaluation Officer to ""correct"" a statement previously written by another participant. In addition, concentrating preparation in the hands of a rapporteur helps to emphasize that analysis and examination are the important aspects of the review; preparing the documents and logical framework simply provides a record.

6. Perhaps nothing is more important, and more difficult to define, than the atmosphere that must prevail if the process is to be successful. The relationship between the Evaluation Officer (or whoever guides the process) and the other participants should at no time be permitted to become that of adversaries, but should be based on mutual cooperation to achieve a common aim.

7. In the sample procedure outlined, the first question asked pertains to a description of Project Purpose. However, some people may be more comfortable if they start at another point and change the order in which the information is obtained. Here again, it is more important that the participants in the process feel comfortable with the process rather than follow an arbitrarily determined order.

II. Creating and Clarifying the Project Design

The steps described in this section are applicable both in developing the initial project design and, where an existing project is being evaluated, in systematically analyzing and clarifying the original design.

A useful special form, the "Logical Framework Matrix" (AID 1020-28), has been developed to record the substantive steps in design and design clarification:

	1 Narrative Summary	2 Indicators	3 Means of Verification	4 Assumptions
A	GOAL:			
B	PURPOSE:	EOPS:		
C	OUTPUTS:			
D	INPUTS:			BOPS:

The analytical process which will now be described will refer back to this logical framework matrix. (For easier location the horizontal rows here are designated A through D and the vertical columns 1 through 4, so that, for example, cell B-1 would be the Narrative Summary of Project Purpose.[3/] In preparing an initial matrix, it may be more convenient at the outset to record ideas on separate sheets of paper (such as project design worksheets) or on the four-page logical framework matrix (AID 1020-28 Supplement 1) rather than the one-page matrix; the information can be condensed afterward. For clarifying an existing project design, either matrix form may be useful for recording comments in the particular cell to which they apply. Relevant forms are contained in Appendix B. The matrix form has importance only in that it is a convenient way of recording the critical elements of a project design.

The terms used in the following pages are defined in the Glossary beginning on page 35.

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3. The designations EOPS and BOPS refer to "End-Of-Project Status" and "Beginning-Of-Project Status", respectively; these are discussed on following pages.

Briefly state the purpose which the project is expected to achieve if completed successfully and on schedule. Unless this is your first effort at project design, you will know that defining the purpose is frequently anything but simple. Often the best approach is the "problem solving" approach. The purpose of the project is the converse of the problem to which the project is addressed. Start by describing the problem that needs to be resolved and then "invert" this problem statement:

Problem: Population growth will outrun domestically produced cereal grain supply in a few years.

Inversion: Increase domestic production of cereal grains to meet needs of growing local population.

The inversion indicates a possible solution but is not necessarily usable as a definitive statement of project purpose. A little more explicit information may be needed:

Purpose: Increase domestic production of cereal grains in the seven northeastern provinces from XXX metric tons in 1974 to YYY metric tons in 1977.

Another example of the problem solving approach might be:

Problem: Disparity of production between large mechanized farms and small family-operated farms is increasing, wtih corresponding increases in the disparity of incomes.

Inversion: Increase productivity of small farms.

Again, the addition of a few explicit dimensions may be needed to transform the inverse statement into a meaningful statement of project purpose:
Purpose: Increase per-hectare productivity of commercial food crops from XXX metric tons/hectare to YYY metric tons/hectare by 1977, on farms of less than ZZZ-hectare size.

The final statement must be targeted (magnitude, time, and target area or audience) and expressed in explicit, precise, verifiable and finite terms.

Above all, try to summarize the purpose in concise language. If it takes more than a sentence or two, examine each phrase to see if it is germane or necessary. Avoid the confusion of language discussed under "Targeting Errors" in Section E below.

2. Conditions That Will Indicate Project Purpose Has Been Achieved: End of Project Status (EOPS) (B-2)

Describe the conditions or situation which will exist when the project achieves its purpose. Designate an identifiable point (or state) which will be considered the logical end of the project; i.e., explain how you or anyone else will know when the project purpose has been achieved.

In selecting EOPS or other indicators, be guided by four critical tests:
(a) Plausibility. The indicator must vary with progress or achievement in the project, and it should not vary significantly with changes in unrelated factors.

(b) Independence. Indicators at each level must be distinct from, and independent of, indicators at other levels. Since levels are causally related, and therefore differ in kind rather than magnitude, no event may be used as an indicator on two levels.

(c) Objective Verifiability. The evidence presented by an indicator must be of such a nature that both a skeptic and an advocate of the program will agree on its factual content and validity.

(d) Targeting. Indicators must be explicit in terms of magnitude, time, and when appropriate locale; e.g. "Crop yield up 1.5 tons per acre in the four eastern provinces by June 1976".

Responsible personnel may argue that improvements will always be needed and in this sense projects ought not to "end". The point is valid, but the aim of LOPS indicators is not to impose an arbitrary termination date, but to set up definite targets which are to be achieved in a reasonable period, thus contributing to a phased attack on some identified aspect of an overall problem.

Another kind of difficulty may arise because project descriptions frequently lack the necessary degree of specificity. The tendency has been to describe the conditions expected in such imprecise terms as "viable," "expanded," "improved," or even a combination thereof.

Definite Terms:	Fuzzy Terms:
Install	Improve
Establish	Enhance
Create	Reinforce
Generate	Upgrade
Diversify	Service
Reduce from x to y	Strengthen
Eradicate x	Raise quality
Institutionalize process/techniques	
Cover cost of x	Promote
Raise foreign exchange _____%	Augment
Remove constraints	Assist
Accomplish something	Expand
	Develop
	Coordinate
	Make viable
	Stimulate

Ideally both project purpose and indicators should be put in definite terms. Indicators, however, must be definite, and they may compensate for an imprecise project purpose statement by providing explicit targeting. (See Part E below.)

In some cases indicators may show qualitative rather than quantitative targets. When qualitative indicators are used, as in example 4 below, the information reflected in the next horizontal box (B-3, Means of Verification) is especially important.

Example of end-of-project status for agricultural research center:

1. Cooperating country staff qualified to lead and manage Center without outside support.

2. Annual government operating budget of $500,000.

3. Professional staff consisting of a minimum of 10 section chiefs with M. Sc. degrees and 25 technicians with B. Sc. degrees.

4. Center enjoys international reputation in its field.

5. Center has capacity to prepare and reproduce x number of extension pamphlets in y number of copies per month.

3. Verification of the Conditions Expected at End of Project (B-3)

The measurements or types and sources of evidence to verify conditions marking success of the project are governed by the nature of the indicators. These might require a special data collection effort, outside observers, an aerial survey, or simply consulting a cooperating-government data source or observing an operating process. These may be indirect or proxy indicators (such as bazaar prices, to indicate production or availability), a combination of quantifiable items, or a series of patterns of institutional or human behavior.

Example:

Condition Expected:	Center enjoys international reputation in its field.
Verification:	Requests by qualified foreign scholars to work at Center exceed available spaces.
	Center researchers favorably received at foreign institutions.

4. Assumptions for Achieving Purpose (B-4)

What assumptions must be realized if we are to obtain the conditions which will exist if the project achieves its purpose? What are the factors over which the project personnel have little or no control, but which, if not present, are likely to restrict the progress from output achievement to purpose achievement? Those assumptions which directly impinge on this causal linkage should be stated explicitly and in operational terms (that is, terms which indicate the actions which will bring them about or, at least, increase the probability that they will occur).

Examples:
1. Willingness of cooperating government to provide incentives necessary to hold and stimulate professional growth of qualified personnel.
2. Continued support by government of efforts to increase decentralization of agricultural research efforts.
3. No major deterioration in area security situation.

One Mission Evaluation Officer has found it helpful to maintain a cumulative list, showing assumptions as they appear on various logical framework matrixes, separated for goal, purpose, and output. After the assumptions for any given project are put on the project's logical framework matrix, the project personnel are shown the listing of assumptions for other projects. These will frequently trigger the addition of further ones for the project being reviewed.

Note well, however, that the list of assumptions, while it should be comprehensive, is not a simple jotting down of everything that could affect the project. It should be the result of study and analysis during which project personnel assess the criticality and probability of each item before designating those which are important assumptions.

B. Project Inputs

1. Inputs (D-1)

a. What are the key inputs supplied by the United States? Describe in terms of activities or tasks; e.g., providing technical assistance in curriculum development, sponsoring international seminars, equipping laboratory, etc.

The information provided in horizontal row D should give the reader a good grasp of the type, magnitude, value and timing of key cooperating country, U.S. and other donor inputs. However, the actual amount of detail reflected should depend in large part on the needs of the participants in the evaluation review.

b. List key inputs supplied by cooperating country and other donors. In case there is not space under D-1, cell D-3 may be used.

2. Implementation Targets (D-2)

For each of the tasks identified in D-1 list broad categories such as commodities (perhaps broken down into the two or three major groups), participant training, technical advisory services (direct-hire and/or contract). Indicate quantity and/or approximate expenditure level.

3. Verification of Inputs Column (D-3)

This cell may not have to be completed. However, as indicated above, it can be used to enter other appropriate information, such as inputs by the cooperating country or other donors, or a summary of the cooperating country budget in support of the project.

4. Assumptions for Providing Inputs (D-4)

Since these are often explicit in A.I.D. management responsibility, it may not be necessary to state them. If space is available, this is a good place for baseline data and other summary information about the situation to be affected by project activities.

C. Project Outputs

1. Outputs (C-1)

What are the major kinds of results that can be expected from good management of the project inputs? They might include trained cooperating country personnel for key positions (participant training), curriculums developed (advisory services), mobility for local staff (commodities), etc., etc.

2. Magnitude of Outputs (C-2)

The magnitude of the results and the date at which they are expected to be achieved. Some of the dates will be early in the project life; others after some time has elapsed or near the end of the project. Output targets should be objectively verifiable and, whenever possible, quantified.

Some Missions have found it useful to prepare a grid that shows the direct relationship of inputs to output targets on an annual basis. Such targets should tie in with the PIP or other scheduling device being utilized in the Mission.

3. Verification of Outputs (C-3)

The data source for verifying the magnitude of the output indicated is stated here; e.g., school records (to indicate number of graduates), sample of sales records (to show amount of increase in use of fertilizer), etc.

