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I. INTRODUCTION

A. USAID TECHNICAL LEADERSHIP TRAINING PROGRAM

1. Background

USAID energy programs assist developing countries in establishing the policy frameworks and institutional capacity necessary for the operation of financially viable, competitive energy markets that will mitigate the environmental impact of energy use while increasing access to energy services, and promoting economic growth. The heart of USAID's strategy is the reform of legislative and regulatory policies and institutions to allow private sector participation in energy and electric power development and to open markets for renewable energy, energy efficiency, and clean-energy technologies. USAID assistance has been crucial in more than 24 countries in the reform of the electric sector, improvements in energy efficiency and availability, stimulated investments in renewable energy projects, and improved economic performance in the power sector.

Rapid transformations in the energy sector worldwide have changed the emphasis and focus of energy training needs, as well as the way USAID conducts training. Training needs have shifted over time from hardware & technology, to technology/project management and policy, and now to development and implementation of marketplaces and transactions for environmentally sound energy. Likewise, the Agency's shift in emphasis and operations has forced a change in modes of delivering training, moving away from a fixed curriculum of workshops, and toward having a ready capability on hand to provide custom training to meet Strategic Objective goals.

The developing world and the development field are awash with consultants able to custom design technology, policy, and financing solutions, virtually at a moment's notice, and with complete turnkey services. But can our in-country partners, the recipients of this assistance, manage and operate the technology, policy, and financing on their own after the installation process is complete?

Increased understanding, knowledge and skill of host country partners of the importance and benefits of liberalized markets to their local situations, as well as the political, legal, economic, and social infrastructure requirements for sustainable market liberalization is a requirement to achieve environmental, economic, and

Free Market: A market in which there is an absence of intervention by government and where the forces of supply and demand are allowed to operate freely.

David W. Pearce, Ed., "The MIT Dictionary of Modern Economics, © 1992 Aberdeen Economic Consultants, (Cambridge, Mass.: The MIT Press) p. 163.

Economic Liberalism: The doctrine, which advocates the greatest possible use of markets and the forces of competition to coordinate economic activity. It allows to the state only those activities which the market cannot perform – e.g. the provision of public goods – or those which are necessary to establish the framework within which the private enterprise economy and markets can operate efficiently, e.g. by establishment of the legal framework on property and contract and the adoption of such policies as anti-monopoly legislation.

Ibid., p. 120.

social sustainability in the energy sector. Thus, access to the right technology, policy, or financing is much less an issue today than is the ability of individuals in stakeholder institutions to develop and operate legal, regulatory, and market frameworks for implementation of technology, policy, and financing for environmentally sound energy.

Nothing starts (or stops) unless people take action. Lack of a sufficient knowledge and/or skill base among our partners is frequently a greater barrier to the implementation of environmentally sound technology, policy, and financing than in getting the specific interventions themselves “right.” Human capacity is the awareness, knowledge, and abilities that allow individuals and institutions to cause positive changes in their circumstances. Capacity building is required when the barriers to success are human (i.e., when the technology, policy, and financing solutions alone do not seem to be working).

Ideally, solutions will depend on an analysis of specific problems. The analysis is now focused on the human dimension, and can be summed up in the following questions: “Who among our partners needs to know (or be skilled in) what in order to achieve what goals, and how and where do those people learn best?”

2. Training Within USAID – Technical Leadership Training

Within USAID, the way the Agency conducts business is forcing a change in how Energy and Environment Training Program (EETP) can conduct training. The traditional fixed curriculum of training that EETP has offered in the past is increasingly less viable as a centrally run program in today’s USAID. Funding and staffing for capacity building has shifted away from building core competencies in staff and corporate capability in institutions in general, and toward increasing skills and knowledge in people closely correlated with technical assistance activities.

The Technical Leadership Training is designed and delivered under EETP, a program within the Global Bureau at USAID in Washington, D.C. The Global Bureau manages this program in partnership with the various USAID Bureaus and Missions, host country partners, and a number of cooperators and contractors.

The “Workshop on Program Management: Planning, Monitoring and Control” is being provided under a Task Order -- USAID Power Sector Support in Albania -- awarded by USAID to CORE International, Inc. under the EETP IQC.

B. CORE INTERNATIONAL, INC. - CORPORATE BACKGROUND

CORE International, Inc. is an international management consulting firm with expertise in the energy and environmental sectors. The firm was founded in 1984 by its current President and since that time the firm has managed and/or participated in over 300 energy and environmental assignments in over 80 countries worldwide. One of the special areas of expertise of the firm is in developing and delivering tailor-made training programs, workshops, seminars, and conferences. CORE has designed and delivered training programs to developing country public and private sector officials in a number of areas including energy planning, energy pricing, economic and financial analysis of energy and environmental projects, financial evaluation of energy enterprises, environmental management, industrial cogeneration, DSM, IRP, ESCO development, project financing, and bid preparation and procurement. CORE's clients include a number of bilateral agencies, the World Bank, Asian Development Bank, European Bank for Reconstruction and Development, and the governments of over 40 countries.

CORE's experience in energy and environmental training includes the design and delivery of training to developing country public and private sector officials in a number of countries. Specific examples include (i) training in energy planning and tariff development to Ministry of Energy officials in Jamaica, (ii) training to over 60 energy conservation engineers, planners, and economists in Thailand, (iii) training to 30 staff members of the Korea Management Corporation in the environmental advantages and economic efficiency of gas-fired cogeneration systems, (iv) over a dozen short training sessions on the utilization of bagasse as a source of clean power in Guyana, India, the Philippines, Uganda, Kenya, Rwanda, Ghana, Zimbabwe, and Thailand, (v) training on technology choice, product specification, procurement and tendering for clean energy projects.

In the electricity sector, CORE has worked in over 60 countries worldwide in assessing the institutional and regulatory aspects of power sector management and the relationship between electricity prices, regulation, and markets. CORE has also developed strategies for consumer acceptance of tariff and regulatory changes and analyzed different models for market development with respect to the relationship between Gencos and Discos. Another area of CORE's expertise includes the development of customer relationship management (CRM) in a changing market environment that many developing countries are increasingly facing as part of the power sector reform.

