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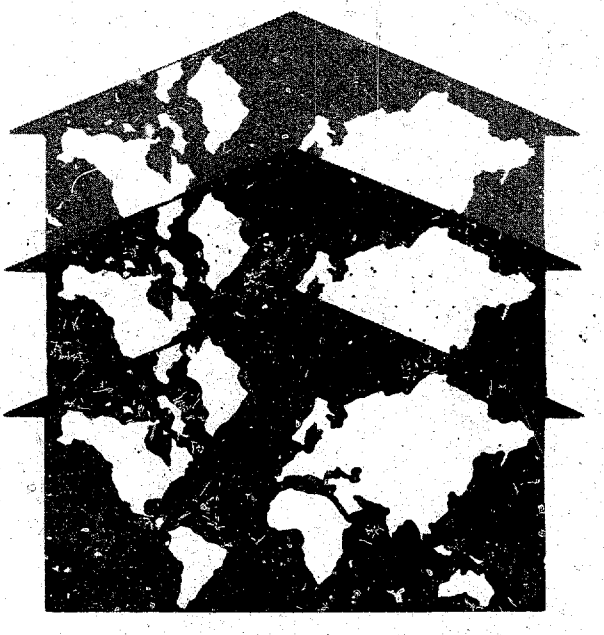

AGENCY
FOR
INTERNATIONAL
DEVELOPMENT

OFFICE OF HOUSING

93

GUIDELINES:

EVALUATION AND MONITORING

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CHAPTER 1

PURPOSES AND UTILITY OF EVALUATION AND MONITORING

POLICY FRAMEWORK*

The central purpose of AID efforts in the shelter sector is to affect government policy so that new institutions are created or existing ones adapted to mobilize and apply resources in increasing proportions to the shelter problems of low-income people. AID's principal program in the shelter sector is the Housing Guaranty (HG) Program. It is around this fundamental purpose that programs are designed. To determine, quantitatively, the factors critical to full or partial achievement of the stated policy goals and project purposes, these programs must regularly be monitored and evaluated.

Monitoring and evaluation are important tools for effective management of shelter delivery programs. As such, they should not only be of direct benefit to RHUDOs in the design and implementation of HG Programs but also to the host country institutions whose development HG Programs seek to assure. It is for this reason that host country institutions should be involved, insofar as applicable, in the monitoring and evaluation process.

Beyond their beneficial effects on management effectiveness, monitoring and evaluation also serve to generate an organized body of

*The purposes of AID programs in shelter are found in Sections 221, 222, and 223 of the Foreign Assistance Act and in related legislative history. The purposes are further elaborated on in AID Policy Determinations 55 and 67.

information upon which improvements in the design and implementation of future programs can be based.

UTILITY IN HOUSING PROGRAMS

The processes suggested here form the nucleus of a standardized evaluation system for HG Programs. When applied, these tools will provide for an orderly system of recording information that is critical to:

- Appropriate and rational program design;
- Efficient and economical program implementation; and
- Providing quantitative data against which to measure project success.

Specifically, monitoring will provide an almost continuous flow of information about the financial and physical progress of the project; evaluation will provide periodic information on progress toward goal achievement. Both will permit technical assistance to be rendered on a timely basis--before serious problems develop.

Project monitoring and evaluation will provide the opportunity for excellent management control over HG Program projects and the delivery of concise quantitative information about the success of a project. The development of standard information on all programs will greatly facilitate an ongoing aggregate analysis of DS/H's worldwide program.

When adapted and made operational in host country implementing agencies, evaluation and monitoring techniques can further ensure the

development of institutional capacities to replicate effective shelter schemes for their low-income populations.

RESPONSIBILITY FOR MONITORING AND EVALUATION

All projects to be authorized in future fiscal years, those authorized in FY 78, and selected ones from FY 77 which are in their initial implementation stage are to meet the requirements of monitoring and regular evaluation.

Under DS/H policy, borrowing institutions or their designees are responsible for:

- Producing the program information DS/H requires for the effective administration of its shelter programs;
- Actively participating in the development of the documentation that forms the basis for monitoring and evaluation; and
- Assuming the major responsibility for carrying out the monitoring and evaluation of HG Programs.

Host country institutions will require varying degrees of technical assistance to effectively carry out these functions. Based on the recommendations of the RHUDO, DS/H will provide direct assistance to the borrower in the following areas:

- Design of the requisite system;
- Management and performance of monitoring and evaluation efforts; and
- Analysis of the data.

RHUDOs must ensure that projects in the process of authorization meet the standard requirements of the regular evaluation and monitoring system. Those projects authorized but not yet to the Implementation

Agreement stage are to be reviewed by RHUDOs and adapted as necessary to meet these requirements. Additionally, certain projects in the implementation stage will be reviewed by DS/H, and to the maximum feasible extent, selected ones will be brought up to standard by RHUDOs as to monitoring and regular evaluation.

Chapters 2 and 3, and their supportive annexes, present the types of monitoring and evaluation tools that will be employed at each stage of an HG Program. Responsibilities of DS/H and borrowing institutions for implementing the evaluation and monitoring methodologies are also described.

CHAPTER 2

MONITORING AND EVALUATION ELEMENTS OF THE PROJECT DEVELOPMENT PHASE

Monitoring and regular evaluation begin in the formative stages of a Housing Guaranty project. Each step establishes with increasing specificity:

- The goals and purposes that are sought in the project;
- The benchmarks (expressed quantitatively) against which progress towards goal and purpose achievement are to be monitored and evaluated;
- The time during which these functions are to be performed; and
- The required completion dates.

The documents to be prepared in the project development phase are outlined below, with reference given to those points critical to evaluation and monitoring. Full instructions for the preparation of the monitoring and evaluation support documents are given in the Annexes.

SHELTER SECTOR ASSESSMENT (SSA)

The Shelter Sector Assessment must provide national baseline data on the policy, institutional, and resource framework of the

shelter sector with special attention being given to determining the level at which the target population is currently served.

SHELTER STRATEGY PAPER (SSP)

The Shelter Strategy Paper establishes what results in shelter are sought over time, expressing the end purposes of a program of housing guaranties as a sector goal or goals which are measurable and which will be reflected in a change in national baseline data that can be objectively and quantitatively verified. The SSP also establishes the manner, method, and timing by which the leverage of a phased program (more than one loan) will be applied and the incremental change to be sought at each phase. Thus the SSP should establish the Goal(s) of the Logical Framework(s) (discussed below) tied to projects in a given country.

PROJECT IDENTIFICATION DOCUMENT (PID)

The Project Identification Document, a broad and general statement, formally identifies the problem to which the proposed project will respond and outlines a strategy that a specific shelter project will employ.

DRAFT PROJECT PAPER (DPP)

The Draft Project Paper is built around three critical elements of the monitoring and evaluation system--the Logical Framework, the Planned Performance Tracking Network, and a preliminary Project Delivery Plan. The DPP refines and expands the PID and presents technical, administrative, and financial plans for carrying out the project.

LOGICAL FRAMEWORK *Reference: Annex A*

From the point of view of program design, monitoring, and evaluation, the Logical Framework is one of the two most important tools available to RHUDOs. The LF sets forth the overall Goal or Goals of the HG Program in a country, the Purposes of a specific project, the Outputs of the project, and the Inputs required to achieve those Outputs. Arrayed against each of these categories of information are the quantitative dimensions of Inputs and the quantitative targets which the project seeks to achieve, as expressed by its Outputs, Purposes, and Goals. Arrayed against each of these dimensions of the project are their means of verification. Finally, the events beyond the control of the RHUDO which must occur to assure the success of the project--the Assumptions--are specified (see Annex A).

The quantitative expression of the End-of-Project Status Indicators arrayed against the project Purposes is essential to sound project design and project management (monitoring) as well as to project evaluation. For project evaluation, the quantification of these indicators provides an unambiguous and noncontroversial standard against which to measure the success of a project. Moreover, given that these indicators will have been incorporated into an approved Project Paper, they become the fully sanctioned standard against which the project is to be evaluated. Future policy changes should not, therefore, expose a project designed and implemented under earlier policy guidelines to criticism because it failed to meet the criteria of new policy directions.

The End-of-Project Status Indicators are, moreover, critically important to the development of a Planned Performance Tracking Network.

PLANNED PERFORMANCE TRACKING NETWORK *Reference: Annex B*

The Planned Performance Tracking Network is the master overlay of the project's planned performance. It provides the quantitative basis for monitoring, or tracking, the actual progress of all of the elements of the project toward the achievement of its Outputs, Purposes, and Goals according to preestablished benchmarks. Along with the Logical Framework, the PPTN is one of the two most important and useful management tools available to the RHUDO. (Examples of the PPTN are given in Annex B.)

The PPTN is intimately connected to the Logical Framework in that, using Critical Performance Indicators, it schedules the sequence and timing of the events, including evaluations, that must take place to achieve the targets specified in the Logical Framework.

The Logical Framework and the PPTN must be developed with the borrowing institution or its designee, which must concur in their content.

The Project Delivery Plan (PD PLAN) and the Project Progress Status Report (PPSR), which are discussed below, are separate, detailed elements of the PPTN that relate to the delivery of the physical components and associated loan disbursements. As such, the PD PLAN and the PPSR relate most directly to the Outputs of the project, not to its Purposes and Goals. The Purposes and Goals of a project reflect the project's institution-building and policy objectives. At present, the sequence and timing of events directed toward policy change and institutional development, which are essential to project replicability, must be monitored through the use of the PPTN alone. RHUDOs may, of course, develop supplementary tools for these purposes.

PROJECT DELIVERY PLAN (PD PLAN) *Reference: Annex C*

The Project Delivery Plan and the update report keyed to it--the Project Progress Status Report (Chapter 3)--constitute detailed elements of the PPTN. The PD PLAN is a cash flow statement which sets forth the production and funds disbursement schedules for the project, from initial to final disbursement of the AID-guarantied loan. The PD PLAN and the PPSR are management tools designed for the borrower's use while simultaneously satisfying information requirements of the HG lender and AID. A preliminary PD PLAN is prepared concurrently with the Project Paper and is revised prior to negotiations with a lender in order to establish a realistic disbursement schedule.

In order to prepare a meaningful preliminary PD PLAN concurrently with the Project Paper, subprojects should be identified and sites selected and fully described in the Project Paper. Both the preliminary and final PD PLAN must be developed jointly with the borrowing institution. The requirement for the PD PLAN will be provided for in the Implementation Agreement. (Complete instructions for completing these documents appear in Annex C.)

PROJECT PAPER (PP)

The Project Paper is intended to provide a definitive description and appraisal of the project, including Goals, Purposes, Inputs, Outputs, and the evaluation design and methodology. The PP formalizes and finalizes the technical, administrative, and financial plans for implementing the project. At this stage the LF, PPTN, and preliminary PD PLAN are to be reviewed and refined as necessary. The Evaluation

Section of the PP must present an outline plan delineating institutional roles and responsibilities for performing monitoring and evaluation functions for the project and must set forth a proposed plan of analysis for conducting Annual Regular Evaluations (see Chapter 3).

IMPLEMENTATION AGREEMENT

The Implementation Agreement must include clauses requiring the performance of Regular Evaluations and defining and identifying reporting requirements, responsibilities, and timing.

The Agreement shall also require the borrower to collect baseline data on project beneficiaries that will reveal the physical and socioeconomic circumstances in which the beneficiaries are living just prior to project implementation. These data should be collected through the application process and should be derived from a very limited number of questions (i.e., no more than 15-20) directed to key aspects of the beneficiaries' circumstances.

The Final Regular Evaluation will include data on these same questions drawn from a sample of the beneficiaries which, when compared to the baseline data, will provide a measure of the effects of the project.

CHAPTER 3

MONITORING AND EVALUATION ELEMENTS OF THE PROJECT IMPLEMENTATION PHASE

The monitoring and evaluation elements of the Implementation phase of a Housing Guaranty project are an application of the system designed during project development. They are used to report the financial and physical status of the project. The components of this phase are outlined below.

MONITORING OF PROJECT IMPLEMENTATION

PROJECT PROGRESS STATUS REPORT (PPSR)

Reference: Annex C

The Project Progress Status Report is the tool used to measure actual project progress against the projections made in the PD PLAN. Where analysis suggests a revision of the PD PLAN, the revision should be prepared jointly by the RHUDO and the implementing institution(s). The PPSR and revised PD PLAN will become part of the regular reporting procedure. Instructions for preparing a PPSR are given in Annex C.

ADMINISTRATOR, BORROWER, AND LENDER REPORTS

These reports, furnished periodically to AID by administrators, borrowers, and lenders, report on financial flows and the status of the mortgage portfolio.

FINANCIAL AND MANAGEMENT REVIEWS (FMR)

Financial and Management Reviews are designed to provide technical assistance to the RHUDO and to the borrowing institution or to the implementing agency in the areas of financial administration and management. The FMR, which is conducted by AID contract technicians, provides information needed by the RHUDO for tracking certain elements of the progress of the project during the Implementation Phase and for exercising management responsibility during the loan repayment phase.

While FMRs typically are triggered by the appearance of specific problems, they also serve the broader interests of developing the implementing agency's capabilities. Consequently, the RHUDO should view an FMR mission as part of the technical assistance component of the project and should schedule such missions in preparing the PPTN.

REGULAR PROJECT EVALUATIONS

Regular evaluations are to be conducted on all future Housing Guaranty projects as well as selected current projects. This phase of the evaluation system consists of Annual Evaluations and a Final Evaluation. Both Annual and Final Regular Evaluations should be carried out jointly by the implementing agency (or its designee) and the RHUDO.

As noted previously, assistance to these institutions will be provided based on RHUDO recommendations.

ANNUAL REGULAR EVALUATION *Reference: Annex D*

The Annual Regular Evaluation determines the amount of progress toward goal achievement against stated benchmarks on the PPTN. Prepared

jointly by the RHUDO and the implementing agency, the evaluation is to be structured around the LF and the PPTN and should result in a report (see Annex D).

Each Annual Regular Evaluation should be timed so that the resulting report is produced no earlier than October and no later than the subsequent February. Each evaluation must cover twelve months of project operations. The first such evaluation for projects authorized between March and September will cover more than twelve months of operations.

Basically, the Annual Regular Evaluation will contain two levels of analysis:

- The progressive impact of the HG Program on target populations; and
- Qualitative and quantitative measurement of the performance of the shelter and related service delivery system of the host country.

The Annual Regular Evaluation provides a detailed summary and analysis of the progress of the project in the context of the Critical Performance Indicators contained in the PPTN.

The quantitative elements of the Annual Regular Evaluation, keyed to the PPTN (which is developed from the LF), provide the objectively verifiable framework of the evaluation. The evaluation must, however, go beyond the collection and presentation of data. It must also explain, insofar as possible, the deviations of the project's actual performance from its planned performance and present a detailed, factual basis for such revisions of the project Inputs as may be necessary.

The Annual Regular Evaluation thus enables the RHUDO to reflect systematically on the performance of the project and to determine

revisions in the RHUDO's course of action in the year ahead. For example, some elements of the project may have performed above expected levels while others may have performed below expectations, thus warranting a reallocation of project resource Inputs--e.g., less technical assistance of one type and more of another. External events may have rendered some Assumptions of the LF invalid; the effect of such events on the project must be assessed in the evaluation and new Assumptions formulated to guide the future progress of the project.

Each Annual Regular Evaluation should result in a revised PPTN, simply because no project is ever likely to perform exactly as planned. Note, however, that the stated Outputs, Purposes, and Goals of the project and the quantitative target levels of achievement of each of these, which are given in the LF and reflected in the PPTN, may not be revised. These targets are parameters of the project and represent the permanent standards against which the success of the project is to be judged.

In this context, the Annual Regular Evaluation and the PPTN revisions which result therefrom are designed to maximize the degree to which the originally stated objectives (Outputs, Purposes, Goals) of the project are achieved while minimizing project costs.

FINAL REGULAR EVALUATION *Reference: Annex D*

The Final Regular Evaluation comprises a comprehensive assessment of the success of the project in achieving its stated Outputs, Purposes, and Goals. It should be scheduled to coincide with the estimated date of the End of the Project.

In addition to summarizing the events described in, and the actions resulting from, the series of Annual Regular Evaluations and

and PPTN revisions, the Final Regular Evaluation will focus on the overall institutional and beneficiary impacts of the HG project. Beneficiary questionnaires administered during the initial stage of project implementation should be readministered on a sample basis and the data derived therefrom compared with the baseline data obtained from the initial questionnaire. Similarly, current data will be developed on the performance of the target institutions and compared with the baseline data presented in the Project Paper.