4. Assumptions for Achieving Outputs (C-4)

The input to output linkage is considered generally, but not always, to be within manageable control and therefore does not have to be stated as a hypothesis requiring validation. To deal with those circumstances when the input to output linkage may be outside the control of project management, it is necessary to state the assumptions (external factors) which must be realized if we are to obtain planned outputs on schedule.

D. Goal

1. Program, Sector, or Subsector Goal (A-1)

Is the project designed to contribute to achievement of a country or sector goal? Unless a project stands in isolation (which is rarely the case) the achievement of project purpose contributes to an effort of wider scope, usually spelled out in the Country or Sector plan. What is this desired end? If you find that the project is designed to support a subsector or sector rather than program goal, state that instead. (If it is desirable to show both sector and subsector, or sector and program, goals, this may be done by separating cell A-1 into two parts horizontally.)

It is necessary here to state a goal target which will result in some definable effect. This is always the case, but as objectives become broader it is increasingly difficult to avoid stating a target which applies to a "non-project" -- one too vague to be rationally attacked. This problem is discussed under Part E below.

2. Measures of Goal Achievement (A-2)

Provide here the objectively verifiable indicators that will signal that the project's anticipated contribution to the higher goal has been realized. Most projects will have to operate with other project or policies to result in an identifiable impact on a higher level goal, but an effort should be made in every case to identify the project's own contribution to the overall program or sector goal. As Missions succeed in concentrating their activities so as to make an impact on solution of sector or subsector targets, the goal row of the matrix should get increasing attention.

3. Verification of Goal Achievement (A-3)

The measures of goal achievement (A-2) often are expressed in terms which do not readily lend themselves to objective verification; proxy (i.e., indirect) indicators may be needed. The source of the information or the technique to be employed should be stated.

4. Assumptions for Achieving Goal Targets (A-4)

What assumptions are essential for the project to make its expected contribution to the program or sector goals? What are the factors at this level which must be met if the goal is to be achieved but over which management has little or no control?

Example: Economic well-being will promote political stability.

Economy will continue to develop at projected rate.

Present conditions of political stability prevail.

E. Guidance in Formulating Target Statements at the Output, Project Purpose, and Goal Levels

1. Explicit statement of target

Statements of targets at any level may be quantitative or qualitative, but should have three characteristics:

a. They should be stated in explicit and precise terms.

b. They should be in finite language.

c. They should be stated in terms which are objectively verifiable, irrespective of whether these terms are quantitative or qualitative. Quantitative statements of targets are preferable where they can be formulated.

The term "targeting" means that a statement of an objective, and/or an indicator, has a minimum of three explicit dimensions:

a. a magnitude;

b. a target area or audience; and

c. a time at which the phenomenon is to be observed.

Examples: (Poor Target): Establish an improved rural credit system.

(Good Target): Establish a national system of self-sustaining rural credit unions capable of providing 65% of Ruritania's small farmers with their production credit needs by 1978.

In evaluating existing projects, keep in mind that the original designer may have compensated for a formally weak target statement by providing explicit targeting of the indicators. For example:

Purpose: Upgrade level of government administrative training.

Indicators: 8 curricula planned for National Institute of Administration (NIA) are 100% operational by 1976.

90% of Level A policy-makers are NIA or college-trained by 1978.

2. Multiple targets

In some situations, project designers incorporate multiple targets at the same level in the hierarchy of expectations; for instance, two targets embodied in the statement of project purpose. One type of multiple targeting is acceptable, while another is unacceptable. Let us consider examples of both:

a. Acceptable: Two competing targets can co-exist at the same level; a classic example of competing targets of this type would be a project whose purpose is to increase agricultural production while at the same time expanding rural employment.

With a capital-intensive strategy the target of increased production might be quickly achieved but rural employment opportunities would probably be reduced. Conversely, with a labor-intensive strategy, employment opportunities would probably expand but increases in production might be delayed or kept to an unacceptably low level. The relationship between the two targets, therefore, is a trade-off which must be stated clearly. In such a situation, the project designer should (a) explicitly define the trade-off relationship and identify the optimum trade-off point, (b) devise separate progress indicators for both the production and the employment targets, and (c) monitor progress toward each of the targets bearing in mind the optimal tradeoff relationship which he previously defined.

b. Unacceptable: It is not acceptable to compress a hierarchical means-end relationship into a one-sentence statement which purports to be a single target but which is actually a pair of causally linked targets.

Example: To increase wheat production in order to increase farmer income.

Example: To upgrade Ruthinia's secondary school system by providing improved secondary school texts in mathematics and science.

The two objectives must be separately stated; their causative relationship defined; and each given its own independent progress indicators. The best solution to this type of analytical problem is simply to add a horizontal row to the logical framework matrix, splitting the statement into separate levels, with separate target statements, indicators, and assumptions for each level. (See pages 8 and 9 of "The Logical Framework - Modifications Based on Experience.")

3. Targets for non-projects

The designer is often confronted with the need for a general activity which does not take the classical form of a development project; e.g., a general participant training activity or a general food distribution activity. When this occurs, he must attempt to make the expected results as finite, explicit, and verifiable as possible. For instance:

Poor: Provide Ruritania with the leadership it needs for development.

Better: Train 35 Ruritanian development planners to head and staff the Planning Offices in the Ministries of Agriculture, Trade, Finance, and Industry by December 1976.

4. The use of input language in a target statement at the output, project purpose, or goal levels

Avoid the use of input language (e.g., "to assist --", "to guide --") in any target statement. The presence of input language may be an indication that the project designer has not completely grasped the concept of causality; that is, the essential difference between those project elements which are causes and those which are effects.

Even more importantly, the presence of input language is a distraction which may make it difficult to formulate progress indicators. "To assist --" is not necessarily a finite action and, consequently, there may not be a corresponding end-of-project status. Where such input language has already been incorporated in a target statement in a project document, be sure that the indicators are aimed at that portion of the statement which describes the planned final results.

5. Problem-Solving Approach

It was mentioned earlier (Section A above) that the project purpose could often be more clearly defined if the problem which the project should solve were stated and then inverted. This is generally true for the narrative target statement at all levels; further, the principle can be applied to a coherent hierarchical statement.

In defining the hierarchy of expectations -- that is:

Goal

Project purpose

Project outputs

the most useful approach is the problem solving method, thus:

(1) Write down the key problems/impediments which affect the area in which the project is intended to operate.

(2) Place the problem statements in a causal sequence; that is, list the problems in the order which shows clearly how the solution of one problem depends on solution of a prior problem:

Malnutrition and undernutrition

↑

Inadequate food production

↑

Inadequate use of fertilizer

(3) Invert each problem and state it as a solution/objective:

Increase protein and mineral intake, expand caloric intake

↑

Expand food production

↑

Increase use of fertilizer

(4) You are now able to decide which are the goal, the purpose, and the output levels. The sector plan should articulate the goal and at least suggest or imply the project purpose. If no sector plan exists, the project design team, in conjunction with program managers, can decide which of the levels in the hierarchy is most appropriate as the project purpose.

III. Analysis of Logical Framework Linkages

A. It is suggested that the information developed above be condensed as necessary and entered on the logical framework matrix before proceeding with the next step. The temptation will be great to avoid this step by not using the logical framework form or by increasing the size and number of boxes. Resist this. Condensation requires elimination of excess verbiage and reduction of factors to most important elements. Analysis of the various elements of the project design is considerably easier if carried out with the aid of a completed logical framework.

B. Now proceed to the next step of analyzing the linkages contained in the logical framework matrix.

1. Provision of Inputs (D-1, D-2)

Are the inputs being provided on schedule and is there a reasonable expectation that the schedule will be maintained?

2. Transformation of Inputs to Outputs (Row D to Row C)

Two basic tests should be applied to this linkage in all cases. Is the project technically sound, meeting FAA Sections 611 and 201(b)? Is it administratively sound, based on a viable organization which has sufficient trained manpower, management, and budget to operate and maintain the facilities called for? If not, improvements in these respects ought to precede other efforts at implementation.

Given technical and administrative soundness, is it reasonable to expect that if the inputs are provided on schedule, the outputs can be produced on schedule? If not, what changes are necessary?

If you are uncertain, three primary factors should be examined:

a. Does the type, quantity, or timing of the inputs need revision?

b. Are the project output expectations (C-2) realistic?

c. Are the assumptions (C-4) realistic?

As a result of this review, changes may be required in the assumptions, input requirements, and output expectations. Make a note of these changes.

At this point, you may for the first time be faced with the question whether any of these changes should be reflected in the logical framework preparation or whether they should await the Evaluation Review. There is no pat answer that will fit all circumstances or working styles. However, a good rule-of-thumb is to reflect in the logical framework those changes that can be made by the participants in the logical framework preparation (e.g., Project Officer, contract Chief-of-Party or cooperating-country representative), but not those requiring concurrence of top management.

3. Transformation of Outputs to Purpose (Row C to Row B)

This linkage must pass more subjective tests than the previous one (input to output linkage). At this level it is necessary to judge whether the project is socially and economically sound. The findings on the distributive effect and employment effect should, at a minimum, forecast no adverse effects, while economic and financial analysis should predict strong benefits (good internal rates of return).