Some examples of CORE's recent work in the area of energy sector capacity building and training are provided below:

Southern Europe - Power Sector Support in Albania

Beginning in mid 2000, due to deteriorating power sector conditions which included very low water levels for hydropower generation, the Government of Albania embarked upon a power sector reform process which included the development of a Power Sector Policy Statement (PSPS). The PSPS addresses many reform issues and lays out activities, responsibilities, timelines, schedules, reporting structure and

formats for the implementation of components of the government's reform plan. Through the Power Sector Support in Albania activity CORE International is providing institutional and human capacity building assistance to the Ministry of Industry and Energy and a newly formed Secretariat within the Ministry which coordinates the policy implementation process. The organizations responsible for the implementation include the national utility, the regulator, the Ministry of Industry and Energy, and the national energy agency. CORE International is also providing a long-term financial expert to assist the national utility strengthen its capacity to meet audit, World Bank, and EU financial reporting requirements.

Southern Africa - Harmonization of National and Regional Energy Policies

CORE International is working with the two prominent institutions responsible for regional electricity issues and cooperation in Southern Africa, the Southern African Development Community (SADC) and under this organization, the Southern African Power Pool (SAPP). SADC is the primary regional organization tasked with implementing the SADC Protocol on Energy which seeks to (i) enhance cooperation among the SADC countries through the harmonization of national and regional energy policies, strategies and programs; (ii) cooperate in the development of energy and energy pooling to ensure security and reliability of energy supply and the minimization of costs; and (iii) cooperate in the research, development, adaptation and dissemination and transfer of low cost energy technologies. SAPP is an international power pool which allows for the utilities in Southern Africa to import and export electricity with the goal of creating a more efficient regional market of benefit to all participants. CORE has provided training courses, workshops, and roundtables to senior utility executives, policy makers and regulators from 10 SADC countries (Angola, Botswana, Congo, Lesotho, Malawi, Mozambique, Namibia, South Africa, Swaziland, Tanzania). The activities covered during these programs include (i) best practices for the operation and management of power pools, (ii) tools of power trading, (iii) advanced power trading, (iv) wholesale market development, (v) utility restructuring, and (vi) commercial methods for managing public sector utilities. A total of 109 participants were involved in these activities.

Southern Africa - Increased Rural Energy Access

In most African countries, land areas are generally large and the rural population is dispersed in individual villages or clusters of villages. This leads to a pattern of remotely located low-density electricity demand, which is not amenable to the grid extension model for the provision of rural energy (RE). Therefore, the role of off-grid decentralized electricity systems is becoming increasingly important. Grid extension in such situations is prohibitively costly and not financially viable. Although in many countries diesel generators, micro hydro, solar, and biomass technologies have been utilized to increase rural electricity access, in most countries in Africa, solar and biomass technologies are most commonly used. The delivery mechanisms are typically NGOs, private contractors, and energy service delivery companies. However, there has not been an appreciable application of these technologies. Despite their technical feasibility and gradually reducing cost factors, there are widespread constraints to their applications. Some of the main constraints include:

- A lack of government support and commitment, and a lack of policies to encourage renewable energy technology based RE systems;
- Financial inequities between grid connected and off-grid RE applications;
- A lack of incentive to private companies and investors to participate in the development and delivery of RE;
- A lack of regulatory functions applicable to grid-connected and off-grid systems;
- Undefined and ill-targeted subsidies and a lack of mechanisms to remove subsidies once the programs are sustainable;
- A lack of creative public and private sector alliances to develop market-based solutions to RE;
- Inability of central government ministries and planners to actively involve local leaders, village chiefs, and town officials in RE planning in order to facilitate locally driven strategies rather than centrally imposed policies and programs;
- Insufficient level of explicit recognition of the important linkage between rural electrification and rural development at the central planning level; and
- Inadequate programs for consumer education, public participation and acceptance, and political acceptance of the role of rural electrification in economic development.

Most developing country governments worldwide, and many African countries, face these barriers to planning and implementing effective and sustainable rural energy programs. Through courses, institutional capacity building activities, roundtables, targeted desk studies, workshops, and regionally-based site visits, USAID through the Private Sector Participation in Clean Energy Development, Management and Operations Program is assisting in the development of sustainable and environmentally friendly rural energy development programs. Under this Program, CORE is working with local institutions such as the University of Cape Town to build local and regional capacity. In Zambia and Lesotho, CORE is enhancing the capacity of in-country institutions, NGOs, and consumer groups to develop workable and sustainable business and financial models for increasing rural energy service delivery.

Southern Africa/South Asia - Global Village Energy Partnership Program

The Global Village Energy Partnership (GVEP) was launched on August 31, 2002 at the World Summit on Sustainable Development (WSSD) in South Africa. As the newest global energy initiative, GVEP is called the "partnership of partnerships" as it brings together developing and industrialized country governments, public and private organizations, multilateral institutions, consumers and others in an effort to ensure access to modern energy services by the poor. GVEP aims to help reduce poverty and enhance economic and social development for millions around the world. Its work will be carried out under a 10-year "implementation based" program. The Partnership's objectives are to:

- Catalyze country commitments to village energy programs and guide policies and investment in this area.
- Bridge the gap between investors, entrepreneurs and energy users in the design, installation and operation of replicable energy-poverty projects.
- Facilitate policy and market regulatory frameworks to scale up the availability of energy services.
- Serve as marketplace for information and best practices on the effective development and implementation of energy-poverty projects/programs.
- Create and maintain an effective coordination mechanism for addressing energy-poverty needs.

The Global Village Energy Partnership builds on existing experience and adds value to the work of its individual partners. It reaches out to non-energy organizations in the health, education, agriculture, transport and enterprise sectors, and offers a range of technology solutions to meet their needs.