These data and such other quantitative indicators as may be shown in the LF as End-of-Project Status Indicators will then be compared against the quantitative targets expressed in the LF to provide concise statements about the success of the project. For example, the Final Regular Evaluation should state the percent of anticipated, or planned, achievement of the project actually accomplished--e.g., 110 percent of Purpose One, 75 percent of Purpose Two, etc.

The Final Regular Evaluation should also report on the level of Inputs actually required to achieve these performance levels to provide the basis for an assessment of the project's cost efficiency.

An outline for a Final Regular Evaluation is contained in Annex D.

SPECIAL EVALUATIONS

The concept and purpose of evaluation extend beyond systematic and effective project management. Annual and Final Regular Evaluations provide the basic information for generalizing experience and advancing the state of the art. From time to time, therefore, certain HG projects, an entire program of HG projects in a given country, or HG projects in several countries will be the focus of a specialized evaluation. These

specialized evaluations will take the form of a case study or an intensive evaluation.

CASE STUDIES *Reference: Annex E*

Case studies are in the nature of an historical record. They are designed to capture the extent to which a series of the HG projects authorized in a given country over a period of time may have: (1) effected changes in national housing policy; (2) promoted the growth and development of shelter institutions capable of replicating the shelter solutions demonstrated by HG projects; and (3) (for projects undertaken after the promulgation of the Foreign Assistance Act of 1973) produced actions to provide shelter and improve the living environment of the poor.

The purpose of a case study is to illuminate what the program accomplished by either explicit or implicit design. RHUDOs should not overlook the possibility for employing the case study evaluation technique for comparative analysis on a specific theme across several countries. Such case studies offer the potential for generalizing experience and advancing the state of the art more directly than case studies in a single country.

The principal focus of case studies will be on:

- Policy development in the shelter sector as an explicit function of government;
- Actions taken to improve shelter for the poor;
- The creation and strengthening of housing finance systems;
- The extent to which existing housing finance institutions are mobilizing resources and applying them in increasing proportions to facilitate access of the poor to decent shelter;

- The organization and implementation of innovative projects, the extent of their success, and the lessons to be learned from the experience;
- The extent to which shelter solutions demonstrated by HG projects have been replicated by host country institutions;
- The manner in which and the extent to which shelter design and shelter standards have been influenced;
- The manner in which and the extent to which program design has resulted in Goal attainment; and
- The ways in which shelter programs have induced provision of other services essential to the development of viable communities.

The scope of work for a case study must be tailored by the RHUDO to address one or more of these topics.

Until the process of program design and evaluation outlined in these Guidelines has been firmly established, case studies must attempt to reconstruct the shelter situation prior to AID involvement and then seek to assess the direct and indirect effects of the program.

A typical case study should be implemented in three phases: (1) a review of the relevant secondary source documentation in Washington, discussions with relevant people in the United States, and identification and development of the issues to be investigated in the field; (2) a field visit to the country or countries in question; and (3) analysis and presentation of the results of the case study in Washington.

Annex E contains an outline of an illustrative case study. This study, "A Case Study of the Korean Housing Investment Guaranty Program 1971-77," is the first study of this type to be carried out. It should be a useful guide to RHUDOs in drafting scopes of work for similar studies.

The Korean case study was designed to examine two themes: (1) the results of the AID/ROKG dialogue on housing policy, and (2) how the AID HG projects evolved in reaching increasingly lower income families.

Other themes in other countries might include the impact of an HG Program on host country institutions, the influence of a project or a program on shelter design, or simply a history of the HG Program in a country or a region over a period of years.

INTENSIVE EVALUATIONS

A few HG projects will be chosen for intensive evaluation. They would have unusual characteristics designed into them in order to test certain hypotheses. Their purpose is to determine in a scientific way if a relationship exists between specific shelter program inputs and hypothesized effects. If a relationship does exist, how strong is it--is the input marginally related to the effect or is it strongly correlated? If changes have occurred, can they be specifically attributed to the HG Program, or are they the result of other, intervening forces, acting on beneficiaries or institutions?

These evaluations are intensive because they require precise and periodic measurements and careful analysis. Baseline measures of people, conditions, and institutions must be taken before "treatment" (i.e., the introduction of change); the same measures must be taken again during "treatment" (i.e., the implementation of change); and finally, these same measures must be taken at one or more times after the

"treatment" has stopped (i.e., the implementation phase is finished) in order to permit time to create the effects of change.

The use of control groups should be given serious consideration in designing an intensive evaluation. This technique requires that the experimental group (program beneficiaries) be compared over time to a control group which has similar social, physical, and economic characteristics as the experimental group but does not receive program benefits.

The RHUDOs should recommend projects for intensive evaluation where they have reason to believe they contain, or could be designed to contain, important features in terms of shelter innovations for that country and/or others. These features could be physical, social, economic, or institutional. They should be of such importance as to merit a sustained, costly evaluation.

In addition, intensive evaluations should only be undertaken where the host country evaluation research capability is sufficient to effectively carry out the major tasks and responsibilities of the evaluation design.

Finally, before an intensive evaluation is designed, agreement must be reached with the host country to permit this sustained, intensive activity and to substantially support it.

ANNEX A

PROGRAM DESIGN
AND THE
LOGICAL FRAMEWORK

In broad terms, the objective of every AID shelter program is to improve the efficiency and effectiveness of the shelter delivery system in providing decent shelter for lower-income families. More specifically, AID shelter programs are designed to strengthen shelter institutions and to demonstrate techniques of shelter delivery which can ultimately be replicated by the host country on a self-sufficient basis. The sample Logical Frameworks of hypothetical projects provided in this Annex attempt to reflect these considerations in program design.

In each of these examples, it should be noted that attention has been given to developing or expanding the shelter institutions that would be primarily responsible for replicating the particular type of shelter solution being demonstrated by the project. Moreover, the project Purposes and the End-of-Project Status Indicators are structured to reflect the replicability objective and to quantify the extent to which replicability has occurred.

Most of the Outputs and End-of-Project Status Indicators are given time dimensions to indicate the time when the targets are expected to be achieved. These time dimensions must coincide with those contained in the Planned Performance Tracking Network.

Virtually all of the Objectively Verifiable Indicators (column 2 of the LF) are expressed in quantitative dimensions in order to facilitate:

1. The assessment of the adequacy of Inputs.
2. The determination of project feasibility.
3. The conduct of monitoring and evaluation.

The descriptive and quantitative baseline data derived from the Shelter Sector Assessment are of particular importance in determining the levels of achievement which can reasonably be expected of a given set of Inputs. The RHUDO's general experience in shelter programs and specific experience with the country in question are also critically important determinants of the pace with which the project is likely to proceed and the extent to which improvements in the shelter delivery system can be effected.

For these reasons, the particular quantities expressed in the sample Logical Frameworks must <u>not</u> be taken as standards; these

quantities are hypothetical and illustrative. First and foremost, they illustrate that with few exceptions all of the Objectively Verifiable Indicators of project performance can be expressed quantitatively.

The three sample Logical Frameworks are designed to depict the principal types of shelter programs sponsored by DS/H. Example 1 is applicable to projects employing either core units or serviced sites as the physical solution to be demonstrated and employs a National Housing Authority (NHA) and a National Housing Bank (NHB) as generic institutions; other types of institutions, such as credit unions or cooperatives, might well perform the role of shelter development and shelter finance.

Similarly, in Example 2, which is a prototype for upgrading projects, the Sewer and Water Authority (SWA) is the generic name for the agency responsible for installation, maintenance, and collection of user charges for the sewer and water system. Applied to a particular project, the SWA could be the Ministry of Public Works, public utility companies, or several municipal authorities.

Example 3 depicts the type of Logical Framework which might be prepared for a country almost totally lacking in shelter-related institutional infrastructure. The hypothetical project addresses the need to prepare and adopt a national housing policy and to establish the principal operating agencies responsible for shelter delivery.

The sample LFs are least detailed in specifying the Means of Verification. Nevertheless, the RHUDO must determine at the program design stage whether or not the information required to verify the achievement of the Outputs, Purposes, and Goals is regularly collected by host country institutions and/or is otherwise readily available. If such information is <u>not</u> available, the RHUDO must make provisions in the Implementation Agreement for its collection and be prepared to monitor the cognizant institutions to assure that the information is, in fact, being collected. Alternatively, the RHUDO must restate the performance indicator in terms of data which <u>are</u> available and which would reflect essentially the same level or quality of performance.

Particular attention should be given to the Assumptions column. For purposes of monitoring and evaluation, the failure of Assumptions to be realized is likely to be the principal reason for a project's failure to achieve its stated objectives. Comprehensive and explicit statement in the LF of all the project's Assumptions strengthens program design by identifying for the RHUDO those actions to which he must be sensitive in determining the adequacy of Inputs and in estimating the time required to go forward with interdependent phases of the project. Moreover, comprehensive specification of events outside the RHUDO's control or influence (Assumptions) which must occur to produce a successful project provides convenient points of inquiry in determining the causes of shortfalls in project performance.

Further discussion of the Logical Framework, drawn from <u>AID Handbook 3</u>, follows.

APPENDIX 3E

THE LOGICAL FRAMEWORK

A. The Logical Framework

1. A key element in project planning and evaluation is the establishment of a logical framework for the project design which:

a. Defines project inputs, outputs, purpose, and higher goal in measurable or objectively verifiable terms.

b. Hypothesizes the causal (means-end) linkage between inputs, outputs, purpose, and goal.

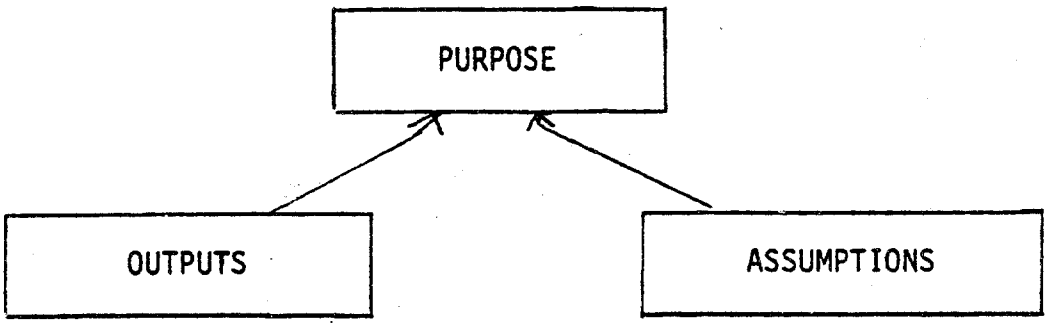
c. Articulates the assumptions (external influences and factors) which will affect the causal linkages.

d. Defines the indicators which will permit subsequent measurement or verification of achievement of the defined outputs, purpose, and goal.

A diagrammatic outline of the logical framework appears as Figure 2 below.

2. The logical framework methodology embodies the concept of causality; i.e., the causal linkage or hierarchy in which resource inputs are intended to produce outputs, outputs are expected to result in the achievement of project purpose, and project purpose is expected to contribute substantially to the higher goal. The concept of causality, in turn, rests on the basic premise that each level in the hierarchy can be shown to be not only necessary but also sufficient to cause the next higher level to be achieved. Since each causal linkage is subject to external factors beyond the control of project management, each linkage must be tested to assure that a given target level (e.g., outputs), in concert with the assumption at that level are necessary and sufficent to achieve the next level (purpose).

Figure 1



3. *The logical framework methodology defines two development hypotheses and two strategies:*

The chosen process by which the hypothesized causal linkage between project purpose and the higher order (sector) goal is to be realized is referred to as the program strategy.

The process which is selected to make the hypothesized causal linkage between project outputs and project purposes occur is described as the project strategy.

4. The logical framework is primarily a project planning device. It also is used for reexamination of the original design of ongoing projects as a necessary prelude to evaluation; i.e., it sets the stage for determining and validating whether or not the project outputs are being produced whether these outputs in fact are serving to achieve the project purposes; and finally whether this achievement is making a significant contribution, as planned, to the higher order goal.

5. The logical framework also establishes the practical limits of responsibility of project management. Articulating the project planning assumptions in explicit and operational terms permits a clearer separation between manageable interests and those factors which appear to be beyond the control of the project management team. The input-to-output level is largely susceptible to managerial control with relatively few uncontrollable external factors. At the output-to-purpose level, the possibility of managerial control decreases while external factors become more important. At the purpose-to-goal level, the ability of project management to predict and control events usually is further diminished. In evaluating project progress, it is necessary to examine the original planning assumptions about the role of external factors and to validate the hypothesized means-end linkages.

B. Logical Framework Characteristics and Limitations

1. All aspects of project planning (i.e., the formulation of targets, causal linkages, indicators, and assumptions) are defined by the project planners and are project-specific. Similarly, the degree of rigor and the level of effort in collecting and analyzing data for the evaluation are determined by the person/committee conducting the evaluation and are project-specific.

2. The logical framework methodology does not assure that the project is optimal; i.e., that the project directly addresses the most critical constraint to goal achievement, and is the most effective means for overcoming that critical constraint unless the planners and/or evaluators choose to explore alternative approaches.

B

3. The logical framework methodology gives no guidance on questions of equity or benefit incidence such as equitable income distribution, employment opportunities, access to resources, popular participation in decision-making and in the fruits of development projects unless such aspects have been explicitly included in the statements of goal or purpose. Guidance on benefit incidence policies and criteria has been issued periodically and will continue to be developed and disseminated.

4. The logical framework methodology is programmatically and technically neutral. It gives no guidance on proven strategies and techniques, cost and feasibility of replication, effects on the environment, concentration on key problem areas, reliance on the private sector, etc.

5. The logical framework methodology permits, but does not require, cost/benefit and cost/effectiveness analysis.

6. The logical framework matrix can be modified by the user for special circumstances; e.g., one or more horizontal rows can be added to provide for intermediate subsectoral goals. (See the Logical Framework, Modifications Based on Experience, November 1973.)

7. Further description and instruction concerning the logical framework methodology is found in the following, available from AID:

a. The Project Evaluation Guidelines, Supplement I, Third Edition, August 1974.

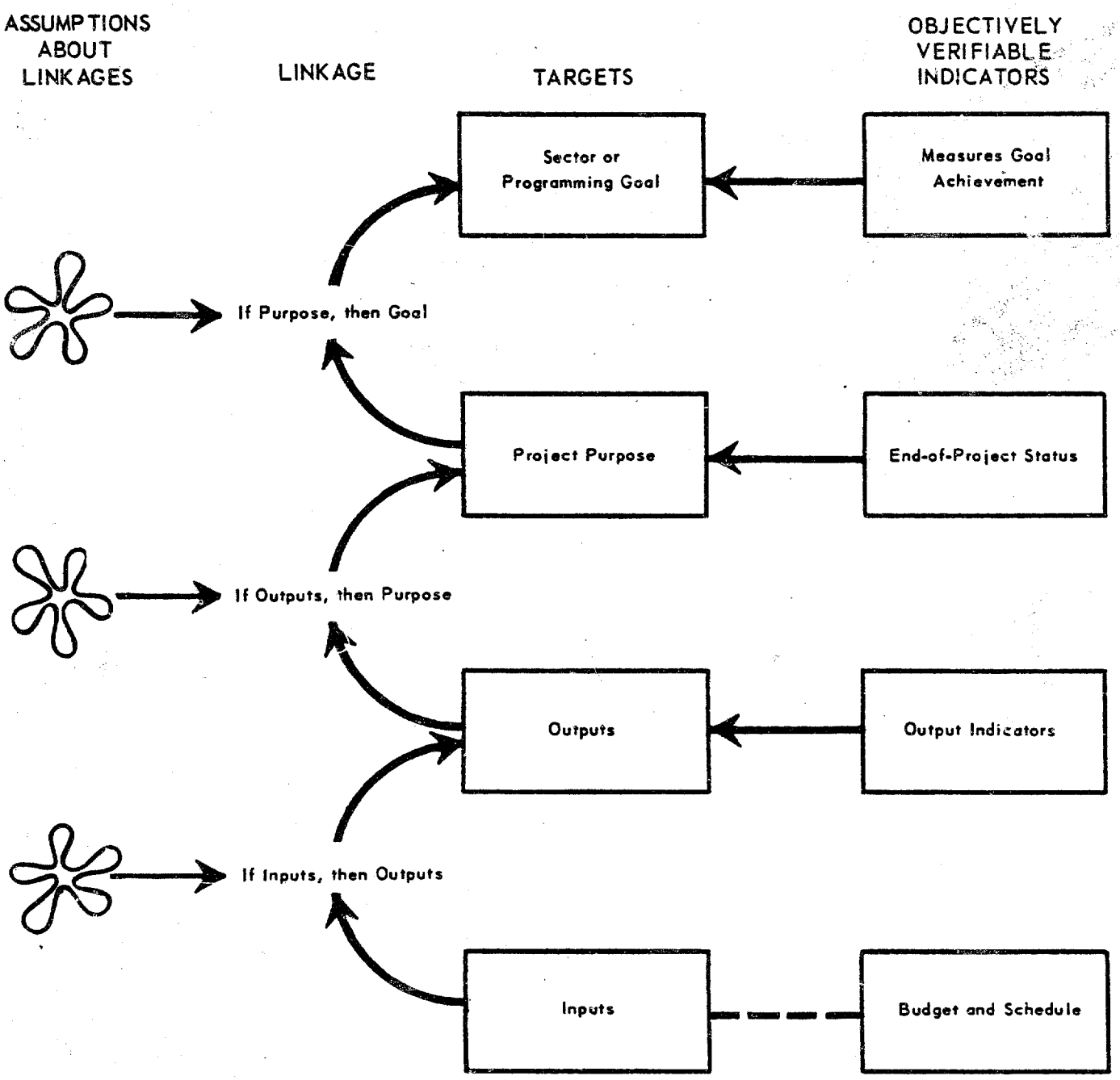
b. The Logical Framework - Modifications Based on Experience, November 1973.

c. AID Use of Development Indicators - A Progress Report, March 1974.

d. A glossary of terms associated with the logical framework methodology is found at the end of this section.