The validity of the hypothesis that achievement of planned outputs will lead to achievement of project purpose is the key test of project design. This is a prediction that if the outputs are successfully produced, the purpose--developmental change--will in fact be attained. Testing the hypothesis that achievement of outputs is likely to lead to achievement of purpose consists essentially of four interrelated steps:

a. Testing Project Purpose Against Conditions Expected (B-2, B-1)

Is it reasonable to expect that the conditions expected at the end of the project really will represent achievement of the project purpose? As the project personnel are pressed to outline the objectively verifiable factors which will mark the achievement of the purpose, they are likely to note that even the achievement of these specific conditions would not automatically represent achievement of the project purpose. This may well be the case, but if the conditions expected are well thought out, it can usually be said with some degree of certainty that even if the achievement of the conditions expected does not guarantee the realization of the project purpose, their nonachievement is likely to signal lack of success. It is with this in mind that the relationship should be analyzed.

b. Testing Output and Purpose Level Assumptions (C-4 and B-4)

On the basis of past experience and familiarity with local developments are the assumptions relevant and realistic? If not, what can or should be done? Are they inclusive; i.e., do they cover the range of possible external influences which could substantially affect achievement of project purpose? Have policy, environmental, and behavioral factors been considered? Does consideration of assumptions result in a conclusion that new inputs

or outputs are needed to assure success? On one occasion, project personnel assumed a doubling of the cooperating-country budget for the activity. When asked if they expected this, they replied, "Oh no, we just assumed it!" Such "assumptions" which are not realistic reveal a doubtful project design.

c. Achievement of Conditions Expected with Outputs Provided (C-1 to B-2)

Having determined the kind, timing, and magnitude of the outputs which realistically can be expected, consider now whether the production of the outputs is likely to lead to the set of conditions which are expected at the end of the project. If not, what other actions are required to accomplish this?

d. Attainment of Project Purpose (C-1 to B-1)

If the above three steps have shown that the Conditions Expected at End-of-Project will indicate purpose has been achieved (B-2 to B-1), that assumptions are being borne out (C-4 and B-4), and that achievement of outputs will result in EOP's (C-1 to B-2), then logically, achieving the outputs should result in the project purpose being attained (C-1 to B-1). Are you convinced? If not, review project design and aims, conditions expected to exist at the end of the project, basic assumptions, adequacy and timeliness of outputs as well as inputs. Can you come up with an alternative in which you have confidence? If not, the project is in trouble. As they say in Monopoly "Go to jail--Do not pass Go--Do not Collect $200."

4. Transformation of Purpose to Program, Sector or Subsector Goal (B-1 to A-1)

The examination of this hypothesis will require at least two steps:

a. Testing Measures of Goal Achievement Against Goal (A-2 to A-1)

Are the indicators of project impact reasonably related to the goal?

b. Contribution of Purpose to Program, Sector, or Subsector Goal (B-1 to A-1)

This link takes us beyond the activities which project personnel can normally control. Here we must expect the "spread effect" to appear as achievement of project purpose influences other program, subsector, or sector activities; much experience may be necessary to recognize the conditions for this multiplication of the project's impact. Are you satisfied that the achievement of the project purpose will make a meaningful contribution -- either directly or indirectly -- toward the achievement of the program or sector goal, taking into consideration the extent of the problem and the magnitude of the inputs? In all but exceptional circumstances, the achievement of a single project purpose is not likely to result in realizing a program or sector goal, yet it should be possible to establish enough of a relationship between the two to establish that the goal would suffer without the project.

5. Alternative Project Design

Furthermore, if the project involves selected areas of demonstrations, examine whether the kinds of input/output ratios can indeed be replicated. For example, one extension agent working with 500 farmers raises production. However, it will be impossible to maintain that ratio of agents to farmers on a national scale. A new approach will be required, such as agents working with leading farmers who, in turn, teach their neighbors. Similar examples of a lack of consideration of proportionality between the means employed and the size of the problem may be found in many types of projects.

You have now completed Phase I of the process, the reexamination and analysis of the project design, which precedes the evaluation of progress. The next step is to assess the degree of progress and the extent to which changes in the environment may affect the project.

IV. Examination of Progress

A. Key Inputs and Action Agents--Performance Analysis Worksheets

Complete the appropriate Performance Analysis worksheets. The following forms are provided as Appendix C.

I. U.S. Action Agent [3/]
II. Input--Commodities
III. Input--Participant Training
IV. Action Agent--Cooperating Country
V. Action Agent--Other Donor
VI. Action Agent--A.I.D./W
VII. Action Agent--Mission

The worksheets in their present form can serve a very useful purpose by outlining those factors which determine quality of performance and by calling attention to action required in order to remedy problem areas.

There often appears to be a tendency to downgrade the quality of performance in the course of discussion and then to mark the factor "As Planned." While this may seem to be the politic thing to do at the moment, the Evaluation Officer should point out the implication of so doing in order to avoid self-deception. This sort of attitude is likely to defeat the primary purpose of the process, that of initiating necessary remedial action. In addition, the project personnel might also eventually find themselves in the embarrassing position of having their project in trouble, while according to their own past statements, most if not all performance factors had been essentially "as planned."

[3/] Section C of the U.S. Action Agent Worksheet duplicates Section B of form AID 1420-43 required by the Office of Contract Management in A.I.D./W for evaluation of contractor performance.

In completing the forms, the Actual Impact rating compares the performance of the given input with the plan, while the Importance factor rating indicates the extent to which that particular aspect is critical to project success. For example, participant selection might be behind schedule, but the additional trainees not absolutely essential to ultimate project success.

Any factor rated Important which is also rated either Negative or Not Applicable presumably demands management's attention. However, it is recognized that remedial action in certain categories might be difficult, if not impossible.

When it comes time to transfer the data on the individual worksheets to page 2 of the PAR form (Performance of Key Inputs and Action Agents), it will be found that there is no space to summarize the findings of Forms VI and VII (Action Agent--A.I.D./W and Mission, respectively). However, since any action to be taken by either of these as a result of the evaluation review is likely to be reflected on page 1 of the PAR, this is not likely to present a serious problem. Alternatively, you may wish to use any space on pages 2 and 3 of the PAR not required for other entries to summarize the performance of either or both of these action agents.

B. Project Outputs--Progress to Date

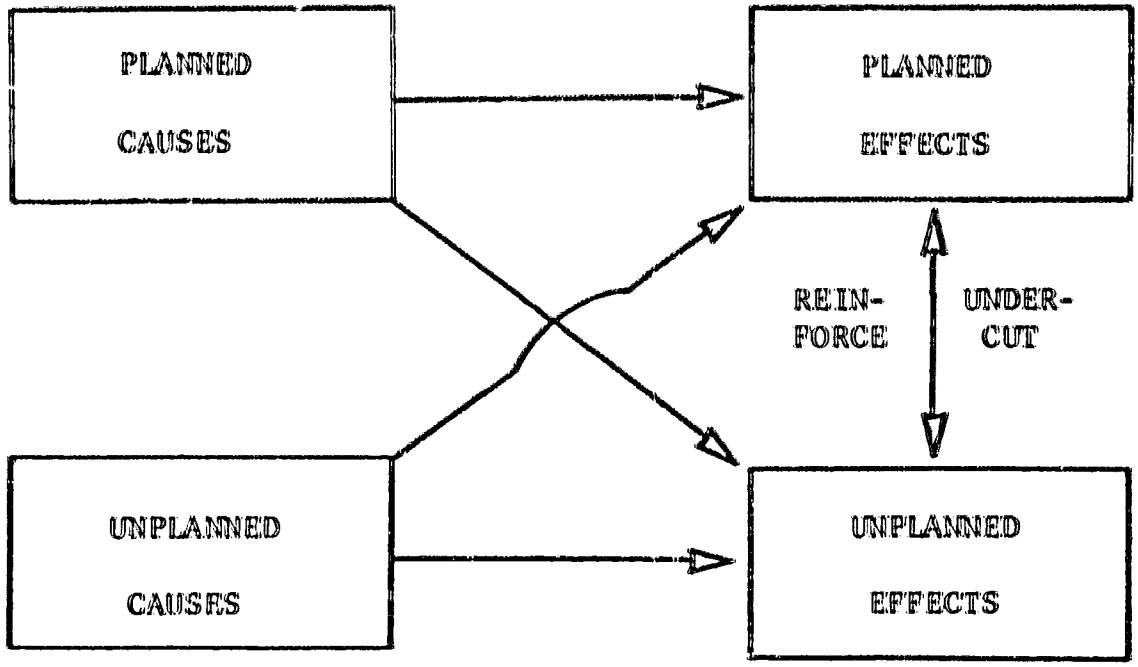
When evaluating progress in producing outputs by means of this form, review each kind of output, the output target production level, and the degree to which the production of this output is on schedule. Record the target performance criteria from the matrix C-1 and C-2 on the Progress Review worksheet for project outputs (Appendix D). Indicate the actual performance against the target, and revise, as appropriate, estimates of target levels and completion dates for each output based on progress to date. Part II of the PIP, the PROAG, or work plans will often provide a basis for comparing prior plans to actual performance. Conversely if specific plans did not exist before the evaluation, your work can be the basis for next year's PROAG and work plans.

Use as many worksheets as you need in order to evaluate all of the major project outputs; or, if you prefer, make up your own forms with more space for either quantitative or qualitative indicators, depending on your needs.

Here then, in readily visible form, it is possible to ascertain at a glance the current status of output production compared to plans. When you find unanticipated shortcomings or performance above that planned, reexamine the pertinent factors and replan as appropriate.

C. Unplanned Causes and Effects

One of the important aspects of evaluation, which is not specifically provided for in the worksheets or in the final Project Appraisal Report, concerns the unexpected effects of an activity. Conventionally, planning deals with planned causes and their planned effects. But planned causes, especially in the uncertain socioeconomic environment of an LDC, will also have unplanned effects. Further, unplanned causes will contribute to planned effects as well as bringing about unplanned effects which, in turn, react with and on planned effects. Even in diagrammatic form the interactions are complex:



The impact of unplanned effects may be either good or bad; we have now reached the first point at which they can be adequately appraised. For example, cooperation among farmers on an irrigation ditch may lead to cooperation for marketing. Much of the unexpected impact may be ecological.

It is obvious that such a tangled network of planned and unplanned cause and effect, if left to work unrestricted, would place many projects outside the influence of rational management efforts. As has already been noted, however, by carefully and systematically specifying the assumptions made about external influences on the project the designer can codify uncertainties and thus bring them within the bounds of intelligent consideration. Where this is not enough, AID's policy of periodic evaluation should provide the means for surfacing unexpected factors and taking them into account before a project becomes hopelessly distorted by their effects. Becoming aware of such unplanned effects should prompt replanning, exactly as would over- or under-performance toward planned elements of the project.

D. Progress Toward End of Project Status (EOPS)

In cell B-2 of the logical framework matrix, the conditions expected at the end of the project are recorded. In cell B-3, the methods for verifying that these conditions exist are cited. On the worksheet Progress Toward Conditions Expected at End of Project (Appendix D), copy the descriptions of conditions and methods in the first two columns and then ascertain the degree of progress made, including any uplanned change.

Does the verified progress to date give you confidence that the expected conditions will be achieved on schedule? Or does the progress to date suggest that the EOPS will be achieved even earlier than anticipated? If there are problems, what could be done to increase the likelihood that the conditions will be realized? If any specific conditions are not going to be achieved, what, if any, changes need be made in the project?