CORE International, Inc. is implementing the GVEP initiative in Zambia and Sri Lanka through technical and capacity building assistance to:

- (i) Formalize and institutionalize the in-country 'movement' on GVEP by facilitating the establishment of adequate structures and organizing their work at the national level;
- (ii) Integrate GVEP into the countries' policy frameworks, especially Poverty Reduction Strategy Programs (PRSPs) and in their plans for increased access to modern energy services;
- (iii) Organize/facilitate stakeholder meetings and initiate in-country consultations amongst stakeholders on GVEP; and
- (iv) Assist Zambia and Sri Lanka in the development of an actionable GVEP Plan that could be presented to the donors and other stakeholders for further follow-up actions.

Brazil: Institutional Capacity Building and Consumer Acceptance Approaches for New Electricity Regulations and the Sector Restructuring

Under a \$2.2 million project for USAID, CORE developed a detailed strategy for the implementation of a 1% utility fund, allocated by law within the newly restructured electricity sector, for investments in utility and non-utility energy efficiency programs. The work involved the identification of barriers to new investment, barriers relative to the organizational relationships of the Ministry, the ESCO industry, energy consumer groups, and ANEEL, the regulator, and defining changes needed within ELETROBRAS, the national utility, to give the consumer a greater voice in electricity investment planning and tariff setting. In another assignment for USAID, CORE organized a national solid waste management program involving 12 landfill sites in 11 major cities throughout Brazil. CORE developed the organizational structure for the cooperative association of the municipalities and city governments and structured the institutional process to affect change in the prevailing practice of solid waste management in Brazil. The process was agreed to by all the governments and the first methane-based power project was initiated.

Malaysia: Institutional Capacity Building in the Electricity Sector in Malaysia

In Malaysia, CORE participated in the development of a change strategy resulting in the corporatization of the Tenaga Nasional Berhad (TNB), the national utility, which also included the break-up of TNB into different independent operating entities in order to service the energy market and the consumer more efficiently.

Indonesia: Technical Assistance to USAID Jakarta for Institutional Strengthening of NGOs in the Energy Sector and the Development of the USAID Energy Sector Assistance Strategy

CORE International, Inc. led a TAG Mission to Indonesia to develop a detailed paper in support of the USAID Mission Strategy for Energy Sector Assistance in Indonesia. CORE International performed an evaluation of numerous local NGO's involved in the energy and environmental sectors in Indonesia. All energy sector end users in the country (households, industrial, government, etc.) are looking seriously at options for decreasing their energy usage and costs. The CORE mission evaluated the current institutional capabilities of local NGOs in the energy efficiency and conservation fields and made specific recommendations for institutional strengthening and capacity building for these identified NGOs.

Bosnia and Herzegovina (BiH): Reconstruction and Donor Investment Coordination

One of the most complex institutional capacity building and change management project's led by CORE International, Inc. was the institutional and economic reconstruction in Bosnia and Herzegovina (BiH) under the leadership of the White House and Ambassador Robert Gelbard, the then Chief Envoy for Bosnia Implementation and Dayton Peace Accord Implementation. CORE International, Inc. supported the Administration's objective to introduce significant institutional restructuring and changes throughout the three presidencies in BiH. CORE provided a resident advisor to the BiH who advised on the development of change management plans and government restructuring throughout Bosnia in all sectors of the economy. The resident advisor supported the work of the Office of the High Representative and assisted in the coordination of all donor investments including the leveraging of donor funds.

Zambia: Power Sector Regulatory Restructuring and Reform and Institutional Development of ERB, ZPA, and ZESCO (the National Utility Company)

CORE International is prime contractor for a major power sector restructuring and capacity building project in Zambia. Under this project funded by USAID under the Energy Training IQC, CORE is designing and delivering a number of training courses, workshops, capacity building activities, and technical assistance. This assistance is providing the ERB (the regulatory body) and ZPA (national energy agency) with the ability to analyze the financial and economic consequences of introducing different levels of market competition into the existing Zambia generation subsector. This capability will allow Zambia to estimate market determined wholesale electricity prices for specific electricity demand levels and enhance its ability to predict the financial performance of specific generating companies.

SADC Countries: Power Sector Restructuring Institutional Development in Southern African Development Community (SADC) Countries

CORE International is a prime contractor for an ongoing institutional development project in SADC countries. As the first exercise under this project CORE organized and conducted a workshop. The Southern Africa Electricity Regulation Workshop consisted of over 75 attendees from the Southern African Development Community (SADC) countries plus invited officials from Kenya and Uganda. In addition, eleven international consultants and the USAID Regional Mission (Gaborone) were in attendance. Most attendees at the Workshop were from the countries' power sector regulatory entities. Senior managers of the Southern African Power Pool (SAPP) also participated in the workshop.

The workshop was divided into two parts: (i) a series of presentations by international consultants on power sector regulatory and reform and restructuring topics, and (ii) the enactment of a plan for the eventual regulation of SAPP. The workshop continued the consideration of topics that had been discussed at a similar workshop held approximately two years previously. Most of the presentations by international consultants dealt with conditions and/or regulations in developed countries or regions possessing sophisticated wholesale or wholesale and retail electricity markets. CORE's presentation focused on the following topics:

- the role of Independent System Operators
- transmission tariffs principles
- regional wholesale electricity market regulation in the Nordic region
- optional approaches to electricity regulation
- the role of NARUC in supporting U.S. utilities regulators

The second part of the Workshop demonstrated the resolve of the existing Southern Africa regulators, particularly the regulators for South Africa and Zambia, to regulate the emerging SAPP wholesale market. SAPP announced at the Workshop that they planned to initiate a spot power contract on May 1, 2000. The Workshop resulted in the following actions for furthering the establishment of a regional regulator:

1. Establishment of a Technical Working Group consisting of Kenya, Malawi, Namibia, South Africa, Zambia, and Zimbabwe, chaired by Namibia. The Technical Working Group will develop an action plan which will (i) better define the objectives of regional regulation for Southern Africa, (ii) prioritize the regional regulatory focus areas, (iii) determine the legal status of a regional regulatory entity, (iv) develop criteria for the selection of regulators, (v) define the regulatory governance roles, (vi) identify regulator funding, and (vii) present a schedule for implementation of a regional regulatory body.
2. Establishment of a Plenary Committee to direct the Technical Working Group and coordinate with SADC members.
3. Reporting on the progress made by the Technical Working Group and the Plenary Committee at the April SADC Electricity Sub-Committee meeting.
4. Reporting on the progress made in the establishment of a regional regulator at the April SAPP Executive Committee meeting.