App 3E, Ch 3, dB 3
(TM 3:19)

THE LOGICAL STRUCTURE OF A PROJECT



Example 1

LOGICAL FRAMEWORK

PROJECT TITLE AND NUMBER: _____

TYPE OF PROJECT: Core Housing, Serviced Sites; Institutional Development

TOTAL U.S. FUNDING: _____

DATE PREPARED: _____

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
GOAL:	MEASURES OF GOAL ACHIEVEMENT:		
Increase the availability of safe, sanitary shelter affordable by low-income families.	Production of low-income shelter units reaches 30% of total shelter unit production by 1988.	Records of Ministry of Housing and Ministry of Planning.	National Housing Policy accords necessary priority to low-income shelter.
PROJECT PURPOSES:	END-OF-PROJECT STATUS INDICATORS:		
1. Expand the production of low-income shelter.	1. 15,000 units per year of low-income shelter, including serviced sites, produced by 1985.	1. Records of the Ministry of Housing and Ministry of Planning.	1a. Demonstration project is successful and persuasive to host country government. b. Adequate land, labor, and capital available. c. Sufficient effective demand exists.
2. Increase the flow of financing for low-income shelter.	2a. 25% of the mortgage portfolio of the NHB devoted to low-income shelter financing by 1985.	2a. Records of NHB.	2a. (1) Delinquency rates and administrative costs on low-income loans comparable to those on middle-income loans. (2) Sufficient qualified loan demand exists. (3) Appropriate number of low-income units produced and available for financing.
	b. Savings base of NHB expanded to 100,000 accounts by 1985.	b. Records of NHB.	b. (1) Real economic growth continues in the range of 5-6% per year. (2) NHB savings mobilization program continues.
3. Reduce direct subsidization of low-income shelter.	3. Direct subsidization of low-income shelter reduced to 5% of unit cost by 1985.	3. Records of Ministry of Housing, Ministry of Planning, and Ministry of Finance.	3. National Housing Policy revised to employ minimum subsidy approach to low-income shelter.

EXAMPLE 1 (continued)

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
OUTPUTS:	MAGNITUDE OF OUTPUTS:		
1. Low-income shelter demonstration projects.	1a. 10,000 low-income shelter solutions completed and occupied by 1982.	1a. AID and NHA records.	1a. (1) Suitable land acquired by NHA. (2) Local contractors complete work in accordance with specifications and advertised prices. (3) Sufficient effective demand exists among the low-income population.
	b. 10,000 home mortgages granted by NHB by 1982.	b. AID and NHB records.	b. (1) NHB has adequate administrative capacity to originate and service loans. (2) Sufficient loan demand exists among qualified low-income families.
2. Expanded branch network for NHB.	2a. 10 new branches of NHB established by 1981.	2a. NHB records.	2a. (1) Suitable branch locations identified and acquired. (2) Sufficient equipment and staff available to operate branches. (3) NHB commits resources to branch expansion.
	b. 20 NHB staff members successfully complete training program by 1980.	b. AID records.	
3. Expanded planning and production capability for NHA.	3. 20 NHA staff members successfully complete training program by 1980.	3. AID records.	

Best Available Document

EXAMPLE 1 (continued)

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
INPUTS:	IMPLEMENTATION TARGET:		
1. HG Program loan.	1. US$15 million HG loan: US$14.9 million for shelter; US$100,000 for technical assistance.	1. AID records.	1a. HG loan authorized by Regional Bureau. b. Host country signs loan agreement with U.S. lender by end of FY 79.
2. DG for training.	2. US$500,000 DG.	2. AID records.	2. DG resources available and are committed to project by end of FY 79.
3. Host country capital.	3. US$5 million host country capital.	3. Records of Ministry of Finance, NHA, and NHB.	3. Host country resources available and are committed to project by end of FY 79.
4. Technical assistance.	4a. 90 man-days shelter planning and production specialist. b. 90 man-days shelter finance specialist.	4. AID records.	4. Technicians available.
5. Training.	5a. 60-day program in low-income shelter planning and production. b. 60-day program in management of low-income shelter financing.	5. AID records.	5. Qualified candidates and instructors available.

Best Available Document

Example 2

LOGICAL FRAMEWORK

PROJECT TITLE AND NUMBER: _____

TYPE OF PROJECT: Urban Upgrading; Institutional Development

TOTAL U.S. FUNDING: _____

DATE PREPARED: _____

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
GOAL:	**MEASURES OF GOAL ACHIEVEMENT:**		
Improve living conditions in existing low-income settlements.	1. Potable water, sanitary sewerage, and drainage available to 75% of low-income urban population by 1988.	1. Records of Ministry of Public Works.	National Housing Policy remains in effect and continues to be conscientiously implemented, giving priority to upgrading solutions.
	2. 75% of low-income dwellings constructed of durable materials.	2. Records of Ministry of Housing.	
PURPOSES:	**END-OF-PROJECT STATUS INDICATORS:**		
1. Expand availability of potable water, sanitary sewerage, and drainage among low-income urban population.	1. Potable water, sanitary sewerage, and drainage available to 50% of low-income urban population by 1985.	1. Records of Ministry of Public Works and Ministry of Health.	1a. SWA upgrading program obtains necessary financial support. b. Mechanism established to assure acquisition of rights of way on a routine basis.
2. Expand and improve administrative capacity and financial viability of SWA.	2a. SWA user charge delinquency reduced to 5% of monthly billings by 1985. b. SWA generates net cash flow of US$5 million per year by 1985.	2. Records of SWA.	2a. SWA collection procedures diligently enforced. b. SWA fee structure remains consistent with objective of financial viability.
3. Improve access to existing settlements.	3. 50% of existing low-income settlements accessible to garbage collection and emergency equipment by 1985.	3. Records of municipality.	3a. Municipality acquires and installs necessary equipment. b. Municipality provides necessary staff to assure frequent, regular collection. c. Emergency equipment (fire, rescue, police) obtained and staffed by host country.

Best Available Document

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EXAMPLE 2 (continued)

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
PURPOSES (cont.):	END-OF-PROJECT STATUS INDICATORS (cont.):		
4. Improve the durability of existing low-income shelter.	4a. 50% of existing low-income shelter constructed of durable materials by 1985.	4a. Records of Ministry of Housing.	4a. (1) Self-help community groups and small contractors become and remain effective. (2) Adequate supply of building materials available at costs affordable by low-income families.
	b. 10,000 home improvement loans granted by NHB per year by 1985.	b. Records of NHB.	b. (1) Sufficient qualified loan demand exists. (2) NHB has sufficient financial resources.
5. Expand NHB financial resources and improve access of low-income families to home improvement loans.	5a. 10,000 new savings accounts opened by NHB in low-income settlements by 1985.	5. Records of NHB.	5a. (1) NHB expands branch network and continues savings mobilization campaign. (2) Real economic growth continues in the range of 4-5% per year.
	b. 5,000 home improvement loans made by NHB to low-income families per year by 1985.		b. (1) Sufficient qualified low-income loan demand exists. (2) Delinquency rates and administrative costs of low-income home improvement loans below levels which would induce losses.
6. Improve efficiency of land transfer and title registration procedures applied to low-income families.	6a. 10,000 land transfers per year effected by land authority by 1985.	6. Records of land authority.	6a. Legal mechanisms for land transfer streamlined.
	b. Average processing time of land transfer and title registration reduced to 3 months by 1985.		b. Land authority formulates and implements a reorganization plan.

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
OUTPUTS:	MAGNITUDE OF OUTPUTS:		
1a. Potable water and sanitary sewer connections.	1a. 5,000 potable water and sanitary sewer connections in target areas by 1981.	1a. AID and SWA records.	1a. (1) Rights of way are obtained by SWA. (2) Local contractors complete work on schedule according to specifications and advertised prices.
b. Storm water drainage.	b. 50,000 feet of storm sewers and drainage canals installed in target areas by 1981.	b. AID and SWA records.	b. (1) Rights of way are obtained by SWA. (2) Local contractors complete work on schedule according to specifications and advertised prices.
2. Improvements in SWA administrative capacity.	2a. SWA user charge delinquency reduced to 10% of monthly billings by 1981.	2a. SWA records.	2a. (1) SWA reorganizes collections department. (2) Courts enforce SWA authority to discontinue service because of non-payment.
	b. SWA operating deficits eliminated by 1981.	b. SWA records.	b. (1) SWA prepares and implements reorganization plan. (2) SWA fee structure revised to provide for full lost recovery.
3. Improved access to target area settlements.	3a. 50,000 feet of paved walkways (5 feet wide) installed by 1981 in target areas.	3a. AID and SWA records.	3a. (1) Rights of way are obtained. (2) Community groups organized to carry out self-help operations. (3) Paving materials and equipment made available to community groups.
	b. 200 garbage collection facilities installed in target areas by 1981.	b. AID and SWA records.	b. Host country purchases necessary equipment and provides staffing for regular collection.
4. Home improvements.	4a. 5,000 low-income units in target areas improved with permanent materials by 1981.	4a. AID records.	4a. (1) Community groups organized to carry out self-help operations. (2) Competent small contracting firms available. (3) Sufficient effective demand exists for home improvement among low-income population in target areas.
	b. 5,000 home improvement loans granted to low-income families in target areas by NHB by 1981.	b. NHB records.	b. Sufficient qualified loan demand exists.

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EXAMPLE 2 (continued)

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
OUTPUTS (cont.):	MAGNITUDE OF OUTPUTS (cont.):		
5. Expanded NHB facilities and financial resources.	5a. Two NHB branch offices established in the target areas by 1979.	5a. NHB records.	5a. (1) Suitable branch locations identified and acquired. (2) Sufficient equipment and staff available to operate branches. (3) NHB commits resources to branch expansion.
	b. NHB opens 10,000 savings accounts in the target areas by 1979.	b. NHB records.	b. (1) Real economic growth continues in the range of 4-5% per year. (2) NHB formulates and implements savings mobilization campaign geared to low-income families.
	c. 20 NHB staff members complete training program in low-income financial administration and savings mobilization by 1979.	c. AID records.	c. Trainees successfully complete training program and remain in the employ of NHB.
6. Secure land tenure for target area beneficiaries.	6. 5,000 land titles registered to low-income residents of target areas by 1980.	6. Land authority records.	6. Legal restrictions on title transfer modified to facilitate low-income land acquisition.

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
INPUTS:	**IMPLEMENTATION TARGETS:**		
1. HG Program loan.	1. US$15 million HG loan: US$14.7 million for shelter; US$200,000 for technical; US$100,000 for training.	1. AID records.	1a. HG loan authorized by Regional Bureau. b. Host country signs loans agreement with U.S. lender by end of FY 79.
2. Host country capital contribution.	2. US$5 million host country capital for right-of-way acquisition.	2. Records of Ministry of Finance and SWA.	2. Host country resources available and are committed to project by end of FY 79.
3. Technical assistance.	3a. 120 man-days urban planning specialist. b. 120 man-days self-help construction specialist. c. 90 man-days public utility management specialist. d. 90 man-days socio-economic and survey research specialist. e. 60 man-days land law specialist. f. 60 man-days shelter finance specialist.	3. AID records.	3. Technicians available.
4. Training.	4a. 60-day program in management of low-income shelter financing. b. 30-day program in low-income savings mobilization and administration.	4. AID records.	4. Qualified candidates and instructors available.

Example 3

LOGICAL FRAMEWORK

PROJECT TITLE AND NUMBER: _____

TYPE OF PROJECT: National Housing Policy & Institutional Development

TOTAL U.S. FUNDING: _____

DATE PREPARED: _____

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
GOAL:	**MEASURES OF GOAL ACHIEVEMENT:**		
Increase the flow of resources devoted to improving shelter conditions for low-income families.	1. 50% of resources available to NHA devoted to low-income shelter production.	1. Records of NHA.	National Housing Policy remains in effect and continues to be conscientiously implemented.
	2. 30% of resources available to NHB devoted to low-income shelter finance.	2. Records of NHB.	
PURPOSES:	**END-OF-PROJECT STATUS INDICATORS:**		
1. Establish a rational National Housing Policy.	1 National Housing Policy adopted by 1980.	1. Official gazette or records of Ministry of Construction.	1. Host country government perceives the policy to be politically and economically feasible.
2. Establish the institutional infrastructure through which the National Housing Policy is to be implemented.	2a. 2,000 nonsubsidized low-income shelter solutions completed by NHA and occupied by 1982.	2a. Records of NHA.	2a. (1) Demonstration projects are successful. (2) Adequate land, labor, and capital available. (3) Sufficient effective demand exists.
	b. 5,000 savings accounts opened by NHB by 1982.	b. Records of NHB.	b. (1) Real economic growth continues in the range of 4-5% per year. (2) NHB savings mobilization program continues.
	c. 2,000 mortgage loans granted by NHB by 1982.	c. Records of NHB.	c. (1) Savings mobilization effort is successful. (2) Sufficient qualified loan demand exists.
	d. 15% of the total number of NHB loans granted to low-income families by 1982.	d. Records of NHB.	d. Delinquency rates and administrative costs on low-income loans comparable to those on middle-income loans.

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
OUTPUTS:	MAGNITUDE OF OUTPUTS:		
1. National Housing Policy document.	1. Final draft of National Housing Policy document presented to host country government by 1979.	1. RHUDO certification.	1. Policy document completed on schedule.
2. Operational National Housing Authority and operational National Housing Bank.	2a. NHA staffed by core of 25 trained professionals by 1980.	2a. AID and NHA records.	2a. Trainees successfully complete training program and continue in the employ of NHA.
	b. NHB staffed by core of 10 trained professionals by 1980.	b. AID and NHB records.	b. Trainees successfully complete training program and continue in the employ of NHB.
	c. Low-income shelter planning and production unit of NHA staffed by 10 trained professionals by 1980.	c. AID and NHA records.	c. Unit established and appropriately staffed by NHA.
	d. Low-income shelter financing unit of NHB staffed by 5 trained professionals by 1980.	d. AID and NHB records.	d. Unit established and appropriately staffed by NHB.
	e. 3 shelter projects totaling 750 units, 200 of which are nonsubsidized low-income solutions, designed and implemented by NHA by 1981.	e. NHA records.	e. (1) Suitable land available and acquired by NHA. (2) Local contractors complete work according to specifications and advertised prices.
	f. 3,000 savings accounts opened by NHB by 1981.	f. NHB records.	f. (1) NHB implements successful savings mobilization campaign. (2) Real economic growth continues in the range of 4-5% per year.
	g. 1,000 mortgage loans, of which 200 are for low-income families, granted by NHB by 1981.	g. NHB records.	g. (1) Appropriate types of units produced and available for financing. (2) Sufficient qualified loan demand exists.