E. Progress Toward Achievement of Goal

Examine and record the evidence that suggests that achieving the project purpose has made or will make a contribution to the program or sector goal. A worksheet is provided in Appendix D. Take note of any unanticipated developments. Will the achievement of the project purpose make a significant contribution to the programming goal, given the magnitude of the problem? Can you cite specific evidence?

V. The Evaluation Review

In preparing or reviewing the logical framework matrix, and then completing and analyzing the worksheets, you have completed the initial steps in the annual evaluation of the project. At this point, the documentation represents the most current statement of both project design and progress.

It is assumed that the Evaluation Officer has kept abreast of the work or has participated in the preparation of the documentation. It is now his responsibility to organize and guide the review process from this point on. The procedures will vary from Mission to Mission (or between A.I.D./W action offices), yet the primary aim should always be the same: to present the findings to interested parties and to encourage the interactive process designed to confirm the findings and to facilitate any required replanning.

A. Purpose of Evaluation Review

If the Evaluation Review is successful, the participants will come away with answers to the following questions:

a. What has the project achieved to date?
b. How does this achievement compare with previous plans?
c. What is the likelihood of the project achieving its ultimate purpose?
d. Is it likely that the project will have the expected impact on a programming goal?
e. What unplanned changes have occurred and what are their effects?

In addition to these evaluative questions, the Review should also answer three forward-looking questions:

a. What alternatives to the current plan merit consideration?
b. Could the same purpose be achieved more efficiently by other means?
c. What changes would improve the project?

The Evaluation Review should consider whether any changes might increase confidence in achieving the successful completion of the project. For example, what if the resource inputs were increased? Would it assure achieving the project purpose if commodities were provided although none are provided now? Sometimes new insights may also come from asking a negative question, such as: Could participant training be dropped? Or, what would happen if the project were terminated?

The Evaluation Review further needs to consider:

- Questions identified as important during the evaluation planning.

- Additional specific issues raised in the course of the analysis of project design, and measurement of progress.

- Important issues raised by A.I.D./W or others.

B. Participants in the Evaluation Review and Their Functions

The key to a successful evaluation is a structured Evaluation Review at which various viewpoints, kinds of experience, and skills are brought to bear on the project. A broad-based review panel will usually facilitate (1) the inclusion of a wide range of organizational considerations in the review of project status, (2) understanding of the project by key personnel, and (3) the implementation of action decisions. In addition, participation in the review process offers a valuable educational experience which benefits both project technicians and management, thus helping to close the circle in the planning, implementation, and evaluation process.

The composition of the panel depends on the particular project, local circumstances, organizational relationships, and staff capabilities of the interested parties. It may be advisable to include in the panel the controller and other financial or administrative staff where reprogramming is expected to result from the Review. At least one Mission endeavors to have a U.S. person from outside the Mission participate in the deliberations of the Evaluation Review panel; e.g., a substantive officer from a nearby Mission, an American businessman, or an A.I.D./W visitor. The active participation of the cooperating country is highly desirable. (For a discussion of cooperating country participation, see Evaluation Handbook, Second Edition, Chapter VII.)

The specific roles which individual panel members are to play in the Evaluation Review will differ with the size and organization of the review, the personality of the participants, etc. However, there are specific responsibilities which should generally be undertaken by the participants.[4/]

1. The Evaluation Officer must insure that all participants derive the maximum benefits from the Evaluation Review. Usually he should:

(a) Schedule the Evaluation Review.
(b) Select the participants, based upon consultation with concerned Mission staff.
(c) Act as a second to the Director or Deputy Director chairing the Review, or upon request, lead the discussion himself.
(d) Assure that decisions and recommendations are recorded.
(e) Assume responsibility for the submission of the agreed-upon PAR.

2. The Mission Director (or his Deputy) and his Cooperating-Country counterpart must insist that the evaluation process provide a realistic assessment of expectations under the current plan, and of alternatives which might improve the activity or increase its impact on higher goals. They are ultimately responsible for making the evaluation process a questing and vigorous one by encouraging the kind of inquiry which can result in a better plan, a better project, and a better program, and by utilizing the findings in making their resource allocation decisions.

3. The Cooperating-Country Representative can help improve a project by providing candid feedback to the Mission and his government.[5/] His objective should be to provide constructive criticism to resolve the critical planning and implementation problems that determine success of the project. Missions have also emphasized that the cooperating-country representative at the Evaluation Review should be from a level of responsibility such that either he can make action decisions concerning the project, or has access to someone who can.

4. Project Staff (either the Mission Project Officer, cooperating-country representative, or the intermediary) can provide the panel with a brief description of the project in the event some Review participants

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[4/] While Evaluation Review panels will increasingly be used in A.I.D./W as the PAR process is applied to A.I.D./W-managed activities, it will be some time until a general pattern will evolve which will take into account problems unique to A.I.D./W (such as the large number of projects administered by some of the staff Bureaus). This section therefore addresses the field situation.

[5/] See Evaluation Handbook, Second Edition, Chapter VII (M.O. 1026.1, Supplement II).

are not fully conversant with the activity. He should outline the general project design and report on performance during the period under review. The Project Staff might then proceed with a brief analysis of alternatives which may have evolved in preparing the background documentation. Finally, plans for the coming year should be spelled out, realistic targets outlined, and actions recommended which might or should be taken by the Mission, A.I.D./W, the intermediary, or the cooperating country. Alternatively, these facts and recommendations might come in response to questions from review participants.

5. The Program Officer should raise issues significant to Mission and cooperating-country policy and programming, and establish the linkages between the project purpose and programming goals. Hopefully, he will be able to derive or convey the following through the Review:

(a) A clearer understanding of the project's projected contribution to the overall development program.

(b) Consideration of the impact of the project on related projects and on broad policy objectives, such as Title IX.

(c) Discussions of changes in major assumptions and their implications for the general program.

(d) Guidance in connection with PROP revision, if required.

6. The Consultant brings to the Evaluation Review evidence and expert judgment from outside. His different perspective can be both an asset and a potential liability. On one hand there may be the ability to see hidden assumptions and new alternatives that have previously escaped the Project Staff, while on the other there is the potential liability of an outsider's superficial understanding of the local situation. All in all, however, an Evaluation Review is a good forum for the outsider to share his fresh viewpoint, his evidence, and any new interpretations of the alternatives available.

7. Other participants may be able to make key contributions or derive important benefits from the Review panel meetings. For example, financial officers can comment on proposed initiatives and become informed of planned changes. People involved in related activities may become better acquainted with the project under review.

C. Advance Briefing of Evaluation Review Participants

The extent of advance briefing accorded participants in the Evaluation Review is likely to differ from organization to organization. One possibility is to provide all participants with copies of the logical framework matrix.

Other systems are in use and working well. One Mission submits to the Director a narrative summary of the project, findings, and

recommendations which have resulted from preparation of the background documentation. In another Mission, the Evaluation Officer submits to the Director and the Project Officer a brief memorandum, outlining the key problems which have surfaced in the course of the preparation of the logical framework, while in yet other instances, the Director receives an oral briefing prior to the Evaluation Review.

Some Missions have found it useful to provide the Evaluation Review panel members with a completed draft PAR. The first page, reflecting action proposed or requested, may be left blank and then completed after the meeting of the group. Alternatively, this page may be used to list issues for the Review. Some Missions complete page one, outlining the recommended actions which are then reviewed, and--as appropriate--changed in the course of the Evaluation Review. A PAR worksheet is provided in Appendix E.

Thus, the choices are many and certainly should afford sufficient opportunity for individual styles and local differences.

D. The Review

As much else in the process, the scenario for the Evaluation Review will depend in large part on the nature of the project and the personalities of the Evaluation Review panel members, as well as a number of other factors.

Initially, the two key actors will presumably be the Evaluation Officer and the Project Officer--or one of the other parties on the Project Staff.

In many circumstances, it is useful for the Evaluation Officer to serve as the moderator, and/or commentator and reporter. He is not, however, an evaluator. He is managing a process to benefit others and will generally find that a relatively passive style of intervention will provide the best results. In the event the Director, his Deputy or a cooperating-country official chairs the Review, it will be necessary for that person to thoroughly familiarize himself with the preparatory work which has preceded the Review; i.e., the findings developed in the course of the preparation of the logical framework and progress reports.

VI. Followup

A. Preparation of the PAR

The PAR serves a dual purpose in that it provides A.I.D./W with some evidence that the project has been reviewed and, at the same time, represents a record for the Mission and for A.I.D./W on actions proposed and agreed upon. It is not itself an "action" document, that is, the Mission will undoubtedly need to send a telegram or airgram through the usual channels to request an action by A.I.D./W.

If the steps preceding the PAR preparation have been carried out in a collaborative way between the Mission and the cooperating country, then the PAR can be used as a joint report of findings and submitted not only to A.I.D./W but, if desired, to the cooperating-country government as well. If the Mission and the cooperating country elect to prepare a joint evaluation report, and decide to use some format other than the PAR, the Mission should submit the joint evaluation report to A.I.D./W under cover of page 1 of the PAR with appropriate project identification data (title, number, etc.) entered on page 1. This report will fulfill the Mission's obligation for annual submission of the PAR per M.O. 1026.1.

The completion of the PAR is largely mechanical, provided the logical framework matrix and the worksheets have been prepared. Thus, page 2 represents a summary of the Performance Analysis worksheets; the information on page 3 is identical with that developed on the Project Outputs--Progress Review worksheet, while all information on page 4, excepting item number V B, can be taken verbatim from the logical framework matrix or the Progress Expected--Progress Review worksheet.

On the other hand, "New Actions Proposed and Requested as a Result of this Evaluation" on page 1 of the PAR should reflect the decisions reached by the Evaluation Review. It is strongly recommended that the Evaluation Officer, or whoever chairs the Review, orally summarize and record the decisions reached by the Panel. In this fashion, any objections or qualifications can be voiced and resolved immediately. If this is done, and assuming that all concerned key project personnel are invited to participate in the Review, it should be possible to prepare the PAR immediately upon the completion of the Review and submit it to A.I.D./W without the need for further clearances other than those of the Project Officer and the Mission Director.