5. Submittal of the Technical Working Group action plan report to the Plenary Committee in May 2000.
6. Development of an Information Memorandum to be submitted to SADC Energy Ministers Meeting in May/June.

SARI/E: South Asia Regional Initiative/Energy Program – Design and Implementation of Rural Electric Services Reform in the South Asia Region as Part of the USAID South Asia Regional Initiative – Energy (SARI/E)

CORE International is a key partner under a \$25 million USAID-funded SARI/E Program that focuses on power sector institutional capacity building and capacity enhancement in the South Asian countries (Bangladesh, Nepal, India, Bhutan, Maldives, Sri Lanka). Along with a team of USAID contractors and cooperators, CORE International is taking the lead in the rural energy sector. As a prime contractor for this activity, CORE International is managing the design and delivery of a series of workshops and courses throughout the South Asia region. These workshops and courses involve senior power sector officials from each of the countries and are aimed at identifying and developing new approaches for sector reform and institutional development in order to enhance efficient development and supply of electricity throughout the region. Over 750 individuals have been trained by CORE through this activity.

Thailand: Review of the Institutional Development and Capacity Building Requirements for the Electricity Generating Authority of Thailand (EGAT)

As a prime contractor and through a series of assignments over the period 1986-1992, CORE International closely worked with EGAT, the Asian Development Bank, and the U.S. Trade and Development Agency to develop an overall strategy for the reform of the power sector in the country and for the transformation of EGAT into a more open utility. Specifically, the strategy included the splitting of EGAT into one GENCO and several competing DISCOS. Through the introduction of competition in the electricity sector, CORE was able to convince EGAT to make extensive reforms including the establishment of an independent regulatory agency and a fair and acceptable electricity pricing system.

Thailand: Development of an Institutional Restructuring Plan for 12 Thai Municipalities towards a Common Strategy for Rural Electricity Supply and Municipal Waste Management

Under a contract with the U.S. Trade and Development Agency and the U.S. Air & Waste Management Association, CORE International managed a 16-month assignment involving 12 Thai municipalities. The objective of this assignment was to develop an institutional framework to facilitate dialogue between municipal entities and EGAT (the national power company) whereby reliable electricity could be provided to the rural sector at an affordable price. The work also involved the development of an institutional framework whereby the 12 municipalities could agree on a common strategy for the management of municipal waste in their respective areas in coordination with the overall policies of the Bangkok Metropolitan Administration (BMA).

C. WORKSHOP FACILITATORS

The following experts will provide the workshop facilitation:

1. Ms. Lois A. Varrick, Senior Program Management & Training Specialist, CORE International, Inc.
2. Mr. Anil Mishra, PMP, Senior Energy & Training Expert, CORE International, Inc.
3. Dr. Vaso Leno, Senior Energy & Training Expert, CORE International, Inc.
4. Mr. Albert Skeath, Senior Utility & Training Expert, CORE International, Inc.

Resumes of these senior experts follow.

Lois A. Varrick
Senior Program Management & Training Specialist
CORE International, Inc.

KEY QUALIFICATIONS

Ms. Varrick is Executive Vice President & Chief Operating Officer of CORE International, Inc. and Project Manager for CORE International's USAID People, Energy and Development (P.E.D.) IQC Contract, the Energy and Environmental Training Program (EETP) IQC, and CORE's Financial Planning and Good Governance IQC with the U.S. Department of the Interior. She provides full oversight and overall management for four on-going task orders under the EETP IQC including worldwide task orders for (i) participant training in energy related issues, (ii) capacity building to increase private sector development in the energy sector, (iii) capacity building and training support for the Government of Albania in its restructuring and reform process; and (iv) a multiple assignment Technical Advisory Group services contract for short-term advisory services in energy areas including energy efficiency, distribution reform, rural energy services, energy-related NGO development, and stakeholder participation. As the overall Task Manager for the SARI/Energy - RES program which focused on the adaptation of best practices within the South Asia Region, and the analysis of lessons learned in rural electrification, Ms. Varrick's activities included the development of course materials and instructions for courses on "Financing Rural Energy Projects in the South Asia Region", "Private Participation, Financing and Procurement Approaches for Rural Electrification in the Maldives", "Policies and Regulations for Rural Energy Access and Integration with Other Rural Development Programs in Nepal", and "The Process of Decision Making for Rural Energy Programs in Sri Lanka".

Ms. Varrick has experience in all levels of the training process from developing plans, strategies, curricula and training materials, to conducting the training, and monitoring and evaluating the impact of training. Ms. Varrick also plays an active role as a team member on individual projects overseas. Her expertise includes training design and delivery; institutional reform and capacity building; private sector development planning; grant and loan management and disbursement; and procurement procedures review and compliance. She has closely worked with ministerial level officials, senior executives of for-profit and parastatal corporations, and not-for-profit institutions and associations in over 40 countries worldwide. Her special expertise is in the development of strategies for attracting grant and donor institution funding, creating an enabling environment for direct foreign investment, and fostering public-private and private-private joint venture partnerships.

Ms. Varrick has assisted in the development of training curriculum, course materials, case studies and role-playing/interactive training exercises. She has developed a train-the-trainers program for the U.S. Department of Commerce's SABIT Program which has led to the establishment of eight new NGOs in Russia and the Far East.

She has both managed and facilitated over 35 study tours for foreign officials, business representatives, and investors to the U.S. from more than 60 countries. Also for the Department of Commerce, Ms. Varrick designed and implemented an award winning Internship Program which including delivery of numerous training programs for 71 developing country business representatives. Prior to joining CORE, Ms. Varrick served as a Senior Country Manager with the U.S. Trade and Development Agency where she was responsible for annual grant fund portfolios of \$3-\$5 million, disbursed and monitored in over 20 countries.