LOGICAL FRAMEWORK

PROJECT TITLE AND NUMBER: _____

TYPE OF PROJECT: _____

TOTAL U.S. FUNDING: _____

DATE PREPARED: _____

ANNEX B

Instructions and Sample Form

PLANNED PERFORMANCE TRACKING NETWORK

INTRODUCTION

The Planned Performance Tracking Network (PPTN) is a system for tracking the actual versus planned performance of AID projects. It involves: (a) the preparation of a network chart at the project design stage which relates performance indicators to each other and to time, and (b) the utilization of the chart as a basis for project monitoring and reporting. The objectives of the PPTN system are to contribute to and improve the project design process; to provide a monitoring tool for the project manager; to facilitate RHUDO reporting; to serve as the basis for project reporting; and to provide histories for use by project designers.

A preliminary PPTN is required for the DPP and revised for the PP if necessary. Developed in combination with the Logical Framework, the process should improve decisionmaking and review. A set of clear-cut Critical Performance Indicators (CPIs) agreed upon by the Mission and host country lays the basis for the identification of problems arising from failure to meet a CPI.

PREPARATION OF NETWORK

1. *Select the most critical indicators of performance for the project.*

Survey and select those events or circumstances that will most realistically show the progress of the project. Here the Logical Framework (LF) and the PPTN tie closely together, with the LF focusing on the Goal, Purpose, Outputs, and Inputs, and the PPTN laying out intermediate indicators of performance. These could be described as "strategic control points" where performance can be measured. They must account for at least HG loan disbursements and are important elements of monitoring and evaluation.

2. *Estimate the date at which each CPI is critical to the success of the project.*

The next step is to consider the timing of each CPI. It is the date when the CPI is scheduled or expected to occur.

3. *Put these planned performance indicators onto a graphic format.*

The PPTN should be drawn up to make clear the events and activities which are of particular interest to RHUDOs and project managers. Care should be taken to avoid plotting events and activities which are not of vital importance to the project monitoring effort.

The events are specific points at which an objective may be reached or an important action set in motion. They are the essential time points in project progress. All CPIs are events. The events mark the points at which a RHUDO may make a formal evaluation of project progress.

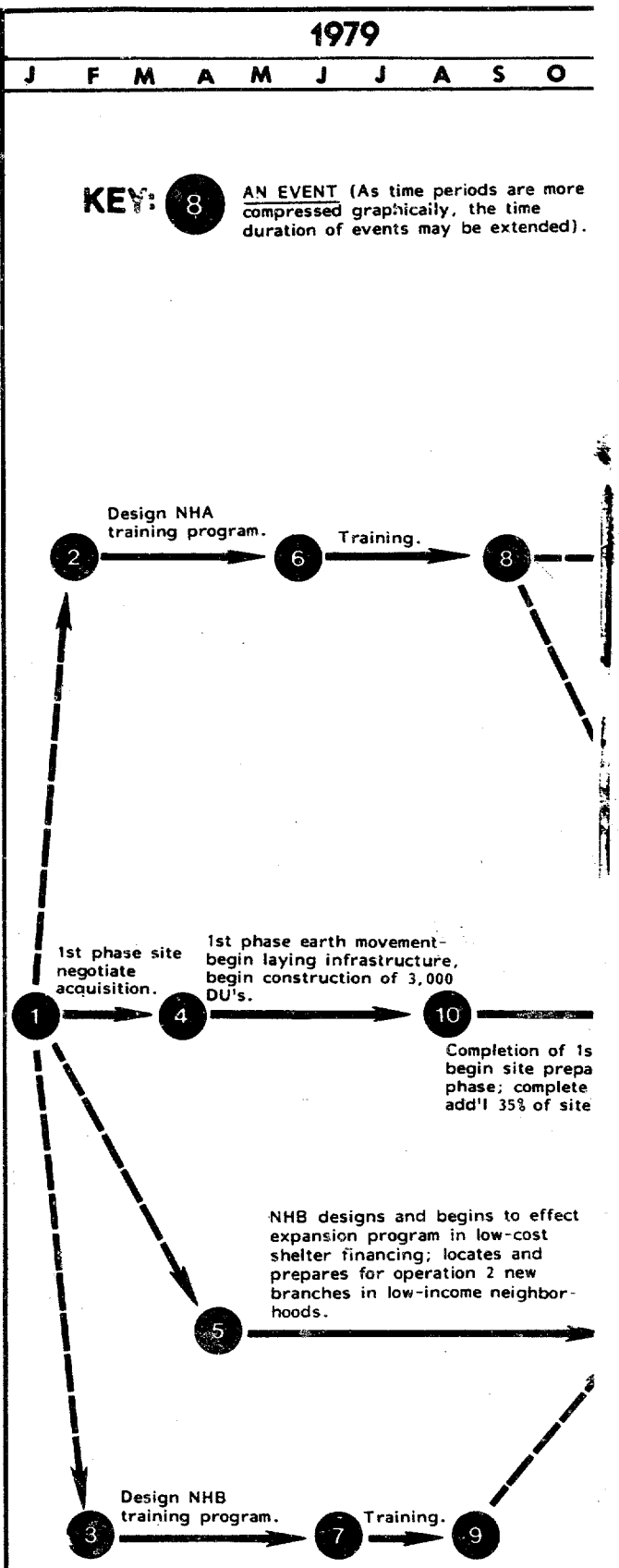
Activities are of a more general character. They indicate general movement from event to event and are less time critical. (A PPTN could be run for each component of a project--unit construction, for example--but such an effort should be employed only by the manager of the specific component lest it obscure the HG project flow.) Activities can be monitored informally by RHUDOs to the degree they feel is required by the complexity of the project or the newness of the institutions involved.

TYPE OF PROJECT: Core Housing, Serviced Sites; Institutional Development

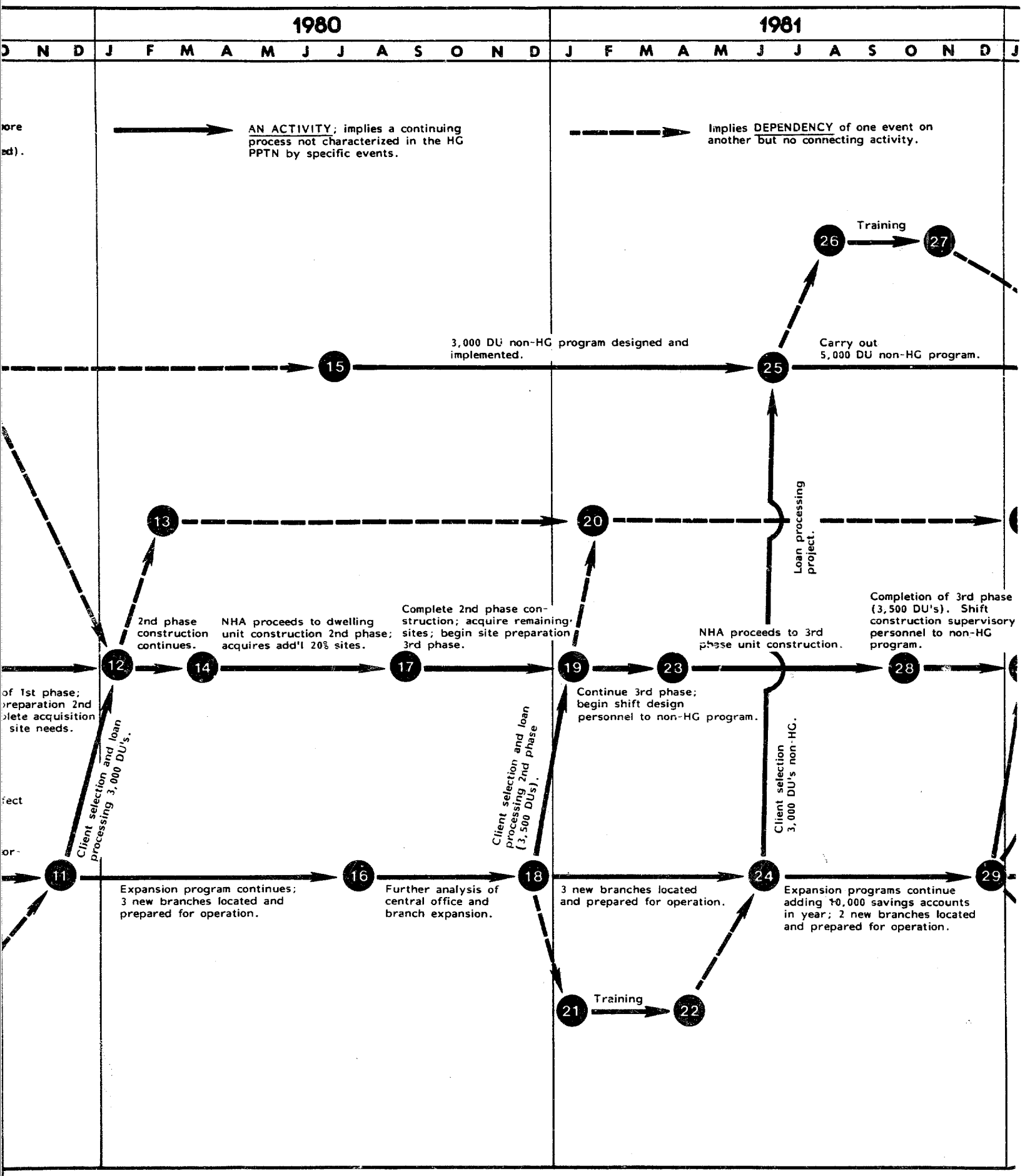
EVENTS

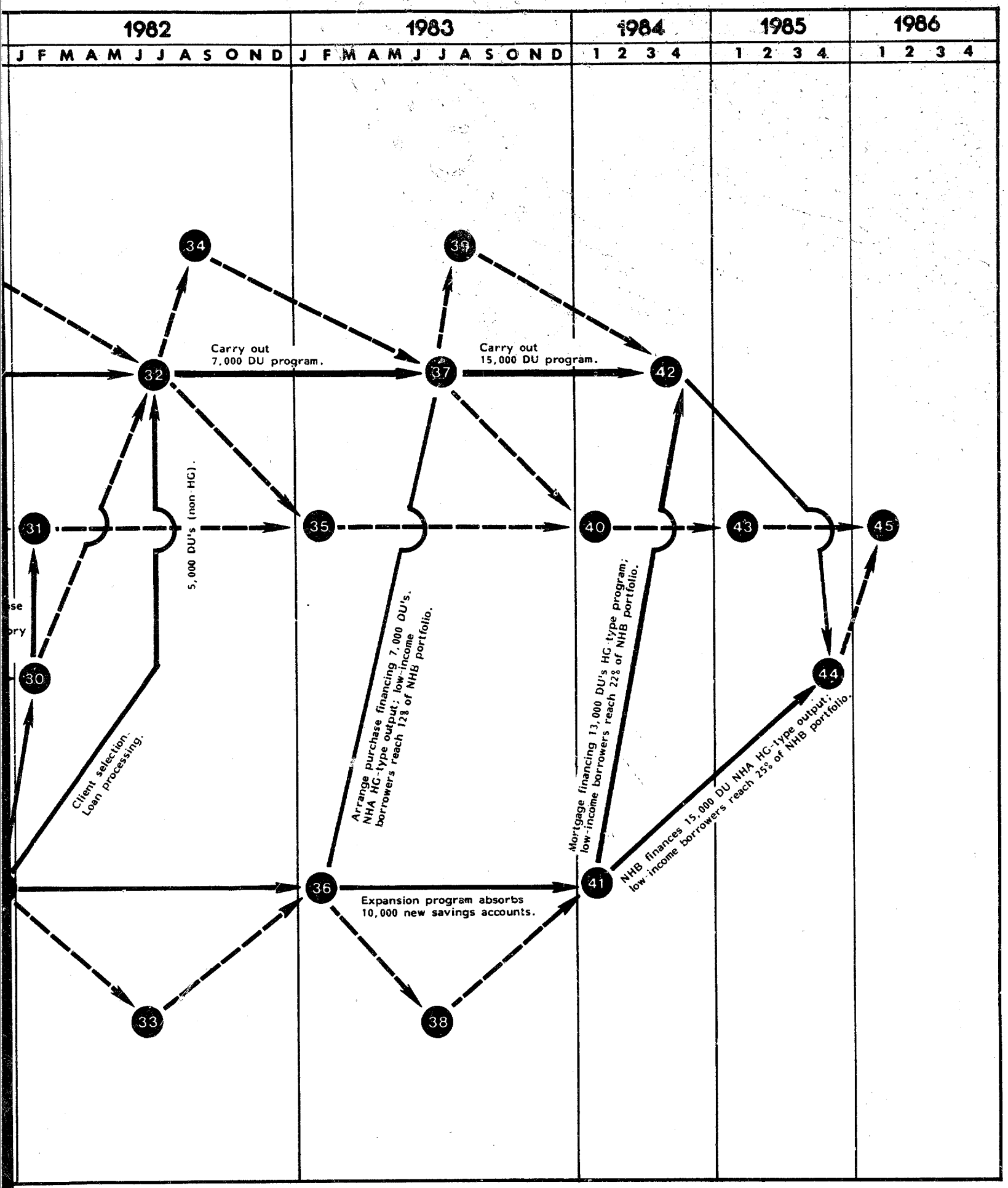
NOTE: CPI = Critical Performance Indicator

1. Sign Implementation and Loan Agreements; HC government advances $5 MM to NHA.
2. Place T/A specialists to design NHA training program.
3. Place T/A specialists to design NHB training program.
4. 1st drawdown HG loan $2.5 MM.
5. Begin analysis NHB expansion program.
6. Begin NHA training program.
7. Begin NHB training program.
8. Complete NHA training program.
9. Complete NHB training program.
10. 2nd drawdown HG loan $2.5 MM. (CPI)
11. Open 2 new branches; begin loan processing 1st phase purchasers.
12. Deliver 3,000 DU (1st phase). (CPI)
13. Annual Regular Evaluation.
14. 3rd drawdown HG loan $2.5 MM. (CPI)
15. Begin design and development of non-HG 3,000 low-cost DU project.
16. Open 3 new NHB branches. (CPI)
17. 4th drawdown HG loan $2.5 MM. (CPI)
18. Begin loan processing for 2nd phase unit purchasers.
19. Delivery of 3,500 DU's. (CPI)
20. Annual Regular Evaluation.
21. Begin new NHB training program. (CPI)
22. Complete NHB training program.
23. 5th drawdown HG loan $2.5 MM. (CPI)
24. Open 3 new branches; begin loan processing non-HG low-cost unit purchasers. (CPI)
25. Delivery 3,000 DU non-HG low-cost project; begin 5,000 DU program. (CPI)
26. Begin new NHA training program. (CPI)
27. Complete NHA training program.
28. 6th drawdown HG loan $2.5 MM (final). (CPI)
29. Open 2 new branches; begin loan processing HG 3rd phase purchasers and 5,000 DU non-HG program. (CPI)
30. Delivery 3,500 DU HG 3rd phase. (CPI)
31. Annual Regular Evaluation.
32. Delivery 5,000 DU non-HG program; begin expansion of project development staff. (CPI)
33. Carry out NHB training program.
34. Carry out NHA training program.
35. Annual Regular Evaluation.
36. Begin loan processing for NHA 1983 program.
37. NHA delivers 10,500 DU's (HG-type). (CPI)
38. NHB training program.
39. NHA training program.
40. Annual Regular Evaluation.
41. NHB begins processing for NHA 1984 output.
42. NHA delivers 13,000 DU's. (CPI)
43. Annual Regular Evaluation.
44. NHA/NHB effort reaches 15,000 HG-type DU's per year.
45. Final Regular Evaluation. (CPI)