B. Followup on Actions to be Taken

Here, again, it is not possible to develop a precedure which is applicable under all circumstances. Yet it would appear to be a good general rule that the Evaluation Officer (evaluation process manager) should not be charged with supervising the followup on actions decided upon by the Evaluation Review unless he also has operational responsibilities such as those of a Program Officer. This task should be left to the officer usually charged with keeping track of Mission actions, such as Deputy Director or Program Officer, although the Evaluation Officer can, and perhaps should, maintain a record of all Review decisions and note the actions taken.

When possible, there should be close coordination between the Mission action agent, and cooperating country on followup actions.

C. PAR's for Terminating Projects

Manual Order 1026.1 on the Project Appraisal Report is silent on the question of submitting a PAR at the conclusion of a project, and the

present format is not ideally suited either for tying up loose ends or for transfer of experience. Except under unusual circumstances, there will be few, if any, new actions proposed or requested as a result of a final evaluation unless there is to be some followup activity. Yet, a final evaluation can be valuable in confirming that end-of-project conditions have been created, and for recording lessons learned and facilitating the lateral transfer of this information.

It is recommended that until such time as better forms are introduced for reporting on terminating projects, a notation be made on page 1 of the PAR that the project has been completed and that no further action is proposed or recommended, followed by the notation: Transferrable Lessons Learned.

Here the Mission has the opportunity to note, prior to the disbanding of the project team, any lessons learned which might be applicable to other projects, either active or contemplated. This sort of information is especially important if it is expected that another project along similar lines might be undertaken at a later date, by which time the original staff members will no longer be present.

Such a PAR need not necessarily be the product of a full-scale Evaluation Review. Rather, it might be more appropriate for the PAR to be developed jointly by the Project Staff, the Evaluation Officer, and the Program Office.

D. Timing of PAR Submissions

In the Annual Program Evaluation Plan, the Mission schedules PAR submissions. Projects usually are evaluated approximately 1 year after project approval or after submission of the previous PAR. However, certain other factors should also be considered:

(a) Although the PAR itself is "decycled" in that A.I.D./W has no rules on when it is to be submitted during the year, various Missions have scheduled it in relation to their own or cooperating-country budget or program reviews. For example, some Missions make a point of completing some key PAR's in the winter and spring so that they can be used for reviews held to consider strategy for an annual program submission.

(b) Grouping of PAR's by technical field or by development sector will facilitate judgments of progress toward the achievement of sector goals. These considerations should, however, be balanced against the peaking in workload which would presumably result for the technical divisions involved.

(c) One very important factor in scheduling project evaluations is the availability of key project personnel. Every effort should be made to coordinate evaluation schedules with home leave or transfer of the Project Officer, the Technical Division Chief, Team Chief, or other personnel expected to make a major contribution to the evaluation process.

E. Optional PAR's

A PAR need not, under the present procedures, be submitted on certain types of Agency projects, such as activities supported exclusively with the aid of U.S.-owned local currency. In those cases, the use of the PAR and the logical framework as a means of structuring a project evaluation is optional, to be carried out at the discretion of the Mission.

GLOSSARY

Assumption

An event or action which must take place, or a condition which must exist, if a project is to succeed, but over which the project team has little or no control. The explicit statement of such assumptions is an aid in reducing the uncertainty of the project's environment, and, by codifying the significant external factors, allows the project to be re-evaluated and revised to allow for changing outside influences.

There are normally different assumptions for each level of the project design. For example, if the project purpose is to increase agricultural productivity through the development of a school of agriculture and the goal is to increase farm income to support local political stability, it probably would have to be assumed (a) at the goal level, that improved economic conditions will result in political stability, (b) at the purpose level, that the cooperating government will provide adequate budgetary support to the school after the completion of the project, and (c) at the output level, that there will be a sufficient number of students applying for places in the school.

BOPS

The Beginning-of-Project Status. (Use box D-4.) The "baseline" from which change will be assessed.

Conditions Expected At End of Project

See: End-of-Project Status (EOPS)

Development Hypotheses

"If outputs, then purpose" is the project development hypothesis. The hypothesis that project purpose will lead to program or sector goal is the program development hypothesis. These are hypotheses because we are not certain of the causative relationship between the if statement and then statement. Projects should be supported only when informed judgment, based on the best available evidence, provides reasonable confidence that the then statement will be achieved.

End-of-Project Status (EOPS)

The condition or situation which will exist if the project achieves its purpose; an objectively verifiable description of those conditions, indicators, or proxies that will indicate the point at which the project purpose will be considered to have been achieved.

If we accept the premise that there is an "if-then" hypothesis relating outputs to purpose, it follows that we cannot measure outputs to find out whether or not we have achieved the purpose. The means of verifying achievement of project purpose therefore needs to be independent of, and different from, the means of measuring outputs. Usually this will require the measurement of factors not under A.I.D.'s control. For instance, in projects that emphasize institution-building, the conditions expected would presumably include measuring such aspects as self-sufficiency, effectiveness, efficiency, local support and budget, the size of the staff, the educational level and experience of the staff, the institution's reputation, etc.

In projects that emphasize immediate accomplishments, the conditions expected often are a measure of impact, rather than measures of services rendered. Reduction of birthrate, increase of exports, survival rate of private enterprises, decrease of illiteracy in a given area or among a given population group, etc.

Evaluation

Measurement and comparison of actual progress vs. prior plans, oriented toward improving plans for future implementation. It is part of a continuing management process consisting of planning, implementation, and evaluation; ideally, each phase follows the other in a continuous cycle until successful completion of the activity.

Evaluation
- questions the relevance of the project itself.
- challenges all aspects of the project design.
- examines performance and adequacy of inputs and implementing agents.
- measures actual progress toward outputs, purpose, and goal.
- results in redesign and replanning actions.

Evaluation Review

The interactive process whereby the results of the analysis of project design and the evidence of progress against plan are reviewed to confirm actions requested and proposed for the coming year.

Goal

The term characterizing a programming level beyond the project purpose. It provides the reason for the project and articulates a desired end toward which the project efforts of A.I.D. (and the cooperating government) are directed. The rationale by which a project is undertaken should ultimately allow the project purpose to be linked to a goal (often at sector or program level) that is set out as part of the country strategy. However, it may at times be necessary to require setting intermediate goals that are both above the project level and below the level of impact discussed in the Development Assistance Plan (DAP) or the Country Analysis Strategy Paper (CASP). The goal normally deals with broad economic, social, and/or political problems. It may be measurable in quantitative terms, or it may be identified by qualitative and behavioral criteria.

GPOI

An acronym for: Goal

Purpose

Outputs

Inputs

Hypothesis

Webster's Third New International Dictionary defines hypothesis as "a proposition tentatively assumed in order to draw out its logical or empirical consequences and so test its accord with facts that are known or may be determined." To put it somewhat more succinctly, it is a statement in the form "if A, then B" where there is uncertainty about the causative relationship between the existence of A and the achievement of B. (See also Linked Hypotheses.)

Indicator

An explicit and objectively verifiable measure of results expected. Good project design must include preestablishing what will be measured or observed to demonstrate progress. Progress should be objectively verifiable so that both a proponent of a project and an informed skeptic would agree that progress has or has not been as planned. Preestablishing objectively verifiable indicators helps focus discussion on evidence rather than on opinions.

Indicators may be quantitative or qualitative. A quantitative indicator may be expressed as a single measure; e.g., 50 graduates during the 1972-'73 academic year; as a cumulative figure; e.g., 175 graduates since June 1968; or as a degree of change, usually a percentage figure or a ratio; e.g., 25% increase in the number of graduates per year between the 1971-'72 and 1972-'73 academic years.

In some cases, where quantitative measures are not possible, objective observation of a qualitative change may still provide a measure; e.g., working relations among cooperating-country personnel in extension service are significantly improved over 1 year, or. students are participating more in unstructured classroom discussions and focussing less on rote memorization and regurgitation.

Sometimes it is not possible to measure a change directly as it is in the case of number of graduates per year, or yield per acre. In such cases, indirect or proxy indicators must be found; e.g., number of 6th grade graduates in a region as measure of literacy, or increased use of vaccine as a measure of improvement in the quality of livestock. When indirect measures are necessary, it is important to be sure the causal relationships that underlie them are verified. For instance, that a 6th grade certificate is an indicator of literacy in country x, or, that the particular vaccine is a sufficient condition to improve the health of livestock in region y.

Inputs

Inputs are the actions taken or goods and services (personnel, commodities, participant training, etc.) provided by the Mission, AID/W, other donors, and/or the cooperating country with the expectation of producing certain definable outputs. Thus, for example, with respect to personnel the important factor is the function which the person is expected to perform rather than simply the assignment of an individual. Inputs can usually be identified by asking, "What must be provided to produce the desired outputs?" It is an error, however, to use input language in a target statement; e.g. "To assist the Host Country to...," This tends to confuse cause and effect. In this case assistance would be the cause, and its requirements are not necessarily finite. Its effect, the target, should be explicit and have some definite end-status.

Linked Hypotheses

Using GPOI, the hypothesis is that achieving the expected results at each level of the GPOI hierarchy of means-ends relationships will lead to the planned results at the next higher level; that is:

If outputs are produced, then purpose will be achieved.
If purpose is achieved, then goal will be achieved.
Provided certain assumptions (external conditions and influences) operate as anticipated.

Logical Framework

A summary of project design, showing the results expected for each level of intent when a project is successfully completed. Results are expressed as objectively verifiable targets together with means of verification and controlling assumptions.

Matrix (Logical Framework)

A summary worksheet for the analysis of project design divided into four horizontal rows (for goal, purpose, outputs, and inputs) and four columns (for narrative, objectively verifiable targets, means of verification, and important assumptions). Modifications may be made to suit local circumstances.

Measures of Goal Achievement

The means of verifying the achievement (in either quantitative or qualitative terms) of the goal by means of appropriate indicators. Ideally, these might consist of the number of local citizens taking part in an election, increased per capita income over a given period, increased value of exports, percentage decrease of insurgent activity in a given area, etc. (As a matter of fact, many projects are likely to make only a small impact on a given goal, so that separating out the contribution may be difficult.)

Monitoring

Monitoring is overseeing the decision-making process in project implementation to assure that actions and decisions represent the mutual agreement of the cooperating country and A.I.D., and that inputs are properly utilized and actions are occurring in the planned time frame.