EXPERIENCE

Energy and Environment Training (EETP) IQC* *September 1998 – Present

Since 1998, Ms. Varrick has served as the overall Project Manager for the USAID Global Bureau's EETP IQC. Under this IQC, Ms. Varrick fielded teams to perform both short-term and long-term assignments for training and capacity building in the Africa, Asia, Latin America and the Caribbean, and Europe and Eurasia. Training needs assessments in the energy area were performed for USAID Missions in Brazil, Bangladesh, Egypt, Indonesia, South Asia Region (Nepal, India, Sri Lanka, Bangladesh, Bhutan, Maldives), and other countries. CORE was often requested to serve as the Team Leader for these multi-contractor Teams contracted by USAID.

Training and Capacity Building in Support of Electricity Reform in Albania* *September 2001 – Present

Ms. Varrick is the Task Order Manager for CORE's institutional capacity building program in support of the ENI/USAID through the provision of a variety of services to the Government of Albania (GOA) as the country progresses in a major reform of its energy sector. CORE is providing institutional and human capacity building support to assist the GOA in transitioning its national utility to operate in a manner more closely modeling a modern utility. The three focus areas of the capacity building programs include: (i) Human Resource Development and Training, (ii) Analyses, Evaluations and Advice, and (iii) Technical Assistance to the General Director of KESH and the Ministry of Energy. This work is being performed cooperatively with the World Bank and the EBRD. The work includes technical assistance relative to the: (i) unbundling of transmission from generation at KESH hydro and thermal operations, (ii) rationale for disco consolidation, approaches, methodologies, and options, (iii) wholesale power market design, issues and considerations from the perspective of the utility, (iv) options for the development of small privately owned hydro stations, including power sales contracts, (v) integration in the regional energy market (REM), (vi) tariff design and presentations for regulatory approval, and (vii) investment evaluations and analyses for regulatory approval.

Support for Energy Sector Reform through Institutional Capacity Building Activities* *September 2000 – Present

Ms. Varrick also serves as the manager for orientation visits, training programs, conferences, and study tours under the Invitational Travel Task Order under the EETP IQC. Under this task order, CORE International has supported increased USAID cooperation with numerous bilateral donors, the World Bank, developing

country NGOs, and regional regulatory bodies. These activities have also been coordinated with U.S. business associations such as NARUC and the USEA. CORE International has provided support for the participation of over 350 individuals from 50 developing countries. These participants attended training and institutional capacity activities in support of energy sector reforms including infrastructure finance, energy sector restructuring, best practices in privatization, regional power trading, and regulatory systems development. A total of 59 events have been supported to date.

Training and Capacity Building for Greater Private Sector Participation in Clean Energy Development, Management & Operations

September 2000 – Present

Ms. Varrick is CORE's Task Manager for the provision of 15 separate training and institutional capacity building activities in support of greater private sector participation in clean energy development. These activities have included Rural Energy Development and the harmonization of national and regional energy policies for those countries participating in the Southern African Power Pool (SAPP). CORE has provided in-country support to the Government of Mozambique and the Government of Zambia for preparing their country's Rural Energy Programs using best practices and lessons learned from around the world. This assistance has led to the formation of Rural Energy Working Groups (REWGs), funded through their governments' own resources. The work has also led to Zambia's participation in the Global Village Energy Program (GVEP), a White House Initiative for increasing access to energy for communities around the globe. CORE's work in Zambia is being hailed as the model other countries should follow to increase energy availability to the rural poor.

South Asia Regional Initiative for Energy – Rural Energy Services

USAID Mission, India

September 2000 – December 2003

Ms. Varrick served as overall Task Manager for the SARI/Energy - RES program which focused on the adaptation of best practices within the South Asia Region and the analysis of lessons learned in rural electrification. Some specific activities included the development of course materials and instructions for courses on "Financing Rural Energy Projects in the South Asia Region", "Private Participation, Financing and Procurement Approaches for Rural Electrification in the Maldives", "Policies and Regulations for Rural Energy Access and Integration with Other Rural Development Programs in Nepal", and "The process of Decision Making for Rural Energy Programs in Sri Lanka".

Award Winning, Special American Business Internship Training Program for the Strengthening of NGOs and the Development of Business Associations

2000 – 2001

As Project Manger for this award winning training program funded by the U.S. Department of Commerce, International Trade Administration, Ms. Varrick was instrumental in the design and delivery of four, four-week training sessions, for the U.S. Department of Commerce's SABIT Program. The focus of the training was to develop skills necessary to strengthen established NGOs throughout Russia and the

Far East and to train industry and association managers on the methods and approaches for developing new and sustainable industry associations. Under these four programs, CORE International, Inc. trained 71 participants from Armenia, Moldova, Ukraine, Moldova, Belarus, Kazakhstan, Belarus, Tajikistan, Azerbaijan and many regions throughout Russia. Ms. Varrick continues to monitor the impact of the training that has already resulted in the establishment of eight new industry associations and NGOs in Russia and the Far East and the strengthening of 40 existing associations through linkages with U.S. associations and the U.S. business community.

Fiscal Recovery, Capacity Building and Grants Development for the Government of the U.S. Virgin Islands February 2001 – September 2001

For a \$1.2 million, two-year project in the U.S. Virgin Islands funded by the Office of Insular Affairs, U.S. Department of the Interior, Ms. Varrick developed an action plan and strategy for federal grants development and management that included over 20 federal government agencies. These recommendations included the design and recommendation for a new institutional structure in order to enhance the Government's grants management capacity and the skills to develop new grants. Many of these recommendations are being implemented by the Government to foster the provisions contained in a Memorandum of Understanding between the Governor of the U.S. Virgin Islands and the Secretary of the Interior. Her work became the foundation for a major federal conference on *Federal Grants Management and Development in U.S. Trusts and Territories* in November 2000 in San Francisco.