PLANNED PERFORMANCE TRACKING NETWORK
Example 1

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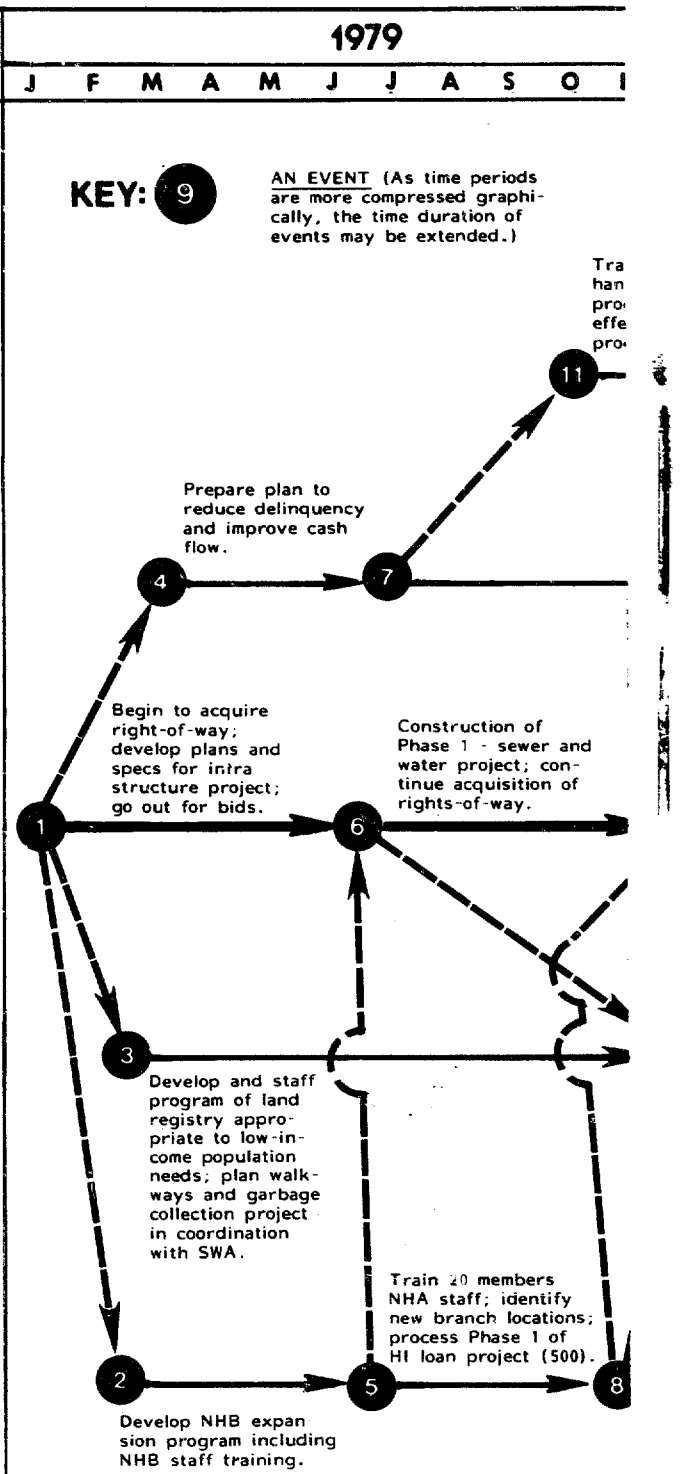
Client selection.
Loan processing.
Carry out
7,000 DU program.
5,000 DU's (non-HG).
Carry out
15,000 DU program.
Arrange purchase financing 7,000 DU's.
NHA HG-type output; low-income
borrowers reach 12% of NHB portfolio.
Expansion program absorbs
10,000 new savings accounts.
Mortgage financing 13,000 DU's HG-type program;
low-income borrowers reach 22% of NHB portfolio.
NHB finances 15,000 DU NHA HG-type output;
low-income borrowers reach 25% of NHB portfolio.

TYPE OF PROJECT: Urban Upgrading; Institutional Development

EVENTS

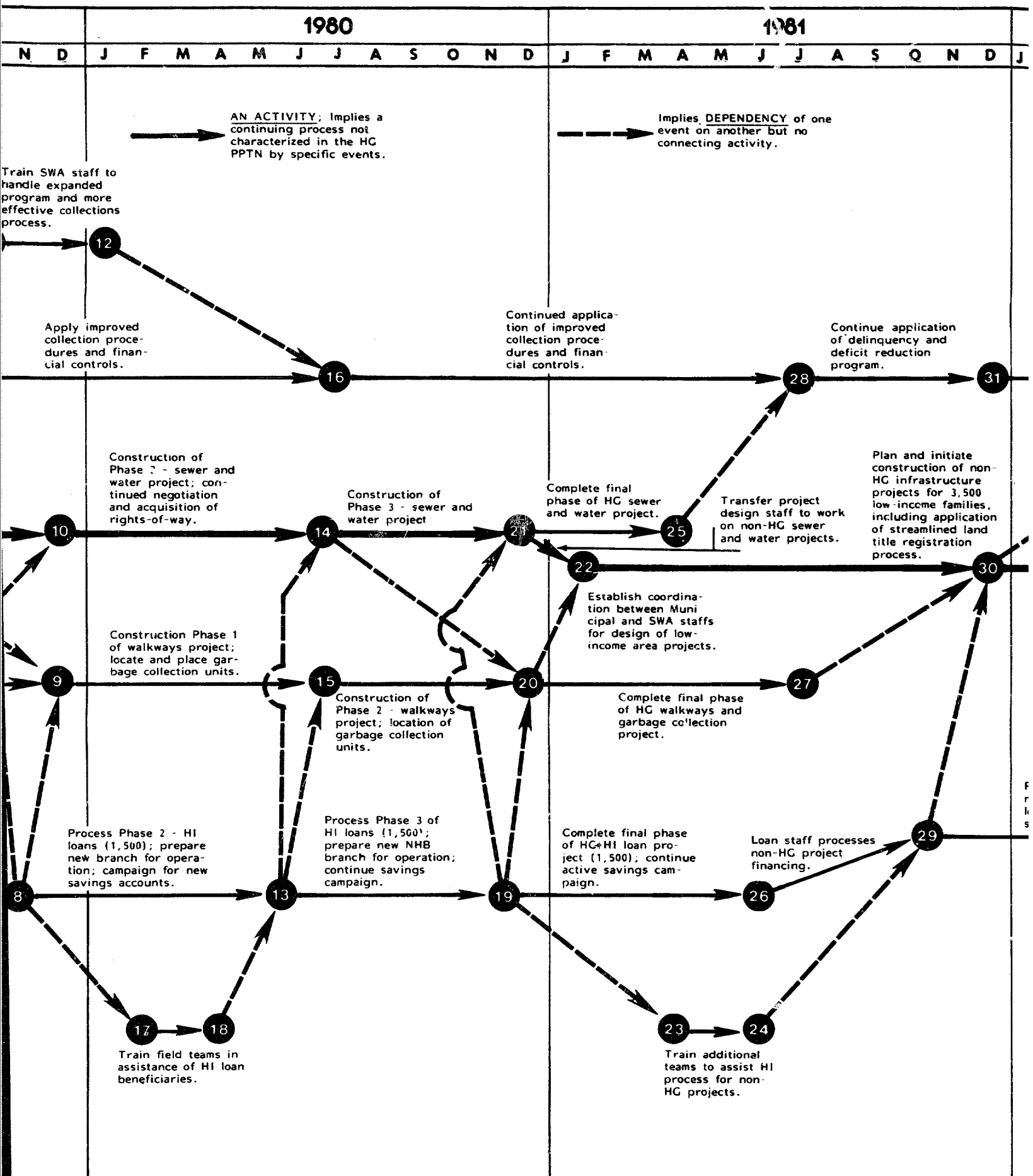
NOTE: CPI = Critical Performance Indicator

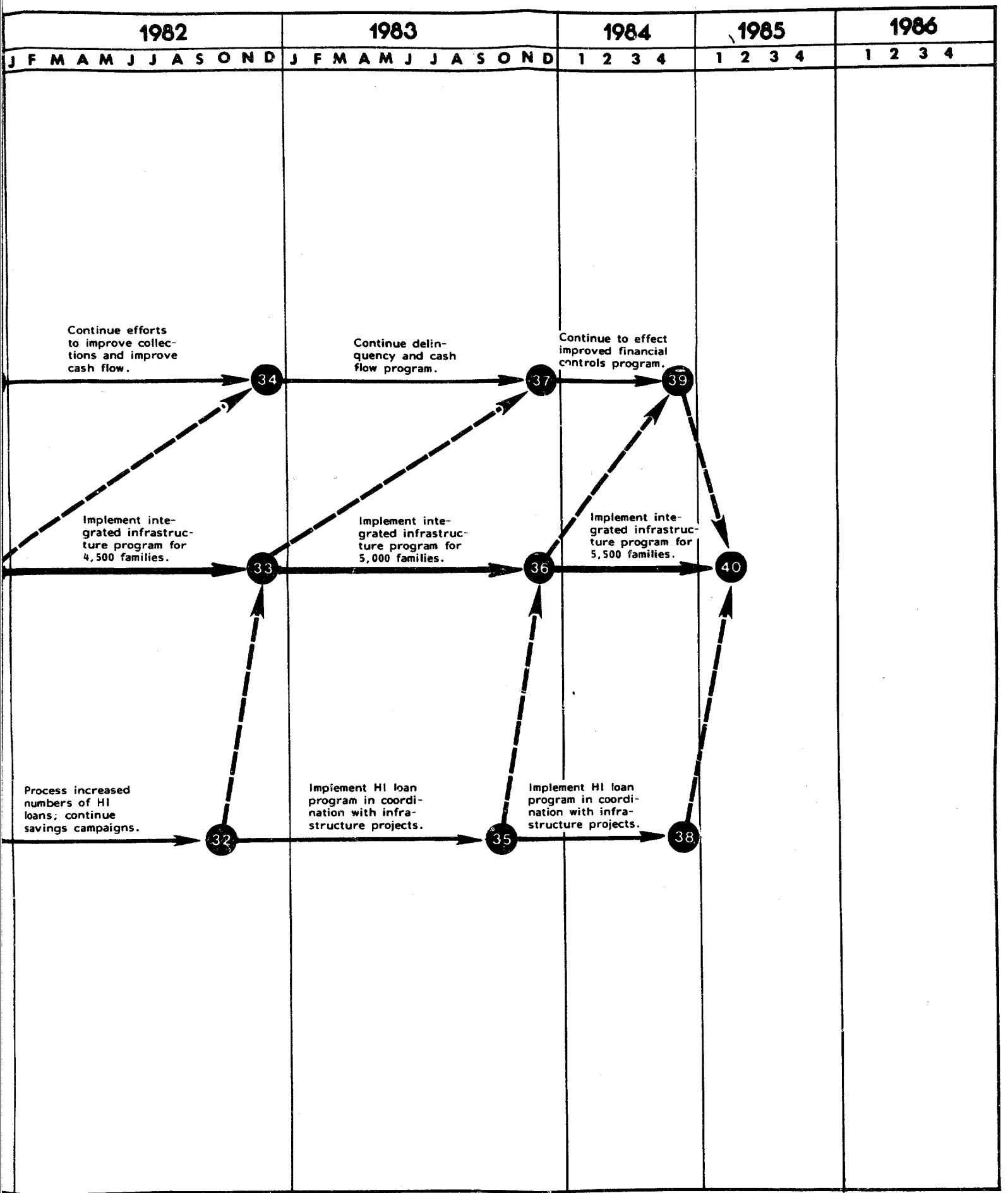
1. Sign implementation agreement; begin negotiation of loan package.
2. Place shelter finance T/A experts; begin developement of NHB expansion program.
3. Place urban planning, land law and socio-economic T/A specialists with municipal planning and cadastral offices.
4. Place public utility T/A specialist; begin assessment of SWA needs.
5. Sign loan agreement; make first drawdown of $3 MM; begin NHB training program.
6. HC government makes first allocation for right-of-way acquistion ($2 MM); contractors selected for 1st phase of sewer and water network construction effort.
7. Public utility T/A completed; delinquency reduction and financial controls plan adopted and put into effect. (CPI)
8. 2nd drawdown of HG loan, $3 MM; NHB training program complete; 500 home improvement loans granted; construction assistance teams begin work with HIG loan recipients. (CPI)
9. 1,000 titles to land in low-income target areas granted; contractors for walkways project selected; construction begins. (CPI)
10. HC allocates $3 MM for right-of-way acquisition; 50% of right-of-way acquisition is completed; 75% of water and sewer network is laid; 1,000 connections delivered. (CPI)
11. Begin training program to expand SWA staff to levels adequate to handle expanded project load.
12. Complete training program.
13. 3rd drawdown, $3 MM; open new branch in target area; 2,000 new savings accounts absorbed; complete first annual regular evaluation. (CPI)
14. Completion of phase 2 of infrastructure project, delivering 1,500 connections; completion of acquisition of right-of-way. (CPI)
15. Completion of phase 1 of walkway project (15,000 lin. ft.); placement of 25 garbage collection units. (CPI)
16. User charge delinquency reaches 15% of monthly billings at SWA. (CPI)
17. Begin training program to create home improvement assistance teams.
18. Complete training, place teams in field.
19. 4th drawdown ($3 MM) open new NHB branch in target area; 3,000 new savings accounts absorbed by system; 1,500 home improvement loans granted. (CPI)
20. Completion of additional 20,000 lin. ft. of walkway; placement of 100 garbage collection units. (CPI)
21. Completion of additional 2,000 connections (Phase 3). (CPI)
22. Begin coordinated development of non-HG projects (CPI)
23. Begin training program to add teams to assist home improvement effort.
24. Completion of training program; begin shift of local T/A personnel to non-HG projects; assist phase 5 HI loan recipients.
25. Completion of phase 4 sewer and water connections (500). (CPI)
26. Final HG drawdown ($3 MM); 1,500 HI loans granted (phase 5); 4,000 new savings accounts absorbed; Annual Regular Evaluation. (CPI)
27. 15,000 lin. ft. of walkway completed; 75 garbage collection units placed. (CPI)
28. User charge delinquency reduced to 10% of monthly billings; SWA operating deficit eliminated. (CPI)
29. Grant 3,500 HI loans for non-HG projects (of HG type). (CPI)
30. Deliver 3,500 connections, with walkways and related garbage collection units; services now reaching 18% of the low-income population; land authority now processing 8,000 transfers annually, reducing title registration processing time to 120 days; Annual Regular Evaluation. (CPI)
31. User charge reduced to 8% of monthly billings. (CPI)
32. 4,500 HI loans granted (non-HG projects). (CPI)
33. Deliver connections, etc., to 4,500 families. Area land authority now processing 9,000 transfers annually, with processing time reduced to 100 days. (CPI)
34. User charge delinquency reduced to 7% of monthly billings; SWA cash flow increased to $3.5 MM per annum. (CPI)
35. 5,000 HI loans granted. (CPI)
36. 5,000 connections, etc., delivered; 38% of low-income families served. Area land authority now processing 9,600 transfers annually with processing time reduced to 90 days. (CPI)
37. Delinquency reduced to 6% of monthly billings; cash flow reaches $4.3 MM. (CPI)
38. 5,500 HI loans granted; 50% of low-income families have dwelling units of durable construction. (CPI)
39. Delinquency reached to 5% of monthly billings; SWA cash flow reaches $5 MM. (CPI)
40. 50% of low-income families served by sewer and water, walkways, and garbage collection services; land authority processing 10,000 transfers annually; Final Project Evaluation completed. (CPI)



PLANNED PERFORMANCE TRACKING NETWORK

Example 2



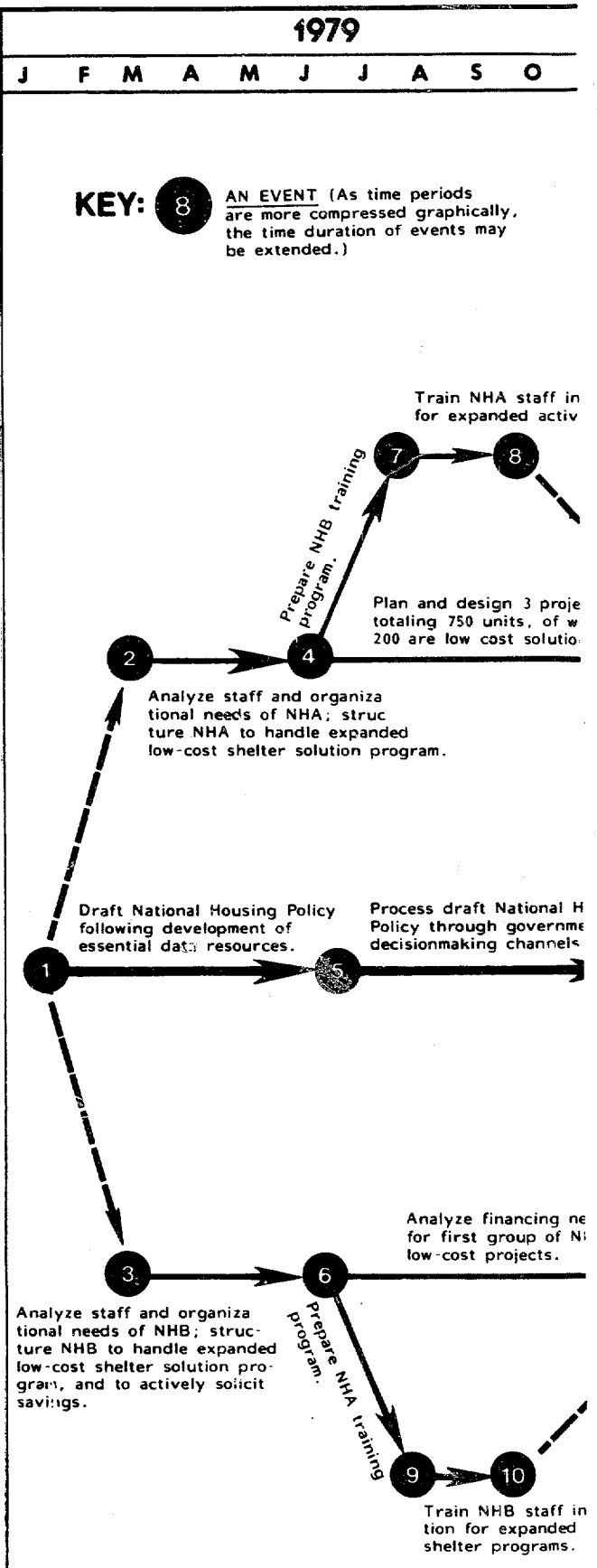

1982
1983
1984
1985
1986
J F M A M J J A S O N D
J F M A M J J A S O N D
1 2 3 4
1 2 3 4
1 2 3 4
Continue efforts to improve collections and improve cash flow.
Continue delinquency and cash flow program.
Continue to effect improved financial controls program.
34
37
39
Implement integrated infrastructure program for 4,500 families.
Implement integrated infrastructure program for 5,000 families.
Implement integrated infrastructure program for 5,500 families.
33
36
40
Process increased numbers of HI loans; continue savings campaigns.
Impiement HI loan program in coordination with infrastructure projects.
Implement HI loan program in coordination with infrastructure projects.
32
35
38