Outputs

The specifically intended kind of results (as opposed to their magnitude) that can be expected from good management of the inputs provided. A Project Officer and cooperating-country counterpart might be considered responsible for producing specific outputs; the Mission or A.I.D./W action office shares responsibility for the judgment that producing these outputs will result in achieving purpose. The output of one project (e.g. trained teachers) may become the input of the next project! The dynamism of the logical framework should be recognized--it is the role being filled rather than the intrinsic nature of the factors which determines what are outputs in a project design.

PAR (Project Appraisal Report)

The by-product of the project evaluation process which records and reports the results of evaluation; Form U-446 (AID 1020-25).

Project

A planned undertaking, a unit of management that clearly specifies what is to be accomplished, over what estimated period of time, and at what estimated cost. In this booklet, "Projects" refers to AID development assistance projects unless otherwise specified.

Project Appraisal Report (PAR)

See PAR above.

Project Officer

The A.I.D. employee responsible for supervising A.I.D.'s interest in the project, as a member of the Project Staff which includes the cooperating country and the intermediary.

Purpose

The purpose expresses in quantitative or qualitative terms that developmental change which is to be created or accomplished with a view towards influencing the solution of a country or sector problem.

Target

An explicit and objectively verifiable statement of results expected within a specific time period; e.g., 100 tons/year in 1975, enabling legislation passed by 1972, 17 reports requested and completed by 1973, budget for FY 1972 = $10 million. We use the term target to specify the desired end product at any level of intent; i.e., output, purpose, goal. Target means performance standard.

Appendices

APPENDIX A

OFFICE MEMORANDUM

TO : Mr. Project Officer Date:

FROM : U. R. Friendly
Evaluation Officer

SUBJECT: Project Appraisal Report (PAR)
Project No. 999-12-345-678

As you are presumably aware, the subject project is scheduled for an evaluation review late next month. If you are not already familiar with the evaluation process, be advised that you will not be required to complete evaluation documentation on your own. Rather, we will mutually develop the necessary information in a series of small group sessions which should include the other key personnel directly concerned with the project. I will arrange to get together with you in the next few days so we can discuss the questions of who should be invited to participate in the design and progress review sessions, and the subsequent Director's Review. In the meantime, you should consider who, if anyone, in addition to yourself and the responsible Program Officer, might be required from the Mission; who is the key representative of the intermediary; who might participate on behalf of the cooperating country and from what levels of responsibility; whether there is another donor with sufficient input to include its participation at some point.

Among the reasons for the group approach to evaluation are the perspectives and information which the varied participants may provide. When we discuss who should join with us, we can also consider what type of advance information will be helpful to them in preparing for their participation.

While there is no need to prepare any documentation prior to the evaluation exercise, you may be interested in the types of information that will be required at that time.

1. The cooperating-government budget for your activity for the past 4 or 5 years, broken down by "regular" budget and counterpart funding.

2. The Mission budget for your activity, broken down into (a) prior fiscal years and (b) estimated expenditures for the current fiscal year.

3. The number of past, current and projected participant trainees (by type and duration of training) and the broad categories of study.

4. The dollar level of Mission commodity inputs by general categories (vehicles, supplies, equipment, etc.) over the life of the project to date, and the number of pieces of major equipment (vehicles, road building equipment, etc.).

5. U.S. technical advisory services, both direct hire and contract, by general categories and in terms of man-months or man-years.

In the course of the preparation of the evaluation documentation, we will also need to cover the points outlined below. While it will not be necessary to formulate your ideas in writing prior to the beginning of the evaluation exercise (though this would be helpful), it will certainly be most advantageous if you could give them some thought before our first meeting.

I. What is the Program or Sector Goal?

Goal is a general term characterizing the programming level beyond the project purpose. It provides the reason for the project and expresses a desire on the part of the United States and the cooperating country (such as fostering economic development, combating insurgency, raising the income level of farmers, etc., etc.). If you have determined that your project is designed to assist the Mission to achieve one of its broad program or sector goals, how would you describe this goal?

II. Project Purpose

a. What is the specific purpose which your project is designed to achieve if completed successfully and on schedule? In the case of technical assistance projects, it should be possible to summarize the purpose in a few phrases or sentences.

b. What are the conditions or situation which will exist if the project achieves its purpose? Describe an identifiable point which will be considered the logical end of the project; i.e. how will you or anyone else know when the project purpose has been achieved.

These conditions should be stated in terms of objectively verifiable indicators or measurements (i.e., wheat production meets domestic demands, development plans for 15 provinces completed in 1971, one 1st class health station for every 50,000 inhabitants, etc.), rather than through the use of such terms as viable, improved, developed, etc., etc. The indicators or conditions expected are to be different in kind from the project outputs.

c. What assumptions must be made if the project design is to make any sense? Into this category will usually fall certain factors over which you will have little or no actual control, such as continued (or increasing) interest or budgetary support of the project by the cooperating government, passage of required legislation, availability of trained or trainable local manpower, adequate incentives on the part of the cooperating government to retain qualified manpower, necessary organizational or management changes within the cooperating government, etc.

III. What are the Project Inputs and Outputs?

a. Inputs to a project usually consist of personnel, commodities, and participant training, on the part of the U.S. Government, the host government or other donors. The cooperating government's inputs will, of course, also include budgeted funds. (See 1 above.)

b. Outputs are the specific results which the project inputs will be expected to produce (such as individuals trained, manuals produced, curriculums developed, buildings constructed, etc.). These are most often described in terms of kind, timing, and magnitude.

APPENDIX B

PROJECT DESIGN WORKSHEETS

Design Clarification and Analysis Worksheets

One-Page Logical Framework Matrix

Four-Page Logical Framework Matrix

Note: The four-page matrix is a "stretched" version of the standard sixteen-block form contained on one page. Many persons have found the longer version useful for initial preparation and clarification of project designs.

MISSING PAGE NO. 46

PROJECT DESIGN WORKSHEETS

The project design worksheets summarize the steps, detailed in the Guidelines, for the clarification of design and analysis of linkages. These worksheets are not a substitute for the explanations contained in the Guidelines, but may be helpful either when used alongside the Guidelines as a format for recording information, or, when the evaluator is already knowledgeable in the techniques of project design analysis, as a checklist for working through the suggested steps.

CLARIFYING THE PROJECT DESIGN

A. Project Purpose

1. Purpose (B-1)

Briefly state the purpose which the project is expected to achieve if completed successfully and on schedule.

2. Conditions That Will Indicate Purpose Has Been Achieved: End of Project Status (EOPS) (B-2)

Describe the conditions or situation which will exist when the project achieves its purpose. Designate an identifiable point (or state) which will be considered the logical end of the project; i.e., how will you or anyone else know when the project purpose has been achieved?

3. Verification of the Conditions Expected at End of Project (B-3)

State here the types and sources of evidence which will be used to verify conditions marking end of project status.

4. Assumptions for Achieving Purpose (B-4)

What assumptions must be realized if we are to obtain the conditions which will exist if the project achieves its purpose? What are the factors over which the project personnel have little or no control, but which, if not present, are likely to restrict progress from output achievement to purpose achievement? These should be stated explicitly and in operational terms.

B. Project Inputs

1. Inputs (D-1)

a. What are the key inputs supplied by the United States? Describe in terms of activities or tasks; e.g., providing technical assistance in curriculum development, sponsoring international seminars, equipping laboratory, etc.

b. List key inputs supplied by the cooperating country and other donors. In case you did not have space under D-1, you may wish to use cell D-3.

2. Implementation Targets (D-2)

For each of the tasks identified in D-1, list budget categories such as commodities (perhaps broken down into the two or three major groups), participant training, technical advisory services (direct-hire and/or contract), and quantity and approximate expenditure level.

3. Verification of Inputs Column (D-3)

This cell may not have to be completed. However, it can be used to enter other appropriate information, such as inputs by the cooperating-country budget in support of the project.

4. Assumptions for Providing Inputs (D-4)

Since these are often explicit in A.I.D. management responsibility, it may not be necessary to state them. If space is available, this is a good place for baseline data and other summary information about the situation to be affected by project activities.

C. Project Outputs

1. Outputs (C-1)

What are the major kinds of results that can be expected from good management of the project inputs? These might include trained cooperating-country personnel for key positions (participant training), curriculums developed (advisory services), mobility for local staff (commodities), etc., etc.

2 Magnitude of Outputs (C-2)

State the magnitude of the results and the date at which they are expected to be achieved.

3. Verification of Outputs (C-3)

The data source for verifying the magnitude of the output indicated is stated here; e.g., school records (to indicate number of graduates).

4. Assumptions for Achieving Outputs (C-4)

State the assumptions (external factors) which must be realized if we are to obtain planned outputs on schedule.

D. Goal

1. Program, Sector, or Subsector Goal (A-1)

What is the reason for the project--the desired end toward which the efforts of the A.I.D. Mission and the cooperating-country government are directed? If you find that the project is designed to support a subsector or a sector, rather than a program goal, state that instead. You may show both the sector and program goals.

2. Measures of Goal Achievement (A-2)

Provide here the objectively verifiable indicators that will signal that the project's anticipated contribution to the higher goal has been realized.

3. Verification of Goal Achievement (A-3)

State the sources of data for measuring goal achievement.

4. Assumptions for Achieving Goal Targets (A-4)

What assumptions are essential for the project to make its expected contribution to the program or sector goals?

ANALYSIS OF LOGICAL FRAMEWORK LINKAGES

1. Provision of Inputs (D-1, D-2)

Are the inputs being provided on schedule and is there a reasonable expectation that the schedule will be maintained?

2. Transformation of Inputs to Outputs (Row D to Row C)

If the inputs are provided on schedule, is it reasonable to expect that the outputs can be produced on schedule? If not, what changes are necessary? If you are uncertain, three primary factors should be examined:

a. Does the type, quantity, or timing of the inputs need revision?
b. Are the project-output expectations (C-2) realistic?
c. Are the assumptions (C-4) realistic?