U.S. Trade and Development Agency 1992 – 1995

Ms. Varrick served as Senior Country Manager at the U.S. Trade and Development Agency in the Africa and Middle East and Central and East Europe regions. In this capacity, she developed relationships with and supported U.S. commercial partners in their international export activities. This support included advocacy for over 35 U.S. commercial associations including the American Food Processing and Machinery Supply Association, the American Road Transportation Builder's Association (ARTBA), the Construction Industry Manufacturer's Association (CIMA), the Telecommunications Industry Association (TIA), the International Franchise Association (IFA), the Air Traffic Control Association (ATCA), and the U.S. Energy Association (USEA). Ms. Varrick also managed and provided oversight of more than 40 reverse trade missions, business briefings, and conferences in the U.S. and overseas involving technology transfer to, and increased private sector involvement in, developing countries. She routinely coordinated these efforts with the State Department, DOC (ITA/U.S. Foreign Commercial Service), Ex-Im Bank, OPIC, EPA, FHWA, DOE, FAA, FCC, USAID, and occasionally, the White House.

EDUCATION

M.A., European Studies/International Economics, University of Leuven, Belgium (1989)

B.A., Political Science, Central Connecticut State University, New Britain, CT (1987)

LANGUAGES

English 5/S, 5/R; Flemish and German 2/S, 2/R; French 2/S, 2/R; Spanish 2/R

EMPLOYMENT HISTORY

1995 - Present, Executive Vice President and Chief Operating Office, CORE International, Inc.

1992 - 1995, Senior Country Manager, The U.S. Trade and Development Agency, Arlington, VA

1991 - 1992, Project Assistant, Chemonics International, Washington, D.C.

1987 - 1988, Lobbyist, S&S Management Services, Bloomfield, CT

Anil K. Mishra, PMP
Senior Energy & Training Specialist

KEY QUALIFICATIONS

Mr. Mishra is a certified PMP® (Project Management Professional) and Senior Energy Executive who has worked in the private/public sector for the last 30 years. He has led the development of several clean fuel and renewable energy projects and provided technical, marketing, and business planning expertise to developing country governments, NGOs and businesses seeking to implement market-based sustainable energy projects and evaluate low cost energy generation options based on Integrated Resource Planning (IRP) and utilization of non-grid distributed generation.

Since the early 1980's, Mr. Mishra has been a private sector energy specialist where he has successfully developed several BOT type private sector energy projects in several developing countries. His specializations include regulatory compliance, permitting, contract negotiation, power sales agreements, wheeling arrangements, and the full spectrum of project management and financial packaging. In addition, he has actively promoted public/private sector partnerships for hybrid renewable energy projects to demonstrate the commercialization of fuel cell, photovoltaic, wind farms, energy efficiency and conservation technologies.

EXPERIENCE

- **Bangladesh:** Chief Of Party/Resident Advisor based in Dhaka for the USAID project Improved Performance of the Key Institutions in the Bangladesh Energy Sector. He advised and assisted the Bangladesh government on issues related to market based energy sector reforms and the development of clean energy projects including technical assistance on institutional restructuring; governance; capacity building; gas/power exports issues; private sector participation in the generation & distribution businesses; and the evaluation of renewable energy and energy efficient technologies.
- **Eastern Europe:** Chief of Party/Resident Advisor based in Chisinau, Moldova for the USAID Power Market Reform Project. He advised and assisted the Moldova government in restructuring, unbundling, capacity building and establishing sound economic policies to promote privatization of power generation and distribution businesses; induce private sector investment; and develop policies to initiate climate change projects to reduce the production of green house gas and utilize energy efficiency and energy conservation technologies.
- **India:** Country Manager in New Delhi and Chennai for CMS Energy's private power development program. During his four years assignment in India, he developed CMS Energy's two fast-track private sector green field power projects

and arranged financial packages for the same in close contact with multinational banks, financial institutions, and multi-lateral export credit agencies. He served as Managing Director of ST-CMS Electric Company, which developed the 250 MW private power project in Neyveli, Tamil Nadu, India. Mr. Mishra was appointed Director on the Board of several CMS operating companies in India.

- **India:** Vice President/Country Manager of Westinghouse International in New Delhi. During his four year assignment in India he was responsible for the country affairs, joint ventures, investments, strategic planning, business development, marketing and sales. He obtained several breakthrough contracts valued at over \$40 million. He increased sales from \$2 million to \$30 million within three years and initiated new joint venture activities for several business units.
- **United Kingdom:** Research Officer for C.A.V. Ltd in London. His experience includes engineering assignments in R&D and product development of sustainable, efficient and clean fuel based transportation systems.
- **USA:** Deputy Director of USAID's Private Sector Energy Development (PSED) in Washington, DC. Mr. Mishra provided assistance in creating a favorable environment to encourage the private ownership, financing, and operation of clean energy/power facilities, including promotion of renewable energy projects in the USAID-assisted countries. As Deputy Director, he managed the development of several private sector clean and renewable energy projects in **Europe, Asia and Latin America.**
- **USA:** Director International Programs for CMS Energy in Michigan. He managed the USAID contract in **Moldova** and was instrumental in winning USAID contracts for **NIS countries** valued at over \$30 million.
- **USA:** Director of Technical Operations & Business Development for CMS Electric and Gas Distribution Company in Jackson, Michigan. He evaluated and developed the international distribution business opportunities for the company by acquisition and modernization of the existing energy assets based on clean energy technologies in **Argentina, Brazil, Venezuela, Poland, Mexico and India.**
- **USA:** Director Business Development for Westinghouse International where he had twenty-five plus years of broad-based, diversified experience in international marketing & sales of power generation, energy conservation and energy efficiency products and services, business development, and engineering. Countries/Regions of experience include: **Europe, Middle East, South Asia, S.E. Asia and Australia.**

Mr. Mishra's areas of technical expertise include:

CLEAN ENERGY TECHNOLOGIES IN CONVENTIONAL POWER PLANTS:

Hydro, Gas, Coal & Oil-power generation, T&D equipment, control systems

RENEWABLE ENERGY TECHNOLOGIES FOR GRID FEEDING/REPLACING:

Biomass - combustion, gasification, bio-methanation for power and thermal applications, cogeneration of power/steam from bagasse or other agriculture residues;

Solar thermal - medium temperature applications;

Solar PV - small medium size systems;

Mini hydropower - generation from small dams/run of the river type;

Waste to Energy - MSW methane generation from landfill/bio-methanation, sewerage based biogas plants for power generation or other applications, industrial waste to power/thermal applications.