TYPE OF PROJECT: National Housing Policy & Institutional Development

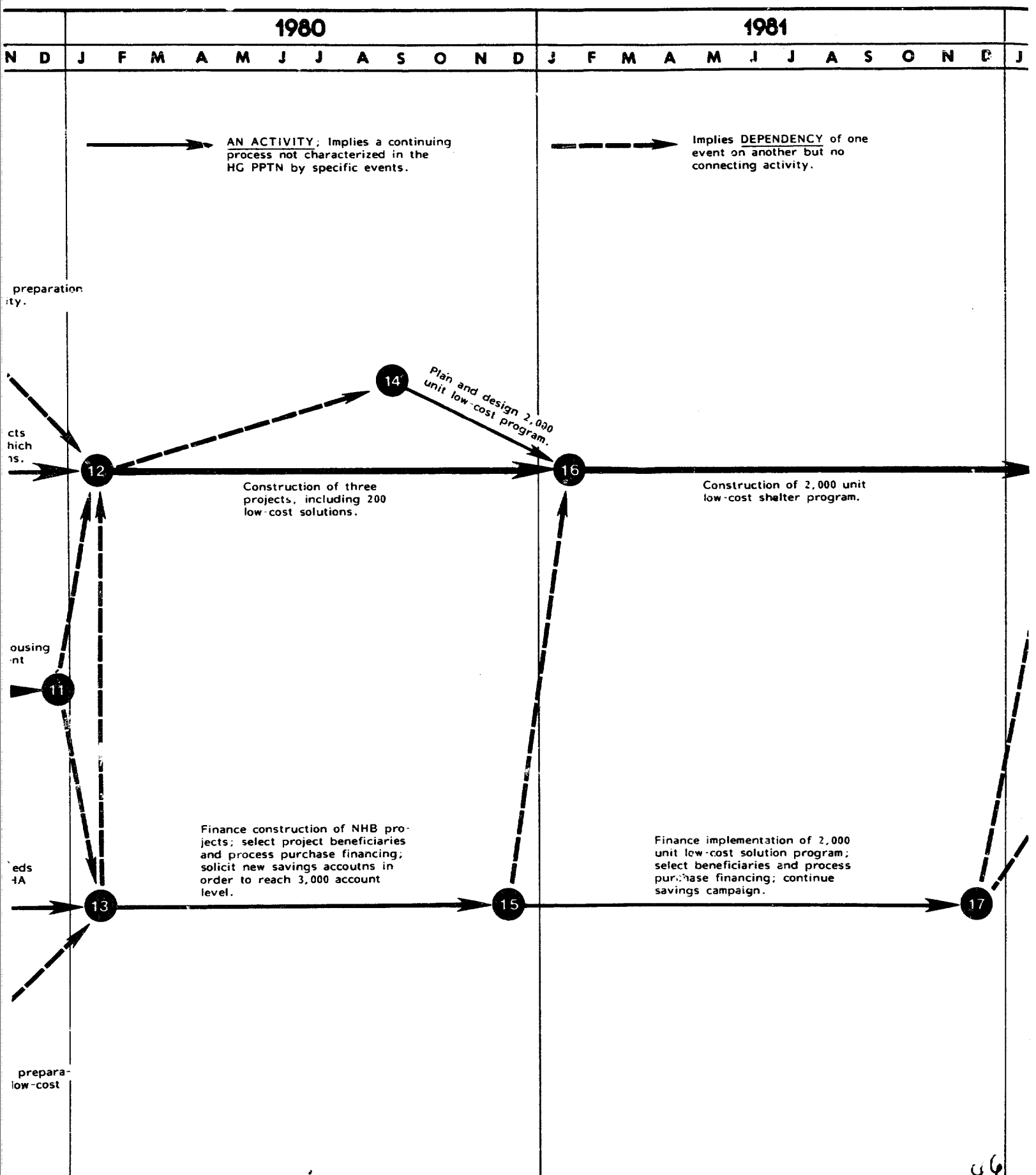
EVENTS

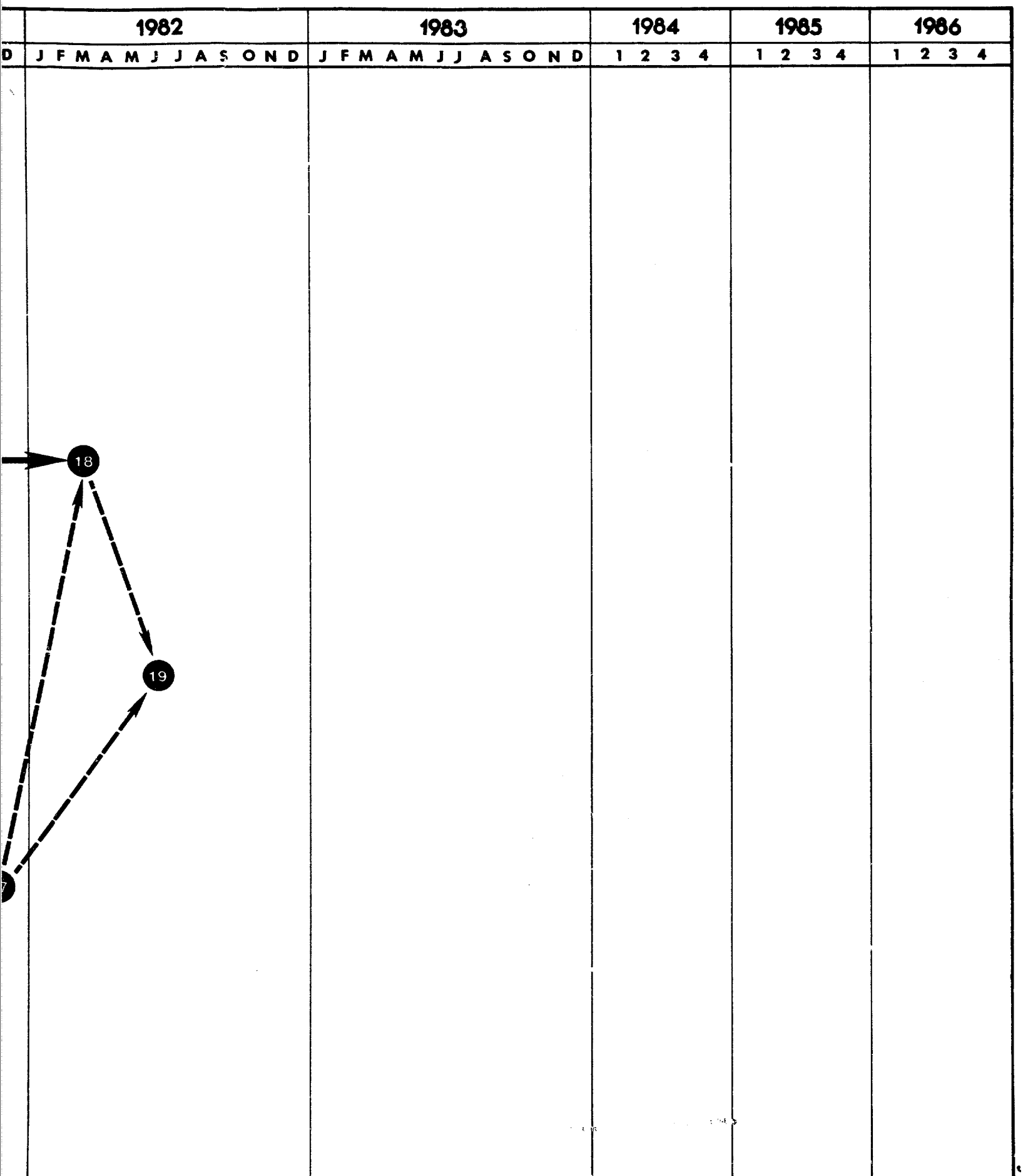
NOTE: CPI - Critical Performance Indicator

1. Sign Implementation Agreement; put National Housing Policy specialist in field; begin drafting National Housing Policy guidelines.
2. Place low-cost shelter production expert and housing authority management expert in NHA; begin analysis of staffing and organizational needs.
3. Place low-cost shelter finance team (finance, management, savings mobilization) in NHB; begin analysis of staffing and organizational needs.
4. Begin preparation of NHA training program; begin planning and design, site acquisition, etc., for 3 projects totaling 750 units, including 200 low-cost shelter solutions. HC allocates $1 MM.
5. Present draft of National Housing Policy to policy decisionmaking authorities; complete policy T/A. (CPI)
6. Begin preparation of NHB training program; begin analysis of construction financing and purchase financing requirements for NHA projects. HC allocates $1 MM.
7. Begin training program designed to prepare 25 professionals for improved project design and implementation to NHA staff.
8. Complete training program; complete shelter production T/A. (CPI)
9. Begin training program designed to prepare 10 professionals on NHB staff for improved mobilization of resources and expanded program financing.
10. Complete training program; complete housing finance T/A. (CPI)
11. Government issues National Housing Policy. (CPI)
12. Begin project implementation to produce 750 units.
13. Drawdown $1 MM seed capital loan; begin construction financing; begin selection of program beneficiaries and purchase loan processing; begin savings campaign; Annual Regular Evaluation. (CPI)
14. Begin design of expanded low-cost shelter solution program covering 2,000 families; plan to allocate approximately 50% of resources to solutions for low-income families. (CPI)
15. Complete processing of loans for NHA 750-unit delivery; reach 1,000 mortgage loan level; reach 3,000 savings account level, provide construction financing for NHA 2,000 low-cost shelter solution program in addition to non-HC program activities and begin processing financing for 1981 NHA projects. (CPI)
16. Deliver 750 units of which 200 are low-cost shelter solutions; begin implementation of 2,000 low-cost solution program; Annual Regular Evaluation. (CPI)
17. Complete mortage loan processing for NHA program beneficiaries, with 15% of portfolio directed at low-income families; reach 5,000 savings account level. (CPI)
18. Deliver 2,000 solutions to low-income families. (CPI)
19. NHA reaches point where 50% of resources are allocated to production of low-cost solutions; NHB allocates 30% of resources to low-income families; Final Regular Evaluation. (CPI)



PLANNED PERFORMANCE TRACKING NETWORK
Example 3




1982
1983
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1985
1986
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J F M A M J J A S O N D
J F M A M J J A S O N D
1 2 3 4
1 2 3 4
1 2 3 4
18
19
7

ANNEX C

Instructions and Sample Forms

PROJECT DELIVERY PLAN
and
PROJECT PROGRESS STATUS REPORT

INTRODUCTION

A project monitoring system is the tracking of work progress and financing from the initial construction scheduling through the last disbursement and completion of the project. It is separate from but flows naturally into financial monitoring. The financial monitoring begins at the first disbursement and continues through the duration of the repayment term.

Project monitoring at regular intervals provides basic information that permits judgments to be made about the status and future of the project. The information is compiled at the project by those best in a position to verify the data.

Project monitoring serves several important purposes for both the borrowing institution and AID. For the borrowing institution, project monitoring is a management tool. The institution can develop and implement construction management techniques that can be applied to other housing programs. Project monitoring introduces procedures that assist the institution in adhering to construction schedules. Delays nearly always result in cost increases. A well-planned and efficiently administered project helps keep construction costs at the planned level. Consequently, the ultimate costs to the purchaser are maintained at an affordable level.

Project monitoring also serves as a management tool for DS/H and the RHUDOs. Their responsibility to see that the loan is utilized on time and as planned is enhanced by an effective monitoring system. With all HG projects monitored in a standard manner, DS/H can monitor the status of the entire HG program. Further, some of the information provided by monitoring is useful as measurements in a project evaluation system.

INFORMATION REQUIRED FOR MONITORING

A carefully conceived project monitoring system permits DS/H to follow more closely the physical and financial progress of the project's implementation and in time detect a departure from the

intended path. During the implementation of a project, there are four basic elements for which information must be gathered:

1. The TIME required to bring the project to its completion: generally shows the efficiency of construction and management; directly affects the production costs; provides warning about developing problems.

2. The COSTS of production and other project-related items: flow of capital--expenditures and receipts, borrowing and reserves. These elements ultimately affect the final cost of the project and cost to the buyer or tenant.

3. The DISPOSAL of completed units: sales, rental occupancy, or other form of making the completed dwellings available to their ultimate users.

4. The FINANCING of construction and mortgages: efficiency of borrowing operating capital and its uses.

The monitoring required for AID's purposes is in actuality the compilation of data already maintained in more detail by the implementing agency and the contractor. A production schedule, prepared by the contractor, shows the sequence of each activity that leads to finished units. A financial schedule, prepared by the implementing agency, shows the sources and amounts of funds for the project in the same time frame as the construction schedule. A disposal (sales or rental) plan, prepared by the implementing agency, shows the timetable of receipts and occupancy.

The schedule of construction activity, financial support, and occupancy is in effect the Project Delivery Plan. It is prepared before work commences and is used by the builder to coordinate his manpower and material needs with his financial resources. At the same time, the implementing agency coordinates the sources of funds with its needs for housing production.

The unit of time used in the plan, and subsequently in the reporting, can be in one-month or three-month periods. The frequency of the period depends on the borrowing institution (its capability, experience, and need) and the type of project (large, long-term construction need be reported only quarterly; smaller infrastructure projects might need to be reported monthly).

CONSTRUCTION SCHEDULE

A construction schedule should be required from and prepared by the project contractor(s), based on his production capacity and

knowledge of local conditions and the work force and its productivity. The contractor should prepare a schedule showing the anticipated progress of construction work, preferably in monthly, but no more than quarterly, intervals.

The schedule must clearly show how the contractor is anticipating to handle the work and its portions and at what rate he will be delivering the completed work (housing units). It must show his expected financial demands on the project owner, particularly the required amount of construction advance, if any, and the form of its liquidation. The schedule must also indicate the form and amount of retention and/or other deductions from the cash payments.

SALES PLAN

On the basis of an accepted construction schedule, the implementing institution shall prepare its sales plan. This plan must show the expected receipts of presale deposits (if any), downpayments, other applicable contributions towards the selling price, and the final sales price, giving the amount of required mortgage financing. In the planning and performance of sales, the implementing institution must make every effort to close the sales and transfer the units to individual ownership immediately after their completion and acceptance for occupancy in order to minimize the cost of construction financing.

FINANCING (BORROWING) SCHEDULE: CASH FLOW

Using the accepted construction schedule and completed sales plan, the implementing institution shall prepare the borrowing schedule for all types of borrowings; depending on the project conditions and the financial capacity of the institution, the schedule may include:

Advance borrowing to cover the initial development costs and/or construction advances to the contractor(s).

Construction funds to cover the progress payments to the construction contractor(s) over a certain time period.

Institutions' administrative costs and inspection costs.

Long-term mortgage funds.