3. Transformation of Outputs to Purpose (Row C to Row B)

a. Testing Project Purpose Against Conditions Expected (B-2 to B-1)

Is it reasonable to contemplate that the conditions expected at the end of the project really will represent achievement of the project purpose?

b. Testing Output and Purpose Level Assumptions (C-4 and B-4)

On the basis of past experience and familiarity with local developments, are the assumptions relevant and realistic? If not, what can or should be done? Does consideration of assumptions result in a conclusion that new inputs or outputs are needed to assure success?

c. Achievement of Conditions Expected With Outputs Provided (C-1 to B-2)

Are the outputs levels as planned likely to lead to the set of conditions which are expected at the end of the project. If not, what other actions are required to accomplish this?

d. Attainment of Project Purpose (C-1 to B-1)

If the above three steps have shown that conditions expected at end-of-project will indicate that purpose has been achieved (B-2 to B-1), that assumptions are being borne out (C-4 and B-4), and that achievement of outputs will result in EOPS (C-1 to B-2), then, logically, achieving the outputs should result in purpose being attained (C-1 to B-1). Are you convinced? If not, review project design and make note of any changes required.

4. Transformation of Purpose to Program, Sector, or Subsector Goal (B-1 to A-1)

a. Testing Measures of Goal Achievement Against Goal (A-2 to A-1)

Are the indicators of project impact reasonably related to the goal?

b. Contribution of Purpose to Program, Sector, or Subsector Goal (B-1 to A-1)

Are you satisfied that the achievement of the project purpose will make a meaningful contribution--either directly or indirectly--towards the achievement of the program or sector goal, taking into consideration the extent of the problem and the magnitude of the inputs?

AID 1025-25 (11-78)

PROJECT DESIGN SUMMARY
LOGICAL FRAMEWORK

Life of Project:
From FY _____ to FY _____
Total U.S. Funding _____
Date Prepared: _____

Project Title & Number: _____

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
Program or Sector Goal: The broader objective to which this project contributes: (A-1)	Measures of Goal Achievement: (A-2)	(A-3)	Assumptions for achieving goal targets: (A-4)
Project Purpose: (B-1)	Conditions that will indicate purpose has been achieved: End-of-Project status. (B-2)	(B-3)	Assumptions for achieving purpose: (B-4)
Project Outputs: (C-1)	Magnitude of Outputs (C-2)	(C-3)	Assumptions for achieving outputs: (C-4)
Project Inputs: (D-1)	Implementation Target (Type and Quantity) (D-2)	(D-3)	Assumptions for providing inputs: (D-4)

AID 1020-25 (11-78)
SUPPLEMENT I

PROJECT DESIGN SUMMARY
LOGICAL FRAMEWORK

(INSTRUCTION: THIS IS AN OPTIONAL FORM WHICH CAN BE USED AS AN AID TO ORGANIZING DATA FOR THE PAR REPORT. IT NEED NOT BE RETAINED OR SUBMITTED.)

Life of Project:
From FY _____ to FY _____
Total U.S. Funding _____
Date Prepared: _____

PAGE

Project Title & Number: _____

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
Program or Sector Goal: The broader objective to which this project contributes: (A-1)	Measures of Goal Achievement: (A-2)	(A-3)	Assumptions for achieving goal targets: (A-4)

AID 1020-25 (1-73)
SUPPLEMENT 1

PROJECT DESIGN SUMMARY
LOGICAL FRAMEWORK

Life of Project:
From FY _____ to FY _____
Total U.S. Funding _____
Date Prepared: _____

Project Title & Number: _____

PAGE

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
Project Purpose: (B-1)	**Conditions that will indicate purpose has been achieved:** End-of-Project status. (B-2)	(B-3)	**Assumptions for achieving purpose:** (B-4)

AID [illegible]
SUPPLEMENT I

PROJECT DESIGN SUMMARY
LOGICAL FRAMEWORK

Life of Project:
From FY _____ to FY _____
Total U.S. Funding _____
Date Prepared: _____

Project Title & Number: _____

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
Project Outputs: (C-1)	Magnitude of Outputs: (C-2)	(C-3)	Assumptions for achieving outputs: (C-4)

AID 1020-2B (1-73)
SUPPLEMENT I

PROJECT DESIGN SUMMARY
LOGICAL FRAMEWORK

Life of Project:
From FY _____ to FY _____
Total U.S. Funding _____
Date Prepared: _____

Project Title & Number: _____

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
Project Inputs: (D-1)	Implementation Target (Type and Quantity) (D-2)	(D-3)	Assumptions for providing inputs: (D-4)

APPENDIX C

PERFORMANCE ANALYSIS WORKSHEETS

Inputs

Note: Performance Analysis Worksheet I, U.S. Action Agent, has been revised. Sections C, D, & E have been combined as one section labeled C on the new format. The number of Evaluation Factors has been expanded. The new Section C incorporates, in toto, Section B of form AID 1420-43 for evaluation of contractor performance. Information developed for the U.S. Action Agent Worksheet, in the evaluation process, may be lifted directly for the separate contractor performance report required by the Contract Services Division, or vice versa.

PERFORMANCE ANALYSIS

1. U.S. ACTION AGENT – Contractor, Participating Agency, or Voluntary Agency

Evaluation for Period: _____ **to** _____

Agent: _____

A. FUNDING

1. Cumulative Obligations Through Prior Fiscal Year	2. Estimated Budget, Current Fiscal Year	3. Estimated Additional Budget to Completion, After Current Fiscal Year
$	$	$

B. IMPORTANT OUTPUTS DEPENDENT SUBSTANTIALLY ON THE ACTION AGENT:

C. ACTUAL PERFORMANCE DURING THE PERIOD AS COMPARED TO PLANS

1. EVALUATION FACTORS	Check if Significant Cause	PERFORMANCE AGAINST PLAN (✓)			
		N/A	Neg.	As Planned	Superior
a. Understanding project purpose					
b. Planning to achieve purpose					
c. Staff of proper size					
d. Timely arrival of personnel					
e. Technical qualifications of personnel					
f. Responsiveness to A.I.D. Directions					
g. Adherence to scope of work					
h. Adherence to work schedule					
i. Contractor's home office support					
j. Relations with cooperating country nationals					
k. Local staff training and utilization					
l. Effective administration of participants					
m. Management of commodities					
n. Timely submission of required reports					
o. Candor and usefulness of required reports					
p. Other (specify) _____					
_____					

2. OVERALL EVALUATION	Unsatisfactory		Satisfactory			Outstanding	
(✓) Check one →	1	2	3	4	5	6	7

D. ACTION REQUIRED: What action(s) should be taken and by whom to improve performance?

(If additional space is needed, use the reverse side of the worksheet)

(Revised 12-72)

Performance Analysis

Evaluation for Period: _____ to _____

II. INPUT - COMMODITIES

(If of particular significance to project, use a separate sheet for each major commodity group)

Type of Commodity: _____

A. FUNDING

1. Cumulative Obligations Through Prior Fiscal Year	2. Estimated Budget, Current Fiscal Year	3. Estimated Additional Budget to Completion, After Current Fiscal Year
$	$	$

B. IMPORTANT OUTPUTS DEPENDENT SUBSTANTIALLY ON THESE COMMODITIES

C. ACTUAL PERFORMANCE DURING THE PERIOD AS COMPARED TO PLANS							D. IMPORTANCE FOR ACHIEVING PROJECT PURPOSE					
Unsatisfactory		Satisfactory			Outstanding		Low	Medium			High	
1	2	3	4	5	6	7	1	2	3	4	5	

E. PERFORMANCE FACTOR RATING FACTORS	Not Applicable	Actual Impact			Check if Important
		Negative	As Planned	Superior	
1. Commodities Appropriate to Project Needs					
2. Timeliness of Procurement/Reconditioning					
3. Timeliness of Delivery to Point of Use					
4. Storage Adequacy					
5. Appropriate Use					
6. Maintenance and Spares					
7. Records, Accounting, and Controls					

F. ACTION REQUIRED: What action(s) should be taken to improve the effectiveness of commodity input?

(If additional space is needed, use reverse side of the worksheet)

Performance Analysis

Evaluation for Period: _____ to _____

III. INPUT - PARTICIPANT TRAINING

Training Program: ☐ U.S. ☐ Third Country

A. FUNDING

1. Cumulative Obligations Through Prior Fiscal Year	2. Estimated Budget, Current Fiscal Year	3. Estimated Additional Budget to Completion, After Current Fiscal Year
$	$	$

B. IMPORTANT OUTPUTS DEPENDENT SUBSTANTIALLY ON THIS TRAINING

C. ACTUAL PERFORMANCE DURING THE PERIOD AS COMPARED TO PLANS							D. IMPORTANCE FOR ACHIEVING PROJECT PURPOSE				
Unsatisfactory		Satisfactory			Outstanding		Low	Medium			High
1	2	3	4	5	6	7	1	2	3	4	5

E. PERFORMANCE FACTOR RATING FACTORS	Not Applicable	Actual Impact			Check if Important
		Negative	As Planned	Superior	
PREDEPARTURE					
1. English Language Ability *(U.S. Training)*					
2. Host Country Funding					
3. Orientation					
4. Participant Availability					
5. Trainee Selection					
POST-TRAINING					
1. Relevance of Training to Project					
2. Recognition of Degree Equivalency					
3. Appropriate Facilities and Equipment for Returned Trainees					
4. Employment Appropriate to Project					
5. Supervisor Receptiveness					

F. ACTION REQUIRED: What action(s) should be taken to make the participant element more effective?

(If additional space is needed, use the reverse side of the worksheet)

Performance Analysis

Evaluation for Period: _____ to _____

IV. ACTION AGENT - COOPERATING COUNTRY

A. IMPORTANT OUTPUTS DEPENDENT PREDOMINANTLY ON THE HOST GOVERNMENT

B. ACTUAL PERFORMANCE DURING THE PERIOD AS COMPARED TO PLANS

Unsatisfactory		Satisfactory			Outstanding	
1	2	3	4	5	6	7

C. IMPORTANCE FOR ACHIEVING PROJECT PURPOSE

Low	Medium			High
1	2	3	4	5

D. PERFORMANCE FACTOR RATING

FACTORS PERSONNEL	Not Applicable	Actual Impact: Negative	Actual Impact: As Planned	Actual Impact: Superior	Check if Important
1. Competence/Continuity of Project Leadership					
2. Ability to Implement Project Plans					
3. Use of Project-Trained Manpower					
4. Technical Skills of Project Personnel					
5. Planning and Management Skills					
6. Technical Man-years Available					
7. Continuity of Staff					
8. Willingness to Work in Rural Areas					
9. Adequacy of Pay and Allowances					
10. Counterpart Acceptance of and Association with Project Purpose					
11. Management of Commodities					