ENERGY EFFICIENCY IMPROVEMENT TECHNOLOGIES:

Waste Heat Recovery - WHR from industrial flue gases or wastewater for power generation or thermal applications;

Renovation & Modernization - R&M of older power plants to improve efficiency, industrial process efficiency improvements mainly in the utility system but also in key sectors such as cement, steel, etc.

FUEL DIVERSIFICATION:

Fuel Switching - from a GHG emission intensive fuel such as coal to a lesser clean burning natural gas, replacement of fossil based fuels with renewable fuels like oil from plants.

PROFESSIONAL EXPERIENCE

June 2001 – January 2003

**Chief of Party & Resident Advisor-USAID Project for Improved Performance of Key Institutions In Bangladesh Energy Sector, Dhaka, Bangladesh
PA Government Services Inc., Washington, D.C. USA**

Primary responsibility on this USAID project included managing the performance of the project, advising and assisting the Bangladesh government in improving the performance of key institutions in the energy sector through market based energy sector reforms, including utilization of clean energy technologies in gas and power. The program mainly concentrated on institutional restructuring, governance, LNG/power exports, private sector participation in the generation & distribution businesses and promotion of renewable energy and distributed energy systems.

The major tasks included:

- Implementation support for power sector reforms
- Recommendations on strengthening the proposed Bangladesh Energy Reform Act 2002
- Assessment of social impact of power sector reforms
- Recommendation on optimal number and grouping of generation and distribution companies
- Assessment of transmission and distribution losses and review of the loss reduction plans
- Development of options for improved performance of distribution entities and strengthening its commercial operations
- Development of a study on the investment climate for private sector participation in the generation and distribution businesses
- Development of communications and outreach programs to increase public awareness and participation in reform implementation
- Utilization of Integrated Resource Planning in determining future needs including least cost option.

July 2000-May 2001

Chief of Party & Resident Advisor-USAID Project for Implementation Of Electricity Market Reforms In Moldova, Chisinau, Moldova, Eastern Europe - CMS Energy Corporation, Dearborn, MI USA

Primary responsibility on this USAID project was advising and assisting the Moldova Government on issues related to the energy market, the establishment and implementation of new market reforms, the creation of a modern commercial transmission and dispatch company, separation of supply and distribution business, reduction of commercial and technical losses, least cost plan development and training. Major accomplishments included:

- A review and proposal for enhancement of the proposed Electricity Market Rules
- The development of the interim Market Rules for the operation of the transmission company for use before the full privatization of the power sector.
- The development of Moldelectrica's organizational structure as an independent, commercially viable, and self-sustaining transmission company, including drafting key job descriptions and developing operational principles as a guideline for debt collection.
- The preparation of transmission tariffs
- The development of procedures for compliance with regulatory requirements
- A draft of the Grid Code and Metering Code
- Debt restructuring
- The development of a least-cost plan model
- Development of proposal for donor assistance for modernizing T&D metering, billing & monitoring processes
- Guidance on upgrading and privatization of low voltage distribution systems

- Development of climate change projects promoting utilization of renewable energy, energy efficiency and energy conservation.

December 1997 –June 2000

Director-Technical Operations & International Business Development CMS Energy Corporation, Dearborn, MI USA

Prime responsibilities related to operation and asset management of international electric and gas distribution companies through acquisition of existing assets and modernization under restructuring and privatization programs; including preparation of O&M budgets, transition & operating plans. In addition, Mr. Mishra was actively involved in the assessment of distribution markets potential under private sector in Brazil, Poland and India in view of the proposed restructuring of the power sector in these countries. His major tasks included:

- Review of performance, organization and management of distribution sector; an assessment of privatization market rules and its impact on the acquisition of distribution assets;
- Assessment of required restructuring to attain commercial and technical loss reduction targets;
- Evaluation of required regulatory reforms including consumer initiatives;
- Assessment of existing union and employee relationship and their successful deployment in the privatized distribution entities;
- Development of relationship and accountability among and between suppliers, distributor and consumer;
- Implementation of modern metering, billing, collection and monitoring procedures among and between the supplier, Distributor and consumer to increase collection and distribution efficiencies;
- Evaluation of the social, political, cultural and economic settings in the countries of specific interest and its impact on successful operation of the privatized distribution entities; and
- Development of partnership for fuel cell based power generation and distributed systems.

January 1994 - November 1997

Vice President/Country Manager-India Operations, New Delhi, India CMS Energy Corporation, Dearborn, MI USA

Prime responsibilities related to acquisition and management of power generation assets of CMS Energy in India. He managed the development of two major power generation projects in India. One of the projects had financial closure early 1997 and went into commercial production in late June 97. Represented CMS Energy as Director on the Board of two CMS O&M Companies. Mr. Mishra also served as the Managing Director of ST-CMS Electric Company, which is constructing a 250 MW private power generation project in Neyveli in the state of Tamil Nadu, India.