PROJECT DELIVERY PLAN

Combining the Construction schedule, Sales plan, and Financing schedule, the implementing institution shall develop a complete Project Delivery Plan. The Project Delivery Plan represents the best and most economical approach to the completion of the project

and serves as a basis for monitoring and evaluation of the actual implementation process.

The Project Delivery Plan shows the cash flow needs of the project. It indicates the loan disbursement schedule that is required for the most efficient housing production. It is this schedule--simply the dollar amounts and timing of disbursements--that the borrower requests when he seeks a lender. In this way, the problem of a disbursement schedule established by the lender with no relation to the borrower's construction needs can be avoided.

THE MONITORING PROCESS

Once the Project Delivery Plan is established, the same information is maintained for the actual progress of the project on a monthly or quarterly basis. As construction proceeds, progress is measured in number of units, or actual expenses incurred. As financial sources are drawn upon, including drawdowns on the housing guaranty loan, they too are recorded. Data is recorded on a form called the Project Progress Status.

During each period in which the actual status is recorded, a comparison is made with the original Project Delivery Plan. Any deviation becomes evident and steps can be taken to rectify or account for differences and delays.

With a properly prepared Project Delivery Plan, effective monitoring of the project's physical and financial progress can be applied. Conducted through personal, on-site inspection or through analysis of periodic reports prepared by the implementing institution, the monitoring officer will follow the work progress and the money flow as it is actually happening, comparing it to the delivery plan.

Regular reporting--that is, completing and submitting the Project Progress Status--should be done as soon as possible after the close of the reporting period.

The Project Delivery Plan will most likely have to be updated, modified, and/or corrected during the implementation period in order to accommodate unforeseen conditions or unexpected developments. This revision of the plan should take place at the same time as a loan disbursement.

The accuracy and effectiveness of the monitoring process will greatly depend on the frequency of the physical inspection or written progress reports from the implementing institution, quality of data contained in the reports, understanding and cooperation by the implementing institution, and efficiency of information flow.

To be totally effective, the monitoring officer must have access to all information and communication concerning the project, and must enjoy the necessary authority with the implementing institution. It is then that he can:

Identify all deviations from the plan, analyze the reasons, and recommend necessary corrective measures.

Determine if the project's expenditures are in proper balance with the value of work accomplished.

Determine an economical level of borrowing.

Identify the need for technical or other assistance and its level.

Identify potential problems and recommend preventive or corrective action.

Identify a need for revision of the Project Delivery Plan, borrowing schedule, or sales plan, as may be applicable, and recommend the type and form of such revisions.

SAMPLE PROJECT MONITORING SYSTEM

For standard projects consisting of single-family dwelling units (detached, semi-detached, row houses) for purchase (individual ownership), the attached form has been prepared as a sample. The form has two basic parts: "Project Delivery Plan" and "Project Progress Status."

1. The Project Delivery Plan is exactly what it says: the sponsor's plan for how he proposes to carry out the project through the construction phase, how much it will cost, how he will sell the completed dwellings, and how much money he needs and when he needs it. The Project Delivery Plan shall be prepared with the participation of the selected construction contractor and accepted contract price.

2. The Project Progress Status is the reflection of the actual progress of the project. This information is maintained by the sponsor as events occur, and it is entered monthly or quarterly onto the form.

Example 1

PROJECT MONITORING

This is a sample form for an HG program in which the production of individual family units generates mortgages for individual ownership. Downpayments are required of the beneficiaries. The financing may be with or without a local contribution. Construction financing may be arranged locally or through an advance of the HG loan. Disbursements on the HG loan are based on a justified construction cost (possibly an advance) and completed and sold units. This form can also be used for condominium apartment projects.

INSTRUCTIONS: PROJECT DELIVERY PLAN

The first part of the form is to be filled out completely in advance of the program. The data for each column is to be provided for that one reporting period, and cumulative through that reporting period.

TIME
- (1) By one-month, three-month, or six-month periods.
- (2) Number of units to be started.
- (3) Number of units to be completed.

COSTS
- (4) Estimated construction costs.
- (5) Estimated costs for the project other than construction but which are included in the project costs.
- (6) Total project costs: sum of (4) plus (5).

DISPOSAL
- (7) Number of units to be sold.
- (8) Amount of downpayments to be received.
- (9) Amount of other contributions to be received, such as government contributions.
- (10) Amount of HG loan to be disbursed.
- (11) Total amount to be received: sum of (8) plus (9) plus (10).

FINANCING
- (12) Same as (6): total project costs.
- (13) Same as (11): total to be received.
- (14) Account balance: balance of (12) and (13), cumulative.

Example 1

I. PROJECT DELIVERY PLAN

APPLICABLE TO SUCH PROJECTS AS:
Production of individual family units generating mortgages for individual ownership

TIME						COSTS						DISPOSAL												FINANCING				
	NUMBER OF UNITS					PROJECT COSTS						SALES												OPERATING CAPITAL				
	STARTED		COMPLETED			CONSTRUCTION		OTHER		TOTAL		NUMBER OF UNITS		RECEIVABLES										EXPENSES		RECEIPTS		BALANCE
														DOWNPAYMENT		OTHER		AID/HG		TOTAL								
	P	T	P	T		P	T	P	T	P	T	P	T	P	T	P	T	P	T	P	T			P	T	P	T	
1						4				6		7		8		9		10		11				12		13		14

Best Available Document

Example 1
(cont.)

INSTRUCTIONS: PROJECT PROGRESS STATUS

The second part of the form is to be filled out each period, as the project progresses. The data for each column is to be provided for that one reporting period, and cumulative through that reporting period.

TIME
- (1) By one-month, three-month, or six-month period.
- (2) Number of units started.
- (3) Number of units completed.

COSTS
- (4) Gross payments to contractors.
- (5) Cost of the project other than for construction.
- (6) Total project costs: sum of (4) plus (5).

DISPOSAL
- (7) Number of units sold.
- (8) Amount of downpayment received.
- (9) Amount of other contributions received, such as government contribution.
- (10) Amount of HG loan disbursed.
- (11) Total amount received: sum of (8) plus (9) plus (10).

FINANCING
- (12) Same as (6): total project costs.
- (13) Same as (11): total amount received.
- (14) Account balance: balance of (12) and (13), cumulative.

(15) Any notes that clarify the entry.

Example 1

II. PROJECT PROGRESS STATUS

APPLICABLE TO SUCH PROJECTS AS:
Production of individual family units generating mortgages for individual ownership

TIME					COSTS						DISPOSAL										FINANCING				
REPORT PERIOD	NUMBER OF UNITS				PROJECT COSTS						SALES										OPERATING CAPITAL				
	STARTED		COMPLETED		CONSTRUCTION		OTHER		TOTAL		NUMBER OF UNITS		RECEIVABLES								EXPENSES		RECEIPTS		BALANCE
													DOWNPAYMENT		OTHER		AID/HG		TOTAL						
	P	T	P	T	P	T	P	T	P	T	P	T	P	T	P	T	P	T	P	T	P	T	P	T	
1	2		3		4		5		6		7		8		9		10		11		12		13		14

NONSTANDARD PROJECTS

A monitoring system operates easiest for traditional housing projects which have one sponsor, produce one product--housing units--and generate mortgages by the purchaser. Less simple projects are monitored as well, though several variations make the monitoring more complex: the inclusion of infrastructure, community facilities, etc.; the addition of other financial sources; varying payback methods; costs other than for construction which are included in the cost to the purchaser; partial funding by HG; a HG loan in combination with an AID development loan; financing of only certain units in a project; rental rather than mortgage-producing units; construction advances; retainers.

With such a possible variety of conditions it is obvious that although planning and progress monitoring principles will apply to most projects, the actual Project Delivery Plan and Project Progress Status have to be developed individually for each project to properly reflect its specifics.

The implementation process as well as the financing requirements of exceptional projects will be more complicated than for standard projects. It therefore will be even more important to clearly define with the responsible local institutions the project's implementing system and procedures.

The development of the implementation system and procedures for projects of this type requires more DS/H participation and assistance than normal. The monitoring of these projects will require similar effort. Nevertheless, for nonstandard projects or programs, Project Delivery Plans must be prepared and used for the monitoring of the actual work progress.

Examples 2 and 3 are to be used for projects of the type indicated.

Example 2

PROJECT MONITORING

This is a sample form for an HG program producing apartments for rent. One mortgage loan is generated for the entire project. The costs are financed fully or partially by the HG loan. The HG loan is utilized for construction financing (advance). Disbursements are based on the value of construction work-in-place.

INSTRUCTIONS: PROJECT DELIVERY PLAN

The first part of the form is to be filled out completely in advance of the program. The data for each column is to be provided for that one reporting period, and cumulative through that reporting period.

TIME

(1) By one-month, three-month, or six-month periods.

(2) Number of units to be started.

(3) Number of units to be completed.

COSTS

(4) Estimated construction costs.

(5) Estimated costs for the project other than construction but which are included in the project costs.

(6) Total project costs: sum of (4) plus (5).

DISPOSAL

(7) Number of units to be occupied.

(8) Amount of HG loan to be disbursed.

(9) Amount of other contributions to be received, such as government contributions.

(10) Total amount to be received: sum of (8) plus (9).

FINANCING

(11) Same as (6): total project costs.

(12) Same as (10): total to be received.

(13) Account balance: balance of (11) and (12), cumulative.

Example 2

II. PROJECT PROGRESS STATUS

APPLICABLE TO SUCH PROJECTS AS:
Production of apartments for rent

TIME					COSTS						DISPOSAL								FINANCING				
REPORT PERIOD	NUMBER OF UNITS				PROJECT COSTS						OCCUPANCY								OPERATING CAPITAL				
	STARTED		COMPLETED		CONSTRUCTION		OTHER		TOTAL		NUMBER OF UNITS		RECEIVABLES						EXPENSES		RECEIPTS		BALANCE
													AID/HG		OTHER		TOTAL						
P	T	P	T	P	T	P	T	P	T	P	T	P	T	P	T	P	T	P	T	P	T		
1	2		3		4		5		6		7		8		9		10		11		12		13

Example 2

I. PROJECT DELIVERY PLAN

APPLICABLE TO SUCH PROJECTS AS:
Production of apartments for rent

TIME					COSTS						DISPOSAL								FINANCING				
REPORT PERIOD	NUMBER OF UNITS				PROJECT COSTS						OCCUPANCY								OPERATING CAPITAL				
	STARTED		COMPLETED		CONSTRUCTION		OTHER		TOTAL		NUMBER OF UNITS		RECEIVABLES						EXPENSES		RECEIPTS		BALANCE
													AID/HG		OTHER		TOTAL						
	P	T	P	T	P	T	P	T	P	T	P	T	P	T	P	T	P	T	P	T	P	T	
1	2		3		4		5		6		7		8		9		10		11		12		13

Example 2
(cont.)

INSTRUCTIONS: PROJECT PROGRESS STATUS

The second part of the form is to be filled out each period, as the project progresses. The data for each column is to be provided for that one reporting period, and cumulative through that reporting period.

TIME
- (1) By one-month, three-month, or six-month periods.
- (2) Number of units started.
- (3) Number of units completed.

COSTS
- (4) Gross payments to contractors.
- (5) Costs of the project other than for construction.
- (6) Total project costs: sum of (4) plus (5).

DISPOSAL
- (7) Number of units occupied.
- (8) Amount of HG loan disbursed.
- (9) Amount of other contributions received, such as government contribution.
- (10) Total amount received: sum of (8) plus (9).

FINANCING
- (11) Same as (6): total project costs.
- (12) Same as (10): total amount received.
- (13) Account balance: balance of (11) and (12), cumulative.

(14) Any notes that clarify the entry.

Example 3

PROJECT MONITORING

This form is for projects such as sites and services, slum improvements, self-help, home improvements, and material loans. Disbursements on the HG loan are based on a justified construction expenditure.

INSTRUCTIONS: PROJECT DELIVERY PLAN

The first part of the form is to be filled out completely in advance of the program. The data for each column is to be provided for that one reporting period, and cumulative through that reporting period.

(1) By one-month or three-month periods.

(2) Identification of project works.

(3) Estimated dates of start and completion.

(4) Number of units to be affected by the project.

(5) Number of units to be eliminated by the project.

(6) Number of units to be improved by the project.

(7) Estimated construction costs.

(8) Estimated costs for the project other than construction but which are included in the project costs.

(9) Total project costs: sum of (7) plus (8).

(10) Number of units to be sold (if sites and services or housing construction).

(11) Amount of downpayment or owners' cash contribution.

(12) Amount of other contributions to be received, such as government contributions.

(13) Amount of HG loan to be disbursed.

(14) Total amount to be received: sum of (12) plus (13) plus (14).

Example 3

I. PROJECT DELIVERY PLAN

APPLICABLE TO SUCH PROJECTS AS
(with appropriate modifications):
Sites and Services Self-help
Slum Improvements Material Loans
Home Improvements

PERIOD	WORK	START DATE	COMPLETION DATE	NUMBER OF UNITS TO BE						COSTS						SALES		FINANCING							
				AFFECTED		ELIMINATED		IMPROVED		CONSTRUCTION		OTHERS		TOTAL		NO. OF UNITS (LOTS - HOUSES) TO BE SOLD		DOWNPAYMENT OR OWNERS' CASH CONTRIBUTION		OTHERS		AID/HG		TOTAL	
				P	T	P	T	P	T	P	T	P	T	P	T	P	T	P	T	P	T	P	T	P	T
1	2	3		4		5		6		7		8		9		10		11		12		13		14	
	CONSTRUCTION FINANC'G																								
	POTABLE WATER																								
	ELECTRIC POWER																								
	SANITARY SEWER																								
	STORM SEWER																								
	ROADS - WALKWAYS																								
	COMMUNITY FACILITIES																								
	DWELLING CONSTRUCTION																								

Example 3
(cont.)

INSTRUCTIONS: PROJECT PROGRESS STATUS

The second part of the form is to be filled out each period, as the project progresses. The data for each column is to be provided for that one reporting period, and cumulative through that reporting period.

(1) By one-month or three-month periods.

(2) Identification of project works.

(3) Date of start and date of completion.

(4) Number of units affected by the project.

(5) Number of units eliminated by the project.

(6) Number of units improved by the project.

(7) Construction costs.

(8) Costs for the project other than construction but which are included in the project costs.

(9) Total project costs: sum of (7) plus (8).

(10) Number of units sold (if sites and services or housing construction).

(11) Amount of downpayment or owners' cash contribution.

(12) Amount of other contributions, such as government contributions.

(13) Amount of HG loan disbursed.

(14) Total amount to be received: sum of (12) plus (13) plus (14).

(15) Any notes that clarify the entry.

NOTE: The fact that this example differs in several ways from Examples 1 and 2 shows that there is a range of methods of creating a usable form. The information in columns (3), (4), (5), and (6) on this form is not shown directly on the other forms, though they can be derived. The extra row for "construction advance" is optional; it will show as an HG disbursement in the first period when it is planned.

Example 3

II. PROJECT PROGRESS STATUS

APPLICABLE TO SUCH PROJECTS AS
(with appropriate modifications):
Sites and Services Self-help
Slum Improvements Material Loans
Home Improvements

PERIOD	WORK	START DATE	COMPLETION DATE	NUMBER OF UNITS TO BE						COSTS						SALES		FINANCING							
				AFFECTED		ELIMINATED		IMPROVED		CONSTRUCTION		OTHERS		TOTAL		NO. OF UNITS (LOTS - HOUSES) TO BE SOLD		DOWNPAYMENT OR OWNERS' CASH CONTRIBUTION		OTHERS		AID'HG		TOTAL	
				P	T	P	T	P	T	P	T	P	T	P	T	P	T	P	T	P	T	P	T	P	T
1	2	3		4		5		6		7		8		9		10		11		12		13		14	
	CONSTRUCTION FINANC'G																								
	POTABLE WATER																								
	ELECTRIC POWER																								
	SANITARY SEWER																								
	STORM SEWER																								
	ROADS - WALKWAYS																								
	COMMUNITY FACILITIES																								
	DWELLING CONSTRUCTION																								

Example 4

COMPLETED PROJECT DELIVERY PLAN

This Project Delivery Plan has been prepared for a hypothetical HG project composed of slum upgrading and sites and services. This form is completed as it should be prepared prior to construction. It reflects the best projection of costs and rate of progress of an HG project.

(1) The form covers a 30-month implementation period, divided into five six-month periods.

(2) Identifies the distinct work items of slum upgrading: water supply system, electric power, sanitary sewer, roads and drainage, and sites and services. The items are repeated at each six-month interval when additional projected progress is shown.