FACTORS OTHER FACTORS	Not Applicable	Actual Impact: Negative	Actual Impact: As Planned	Actual Impact: Superior	Check if Important
1. Cooperation within Host Government					
2. Host Government Cooperation with Non-Government Organizations					
3. Availability of Reliable Data/Statistics					
4. Adequacy of Project Funding					
5. Legislative Changes Relevant to Project					
6. Adequacy of Project-Related Organization					
7. Physical Resource Inputs					
8. Maintenance of Facilities and Equipment					
9. Political Conditions Specific to Project					
10. Resolution of Bureaucratic Problems					
11. Receptiveness to Change					
12. Actual Dissemination of Project Benefits					
13. Intent/Capacity to sustain and/or Expand Project Impact After U.S. Inputs are Terminated					

E. ACTION REQUIRED: What action(s) should be taken to improve the performance of the Cooperating Country?

(If additional space is needed, use the reverse side of the worksheet)

Performance Analysis

Evaluation for Period: _____ to _____

V. ACTION AGENT - OTHER DONOR

(Use a separate sheet for each Donor)

Donor Organization: _____ _____

A. IMPORTANT OUTPUTS DEPENDENT SUBSTANTIALLY ON THIS DONOR

B. ACTUAL PERFORMANCE DURING THE PERIOD AS COMPARED TO PLANS							C. IMPORTANCE FOR ACHIEVING PROJECT PURPOSE				
Unsatisfactory		Satisfactory			Outstanding		Low	Medium			High
1	2	3	4	5	6	7	1	2	3	4	5

D. PERFORMANCE FACTOR RATING FACTORS	Not Applicable	Actual Impact			Check if Important
		Negative	As Planned	Superior	
1. Recognition of Objectives Shared with A.I.D.					
2. Agreement on Strategy and Plans					
3. Coordination on Implementation					
4. Contribution to Project Staffing					
5. Contribution to Project Funding					
6. Adherence to Schedule					
7. Planning and Management					

E. ACTION REQUIRED: What action(s) should be taken to improve the performance of this Action Agent?

(If additional space is needed, use the reverse side of the worksheet)

Performance Analysis

Evaluation for Period: _____ to _____

VI. ACTION AGENT - A.I.D./W

A. IMPORTANT OUTPUTS DEPENDENT SUBSTANTIALLY ON A.I.D./W

B. ACTUAL PERFORMANCE DURING THE PERIOD AS COMPARED TO PLANS							C. IMPORTANCE FOR ACHIEVING PROJECT PURPOSE				
Unsatisfactory		Satisfactory			Outstanding		Low	Medium			High
1	2	3	4	5	6	7	1	2	3	4	5

D. PERFORMANCE FACTOR RATING FACTORS	Not Applicable	Actual Impact			Check if Important
		Negative	As Planned	Superior	
1. Provision of Personnel					
2. Provision of Commodities					
3. Provision of Adequate A.I.D./W Technical Backstopping					
4. Contract Negotiation					

E. ACTION REQUIRED: What Mission action(s) should be taken to stimulate improved A.I.D./W performance?

(If additional space is needed, use the reverse side of the worksheet)

Performance Analysis

Evaluation for Period: _____ to _____

VII. ACTION AGENT - USAID

A. OUTPUTS DEPENDENT SUBSTANTIALLY ON USAID ACTIONS

B. ACTUAL PERFORMANCE OF USAID DURING THE PERIOD *(Compare it to commitments made to Host Country in the ProAg)*							C. IMPORTANCE FOR ACHIEVING PROJECT PURPOSE				
Unsatisfactory		Satisfactory			Outstanding		Low	Medium			High
1	2	3	4	5	6	7	1	2	3	4	5

D. PERFORMANCE FACTOR RATING FACTORS	Not Applicable	Actual Impact			Check if Important
		Negative	As Planned	Superior	
1. Responsibilities Defined and Assigned in USAID					
2. Authorities Defined and Assigned in USAID					
3. Effective Communications within USAID					
4. Effective Communications with Other Action Agents					
5. Mobilization of Mission Staff as Needed					
6. Coordination with Related Project(s)					
7. USAID Performance per Terms of ProAgs/Contracts/PASAs					

E. ACTION REQUIRED: What action(s) should be taken to improve USAID performance?

MISSING PAGE NO. 71-72

APPENDIX D

OUTPUTS

END-OF-PROJECT STATUS

GOAL

Progress Review Worksheets

Progress Review Worksheet

PROJECT OUTPUTS - PROGRESS TO DATE

Evaluation for Period _____ to _____

A. QUANTITATIVE INDICATORS FOR MAJOR OUTPUTS		TARGETS (*Percentage/Rate/Amount*)					
		CUMU-LATIVE PRIOR FY	CURRENT FY		FY____	FY____	END OF PROJECT
			TO DATE	TO END			
1.	PLANNED						
	ACTUAL PERFORM-ANCE						
	REPLANNED						
2.	PLANNED						
	ACTUAL PERFORM-ANCE						
	REPLANNED						
3.	PLANNED						
	ACTUAL PERFORM-ANCE						
	REPLANNED						
4.	PLANNED						
	ACTUAL PERFORM-ANCE						
	REPLANNED						

B. QUALITATIVE INDICATORS FOR MAJOR OUTPUTS	Comment:
1.	
2.	Comment:
3.	Comment:

Progress Review Worksheet

Evaluation for Period: _____ to _____

PROGRESS TOWARD CONDITIONS EXPECTED AT END OF PROJECT

A. CONDITIONS EXPECTED TO EXIST AT THE END OF THE PROJECT	B. METHOD *(OR MEASUREMENT)* OF VERIFYING CONDITIONS AT END OF THE PROJECT	C. PROGRESS AS SHOWN BY MEASUREMENT VERIFICATION

Progress Review Worksheet

Evaluation for Period: _____ to _____

PROGRESS TOWARD ACHIEVEMENT OF GOAL

APPENDIX E

PROJECT APPRAISAL REPORT (PAR)

Work Sheet

AID 1020-25 (10-70)

REPORT U-446

PROJECT APPRAISAL REPORT (PAR)

PAGE 1

1. PROJECT NO.	2. PAR FOR PERIOD TO	3. COUNTRY	4. PAR SERIAL NO.

5. PROJECT TITLE

6. PROJECT DURATION: Began FY _____ Ends FY _____	7. DATE LATEST PROP	8. DATE LATEST PIP	9. DATE PRIOR PAR

10. U.S. FUNDING	a. Cumulative Obligation Thru Prior FY: $	b. Current FY Estimated Budget: $	c. Estimated Budget to completion After Current FY: $

11. KEY ACTION AGENTS (*Contractor, Participating Agency, or Voluntary Agency*)

a. NAME	b. CONTRACT, PASA, OR VOL. AG. NO.

I. NEW ACTIONS PROPOSED AND REQUESTED AS A RESULT OF THIS EVALUATION

A. ACTION (X)			B. LIST OF ACTIONS	C. PROPOSED ACTION COMPLETION DATE
MISSION	A.I.D/W	HOST		

D. REPLANNING REQUIRES REVISED OR NEW: ☐ PROP ☐ PIP ☐ PROAG ☐ PIO/T ☐ PIO/C ☐ PIO/P

E. DATE OF MISSION REVIEW

PROJECT MANAGER TYPED NAME SIGNED INITIALS, AND DATE

MISSION DIRECTOR TYPED NAME SIGNED INITIALS, AND DATE

AID 1020-25((10-70) PAGE 2 PAR	PROJECT NO.	PAR FOR PERIOD: TO	COUNTRY	PAR SERIAL NO.

II. PERFORMANCE OF KEY INPUTS AND ACTION AGENTS

A. INPUT OR ACTION AGENT CONTRACTOR, PARTICIPATING AGENCY, OR VOLUNTARY AGENCY	B. PERFORMANCE AGAINST PLAN							C. IMPORTANCE FOR ACHIEVING PROJECT PURPOSE (X)				
	UNSATIS-FACTORY		SATISFACTORY			OUT-STANDING		LOW	MEDIUM			HIGH
	1	2	3	4	5	6	7	1	2	3	4	5
1.												
2.												
3.												

Comment on key factors determining rating.

4. PARTICIPANT TRAINING	1	2	3	4	5	6	7	1	2	3	4	5

Comment on key factors determining rating.

5. COMMODITIES	1	2	3	4	5	6	7	1	2	3	4	5

Comment on key factors determining rating.

6. COOPERATING COUNTRY	a. PERSONNEL	1	2	3	4	5	6	7	1	2	3	4	5
	b. OTHER												

Comment on key factors determining rating.

7. OTHER DONORS	1	2	3	4	5	6	7	1	2	3	4	5

II. 7. Continued: Comment on key factors determining rating of Other Donors

III. KEY OUTPUT INDICATORS AND TARGETS

A. QUANTITATIVE INDICATORS FOR MAJOR OUTPUTS		TARGETS (Percentage/Rate/Amount)					
		CUMULATIVE PRIOR FY	CURRENT FY TO DATE	CURRENT FY TO END	FY ____	FY ____	END OF PROJECT
	PLANNED						
	ACTUAL PERFORMANCE						
	REPLANNED						
	PLANNED						
	ACTUAL PERFORMANCE						
	REPLANNED						
	PLANNED						
	ACTUAL PERFORMANCE						
	REPLANNED						
	PLANNED						
	ACTUAL PERFORMANCE						
	REPLANNED						

B. QUALITATIVE INDICATORS FOR MAJOR OUTPUTS	COMMENT:
1.	
2.	COMMENT:
3.	COMMENT:

AID 1020-25 (10-70) PAGE 4 PAR	PROJECT NO.	PAR FOR PERIOD	COUNTRY	PAR SERIAL NO.

IV. PROJECT PURPOSE

A. 1. Statement of purpose as currently envisaged. 2. Same as in PROP? ☐ YES ☐ NO

B. 1. Conditions which will exist when above purpose is achieved.	2. Evidence to date of progress toward these conditions.

V. PROGRAMMING GOAL

A. Statement of Programming Goal

B. Will the achievement of the project purpose make a significant contribution to the programming goal, given the magnitude of the national problem? Cite evidence.