(3), (4) Each of these items shows a start and completion date.

Note: The amount of the construction advance is not calculated until after the value of the progress of the work items is projected for the first quarter (see discussion of column 22).

(5), (6) The number of units affected during that period is entered (e.g., the number to be supplied with water or to be served by a road).

(7)-(12) The costs of each item in that period are entered, their total divided into actual construction costs and "other" (administrative, etc.) costs which are a part of the project's total costs.

(13) Provides a place to show the number of units sold or, in this case, lots (of the sites and services) sold. Nothing is entered for the urban upgrading in this example because no units or other product are sold to the residents.

(14)-(19) The same breakdown applies for financing--the total divided by the AID/HG share and "local contribution," which is frequently the downpayment or owners' contribution.

(20),(21) The sum of the HG loan share of financing--$4,612,000 (sum of the amounts in Period I, column 16)--is the approximate amount needed as a construction advance. In this case, $4,800,000 has been used as the advance.

(22) Thus, column 22 reflects the continual draw against the $4,800,000 until it is reduced to $188,000 by the end of Period I.

Similar projections are made for each item for Periods II through V.

Example 4

Sample of Completed PROJECT DELIVERY PLAN

TYPE OF PROJECT:
Slum Upgrading; Sites & Services

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22
Period	WORK	Start	Completed	No. of Units Affected		Costs (in $1,000)						Sales No. of Units	Financing (in $1,000)						AID/HG Disbursements		Operating Account Balance
						Construction		Other		Total			Local Contribution		AID/HG		Total				
				Period	Cumul.	Period	Cumul.	Period	Cumul.	Period	Cumul.		Period	Cumul.	Period	Cumul.	Period	Cumul.	Period	Cumul.	
	CONSTRUCTION ADVANCE	3/1																	4800	4800	4800
I	Water Supply System	3/1	-	206	206	711	711	174	174	885	885	-	174	174	711	711	885	885	-	4800	4089
	Electric Power	2/1	-	50	50	595	595	128	128	723	723	-	128	128	595	595	723	723	-	4800	3494
	Sanitary Sewer	2/20	-	-	-	907	907	398	398	1305	1305	-	398	398	907	907	1305	1305	-	4800	2587
	Roads and Drainage	1/1	-	515	515	675	675	61	61	736	736	-	122	122	614	614	736	736	-	4800	1973
	Sites and Services	'77 10/1	-	-	-	1330	1885	139	196	1469	2081	-	316	296	1785	1785	1469	2081	-	4800	188
II	Water Supply System	-	-	1310	1516	813	1524	59	233	872	1757	-	59	233	813	1524	872	1757	4800	9600	4175
	Electric Power	-	-	3790	3840	238	833	51	179	289	1012	-	51	179	238	833	289	1012	-	9600	3937
	Sanitary Sewer	-	-	206	206	2341	3248	179	577	2520	3825	-	180	578	2340	3247	2520	3825	-	9600	159[illegible]
	Roads and Drainage	-	-	878	1393	226	901	22	83	248	984	-	44	166	204	818	248	984	-	9600	1393
	Sites and Services	-	-	-	-	1190	3075	125	321	1315	3396	-	125	421	1190	2975	1315	3396	-	9600	203
III	Water Supply System	-	-	896	2412	576	2100	19	252	595	2352	-	19	252	576	2100	595	2352	3300	12900	292[illegible]
	Electric Power	-	-	-	3840	-	833	-	179	-	1012	-	-	179	-	833	-	1012	-	12900	292[illegible]
	Sanitary Sewer	-	-	980	1186	1789	5037	60	637	1849	5674	-	60	638	1789	5036	1849	5674	-	12900	1138
	Roads and Drainage	-		236	1629	641	1342	43	126	484	1468	-	86	252	398	1216	484	1468	-	12900	74[illegible]
	Sites and Services	-	3/31	2500	2500	525	3600	29	350	554	3950	2500	29	450	525	3500	554	3950	-	12900	215
IV	Water Supply System	-	9/30	5400	7812	270	2370	9	261	279	2631	-	9	261	270	2370	279	2631	1981	14881	1926
	Electric Power		12/31	2205	6045	238	1071	51	230	289	1301	-	51	230	238	1071	289	1301	-	14881	1686
	Sanitary Sewer			3364	4550	634	5671	21	658	655	6329	-	21	659	634	5670	655	6329	-	14881	1054
	Roads and Drainage	-	12/31	2334	3963	916	2258	74	200	990	2458	-	148	400	842	2058	990	2458	-	14881	21[illegible]
	Sites and Services	-	-	-	2500	-	3600	-	350	-	3950		-	450	-	3500	-	3950	-	14881	21[illegible]
V	Water Supply System	-	-	-	7812	-	2370	-	261	-	2631	-	-	261	-	2370	-	2631	-	14881	21[illegible]
	Electric Power	-	-	-	6045	-	1071	-	230	-	1301	-	-	230	-	1071	-	1301	-	14881	21[illegible]
	Sanitary Sewer	-	2/28	-	4550	212	5883	7	665	219	6548	-	7	666	212	5882	219	6548	-	14881	0.[illegible]
	Roads and Drainage			-	3963	-	2258	-	200	-	2458	-	-	400	-	2058	-	2458	-	14881	0.[illegible]
	Sites and Services				2500	-	3600	-	350		3950		-	450	-	3500	-	3950	-	14881	0.[illegible]
	TOTALS				24870		15182		1706		16888	2500		2007		14881		16888	14881	14881	

ANNEX D

Part I

ANNUAL REGULAR EVALUATION

(Project Evaluation Summary--PES)

As noted in the text of these Guidelines, the Annual Regular Evaluations are keyed to the Critical Performance Indicators (CPIs) contained in the PPTN and should explain, insofar as possible, the deviations of the project's actual performance from its planned performance.

These deviations will most conveniently be explained by reference to the Assumptions of the Logical Framework. It should, of course, be understood that it is unlikely that the Assumptions will anticipate every possible contingency that may result in a deviation from planned performance; consequently, the Annual Regular Evaluation should focus on the extent to which the CPIs have been achieved.

The form of the evaluation will follow the instructions given in AID Form 1330-15A and 1330-15B, copies of which are included in this Annex. The Project Evaluation Summary has been slightly modified to reflect the special characteristics of the HG Program.

Compliance with these instructions will be greatly facilitated by the monitoring process, from which most of the necessary data will be derived. Furthermore, the emphasis placed on quantification in the Logical Framework will permit very succinct statements to be made about most aspects of project performance and progress.

CLASSIFICATION

PROJECT EVALUATION SUMMARY (PES) - PART I

Report Symbol U-447

1. PROJECT TITLE	2. PROJECT NUMBER	3. RHUDO/AID/W OFFICE
	4. EVALUATION NUMBER (Enter the number maintained by the reporting unit e.g., Country or AID/W Administrative Code, Fiscal Year, Serial No. beginning with No. 1 each FY) _____ ☐ REGULAR EVALUATION ☐ SPECIAL EVALUATION	

5. KEY PROJECT IMPLEMENTATION DATES	6. ESTIMATED PROJECT FUNDING	7. PERIOD COVERED BY EVALUATION
A. IA Signed FY____ B. Final Disbursement Expected FY____ C. Final Input Delivery FY____	A. Total $_____ B. HG $_____ C. DL $_____ D. DG $_____ E. OPG $_____ F. IIPUP $_____	From (month/yr.)_____ To (month/yr.)_____ Date of Evaluation Review_____

8. ACTION DECISIONS APPROVED BY MISSION OR AID/W OFFICE DIRECTOR

A. List decisions and/or unresolved issues; cite those items needing further study. (NOTE: Mission decisions which anticipate AID/W or regional office action should specify type of document, e.g., airgram, SPAR, PIO, which will present detailed request.)	B. NAME OF OFFICER RESPONSIBLE FOR ACTION	C. DATE ACTION TO BE COMPLETED

9. INVENTORY OF DOCUMENTS TO BE REVISED PER ABOVE DECISIONS

☐ Project Paper
☐ Project Delivery Plan
☐ Project Planning Tracking Network PPTN
☐ Logical Framework
☐ PIO/T
☐ PIO/C
☐ PIO/P
☐ Other (Specify) _____
☐ Other (Specify) _____

10. ALTERNATIVE DECISIONS ON FUTURE OF PROJECT

A. ☐ Continue Project Without Change
B. ☐ Change Project Design and/or
☐ Change Implementation Plan
C. ☐ Discontinue Project

11. PROJECT OFFICER AND HOST COUNTRY OR OTHER RANKING PARTICIPANTS AS APPROPRIATE (Names and Titles)

12. RHUDO/AID/W Office Director Approval

Signature

Typed Name

Date

AID 1330-15 (3-78)

INSTRUCTIONS FOR COMPLETING FORM AID 1330-15 & 15A, PROJECT EVALUATION SUMMARY (PES)—PART I & II

EVALUATION PROCESS - Officials of the Host Government and AID Mission should collaborate in periodic evaluation of the progress of each project. (For AID/W projects, participation of grantees is appropriate.) Timing of such regular evaluations should be linked to the key decisional requirements of the project, as listed in the Evaluation Plan included in the Project Paper and as confirmed in the Evaluation Schedule of the Annual Budget Submission; otherwise annually. A description of the evaluation process is found in Handbook 3, Part II, Chapter 8.

PURPOSES OF SUMMARY - The Project Evaluation Summary (PES) is prepared after each review to record information which is useful both to the implementors (including the Host Government and contractors) and to concerned AID/W units. It serves four purposes:

(1) Record of decisions reached by responsible officials, so that those who participated in the evaluation process are clear about the conclusions, and so that headquarters is aware of the next steps.

(2) Notice that a scheduled evaluation has been completed, with a brief record of the method and participation for future reference.

(3) Summary of progress and current status for use in answering queries.

(4) Suggestions about lessons learned for use in planning and reviewing other projects of a similar nature. The PES and other project documentation are retained in DS/DIU/DI and are available to project planners.

CONTENTS OF SUMMARY - A PES submittal has two parts, plus relevant attachments if any.
PART I REQUIRED: Form AID 1330-15 contains identifying information about the project and evaluation (Items 1-7), action decisions about the projects future (Items 8-10), and signatures (Items 11-12). Since the PES reports decisions, it is signed by the Director of the Mission or AID/W Office responsible for the project. Space is also provided for signatures of the project officer, host country and other ranking participants in the evaluation, to the extent appropriate.

PART II, OPTION 1: For regular evaluations, use continuation sheets to respond to Items 13-23 as outlined in the attached Form AID 1330-15A.

PART II, OPTION 2: For a special evaluation, the reporting unit may opt for a somewhat varied format, with a different sequence or greater detail in some areas, however, Items 13-23 should all be addressed.

ATTACHMENTS: As appropriate, reports of host governments, contractors, and others, utilized in the preparation of the evaluation summary, should be labeled A, B, C, etc., attached to the PES submittal (Missions are to submit 7 copies and AID/W Offices 7 copies) and listed under Item 23. Where it is necessary to transmit these source documents separately from the PES, Block 23 of the PES should note how this material was transmitted, when, number of copies and to whom.

SUBMITTAL PROCEDURE: Missions will submit the PES Facesheet, continuation sheets, and attachments under cover of an airgram which will be received by the Cable Room. AID/W Offices will submit the PES Facesheet, continuation sheets, and attachments to MO/PAV, Room B-930, NS under cover of a memorandum which cites any distribution instructions beyond the standard distribution. All AID/W Offices and most Missions will use the blank cut PES Facesheet and plain bond for continuation sheets, which can be reproduced on copiers. Those Missions preferring to use hecto, may order the form in hecto sets from AID/W, Distribution Branch. There will be a standard distribution made in AID/W of all field-originated PES's. Copies will be sent to the corresponding bureau's DP, DR, the country desk and Evaluation Office. Other copies will be sent to PPC, SER, PDC and DS (including DI and ARC). For AID/W-generated PES's, copies will be distributed to all bureaus.

PROJECT EVALUATION SUMMARY (PES) — PART II

The following topics are to be covered in a brief narrative statement (averaging about 200 words or half a page per item) and attached to the printed PES facesheet. Each topic should have an underlined heading. If a topic is not pertinent to a particular evaluation, list the topic and state: "Not pertinent at this time". The Summary (Item 13) should always be included, and should not exceed 200 words.

13. **SUMMARY** - Summarize the current project situation, mentioning progress in relation to design, prospects of achieving the purpose and goal, major problems encountered, etc.

14. **EVALUATION METHODOLOGY** - What was the reason for the evaluation, e.g., clarify project design, measure progress, verify program/project hypotheses, improve implementation, assess a pilot phase, prepare budget, etc? Where appropriate, refer to the Evaluation Plan in the Project Paper. Describe the methods used for this evaluation, including the study design, scope, cost, techniques of data collection, analysis and data sources. Identify agencies and key individuals (host, other donor, public, AID) participating and contributing.

15. **EXTERNAL FACTORS** - Identify and discuss major changes in project setting, including socio-economic conditions and host government priorities, which have an impact on the project. Examine continuing validity of assumptions.

16. **INPUTS** - Are there any problems with commodities, technical services, training or other inputs as to quality, quantity, timeliness, etc? Any changes needed in the type or amount of inputs to produce outputs?

17. **OUTPUTS** - Measure actual progress against projected output targets in current project design or implementation plan. Use tabular format if desired. Comment on significant management experiences. If outputs are not on target, discuss causes (e.g., problems with inputs, implementation assumptions). Are any changes needed in the outputs to achieve purpose?

18. **PURPOSE** - Quote approved project purpose. Cite progress toward each End of Project Status (EOPS) condition. When can achievement be expected? Is the set of EOPS conditions still considered a good description of what will exist when the purpose is achieved? Discuss the causes of any shortfalls in terms of the causal linkage between outputs and purpose or external factors.

19. **GOAL/SUBGOAL** - Quote approved goal, and subgoal, where relevant, to which the project contributes. Describe status by citing evidence available to date from specified indicators, and by mentioning the progress of other contributory projects. To what extent can progress toward goal/subgoal be attributed to purpose achievement, to other projects, to other causal factors? If progress is less than satisfactory, explore the reasons, e.g., purpose inadequate for hypothesized impact, new external factors affect purpose-subgoal/goal linkage.

20. **BENEFICIARIES** - Identify the direct and indirect beneficiaries of this project in terms of criteria in Sec. 102(d) of the FAA (e.g., a. increase small-farm, labor-intensive agricultural productivity; b. reduce infant mortality; c. control population growth; d. promote greater equality in income; e. reduce rates of unemployment and underemployment). Summarize data on the nature of benefits and the identity and number of those benefitting, even if some aspects were reported in preceding questions on output, purpose, or subgoal/goal. For AID/W projects, assess likelihood that results of projects will be used in LDC's.

21. **UNPLANNED EFFECTS** - Has the project had any unexpected results or impact, such as changes in social structure, environment, health, technical or economic situation? Are these effects advantageous or not? Do they require any change in project design or execution?

22. **LESSONS LEARNED** - What advice can you give a colleague about development strategy, e.g., how to tackle a similar development problem or to manage a similar project in another country? What can be suggested for follow-on in this country? Similarly, do you have any suggestions about evaluation methodology?

23. **SPECIAL COMMENTS OR REMARKS** - Include any significant policy or program management implications. Also list titles of attachments and number of pages.

ANNEX D

Part II

FINAL REGULAR EVALUATION REPORT OUTLINE

I. Summary
   Recommendations
II. Introduction
   Project Purpose
      Conditions Expected at End of Project
      Verification of Conditions Expected at End of Project
      Assumptions for Achieving Purpose
   Project Inputs
      Implementation Targets
      Verification of Inputs
      Assumptions for Providing Inputs (Baseline Data)
   Project Outputs
      Magnitude of Outputs
      Verification of Outputs
      Assumptions for Achieving Outputs
   Goal
      Program and Sector Goal
      Measures of Goal Achievement
      Verification of Goal Achievement
      Assumptions for Achieving Goal Targets
III. Analysis of Project Activities
      Project Inputs
      Inputs Effect on Outputs
      Transformation of Outputs to Purpose
         Testing Project Purpose Against Conditions Expected
         Testing Outputs and Purpose Level Assumptions
         Achievement of Conditions Expected with Outputs Provided
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ANNEX E

CASE STUDY: ILLUSTRATIVE OUTLINE

"A CASE STUDY OF THE KOREAN HOUSING INVESTMENT GUARANTY PROGRAM 1971-77"

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