April 1992 – January 1994

**Deputy Director- USAID Project for Private Sector Energy Development
K&M Engineering Corporation, Washington, DC**

Prime responsibilities related to the private power generation projects in the USAID-assisted countries. Mr. Mishra supported the Agency's efforts to develop an ongoing program of technical assistance, policy planning and regulatory framework, and training of senior management of host country governments at Federal, State and Utility Board level. He also provided assistance to several South and South East Asian countries in the transfer of power generation assets to private sector through team building, regulatory compliance & permitting, contract negotiations, direct sales & wheeling arrangements, project financing; including full spectrums of project management. Worked closely with multilateral & bilateral financing institutions such as World Bank, PFC, ADB, Export-Import Bank, and commercial Banks in developing acceptable requirements for the financing of international private power projects. Some examples of the projects he led include:

- Development and implementation of USAir's IPPI program for India.
- Workshop on private sector participation in the power sector of Bangladesh.
- Workshop on private power regulatory reforms, power purchase agreements, fuel supply agreements, and contract negotiations in India.
- Workshop on clean energy, renewable energy & energy efficiency technologies.
- Development of a compendium of sample contract, PPA's, etc.
- Seminar on Requirements for financial closing for private power projects.

February 1991 – March 1992

**Consultant-Power Project Development
Westinghouse Electric Corporation, Pittsburgh, PA**

Prime responsibilities related to the acquisition of power generation projects in India and South East Asia. He provided project development assistance at various stages including project identification, proposal development and financing for a renewable energy project in India. Identified multimillion-dollar project opportunities in existing and new coal-fired, co-generation and gas-fired utility projects, including assistance in preparation and negotiation of letters of intent, joint venture agreements and other project agreements.

January 1988 - January 1992

**Vice President/Country Manager-India Operations, New Delhi, India
Westinghouse Electric Corporation, Pittsburgh, PA**

Prime responsibilities related to country affairs, joint ventures, investments, strategic planning, business development, marketing and sales. Mr. Mishra obtained several breakthrough major contracts valued at more than \$40 million. He also increased sales from \$2 million in 1987 to \$22 million by 1990, and initiated new joint venture activities for several business units.

June 1985 - December 1987

Director-Business Development

Westinghouse Electric Corporation, Pittsburgh, PA

Prime responsibilities related to business development, investments, joint ventures, projects and marketing, including development of strategic plans, cultivation of new business opportunities, etc. Participated in customer presentations and contract negotiations.

November 1978 - May 1985

Special Sales Support Engineer-International Projects

Westinghouse Electric Corporation, Pittsburgh, PA

Prime responsibilities related to sales/marketing support to international field sales operations in Asia Pacific, Europe and Middle East. Marketing/sales functions included preparation of commercial proposals requiring pricing, developing contractual terms and conditions, and interfacing with engineering and project groups of the related business units. Developed country sales plans and database for tracking and following proposals. Conducted customer presentations and participated in contract negotiations. Promoted markets for new products and liaised with consultants, contractors and ultimate customers on emerging projects to creating market potential for Westinghouse products and services.

August 1976 – October 1978

Executive Director-Business Development

MI Industries Inc. Pittsburgh, PA

Started the company to initiate and develop a travel agency as a family business. It operated as a full-fledged travel agency and held appointments of International Air Transport Association and Air Traffic Conference of America. Grossed \$180,000 in sales by the end of the first year with average annual sales of more than \$1 million by 1985. Actively participated in day-to-day management till mid-1978, thereafter, management taken over by spouse.

October 1968 - August 1975

Development Engineer- Large Rotating Apparatus

Westinghouse Electric Corporation, Pittsburgh, PA

Prime responsibilities related to mechanical development, strategic planning and project management. Special assignments included a market research study for Westinghouse Power Systems Products in India to assess the market potential in direct/indirect sales, licensee arrangements and corporate investment. Also, worked as Secretary to Large Rotating Apparatus Division Patent Committee, and assessed prime disclosures for patent awards/technical feasibility.

June 1967 – September 1968

Senior Research Officer-Section Head

C.A.V. Limited, London, U.K

Prime responsibilities related to the design and development of prototype high-pressure fuel injection equipment.

1963 – 1966: Various Positions

Walker Crossweller, Ltd./U.K. - Management
Yugoslavian Railways/Yugoslavia - Engineering
John Lang and Sons/U.K. - Production Control
C.E.G.B., Barking Power Plant/U.K. - Engineering
Cambridge Instrument Company, Ltd./U.K. - Production
Seismograph Service, Ltd./U.K. - Operations

EDUCATION

PMP® *Project Management Institute*

Project Management Professional Newtown Square, Pennsylvania
December 2003

M.B.A. University of Pittsburgh
Masters in Business Administration Pittsburgh, Pennsylvania
International Affairs & Financing June 1976

Bachelor of Science (Honors) University of London
Mechanical Engineering London, United Kingdom
June 1966

Bachelor of Science (Distinction) University of Calcutta
Mathematics Calcutta, India
June 1962

Postgraduate courses: University of Pittsburgh
Pittsburgh, Pennsylvania
September 1968 - September 1973

LANGUAGES

- Fluent in English, Hindi, Bengali
- Some French

HONORS

Scholarship awarded by N.U.F.F.I.C., a United Nations organization, to attend International Affairs Program, 1965, in Hague, Netherlands.

Trained in Total Quality concepts. Have been a Quality Circle facilitator and OPTIM coordinator

Winner of several Corporate Awards

PATENTS

Four U.S. patents and several patent disclosures

PUBLICATIONS

Several technical and business reports

Vasillaq Leno
Senior Energy & Training Specialist
CORE International, Inc.

SUMMARY OF EXPERIENCE

Over 18 years of professional experience in a number of area including energy and environment planning and training; private sector financing; sector reform; banking and finance; project appraisal, financing, and development; economic development and trade policy development; development program coordination at the national level; bilateral and multilateral donor leveraging; energy and environmental sector policy formulation; and government strategy development. Extensively worked with a large number of Bilateral and multilateral donors including the World Bank, European Bank for Reconstruction and Development (EBRD), European Investment Bank, (EIB), and the European Union (EU), Italian Cooperation, USAID, USTDA, CIDA, and others.

International experience includes energy policy, planning, and training activities in Europe (Italy, Greece, Germany, Belgium, Luxembourg, Great Briton, Spain, Austria, Hungary, Turkey, and Macedonia, Poland, Bulgaria, Rumania, Ukraine, and Denmark), North America (USA and Canada), Latin America (Brazil and Colombia), Middle East and Arab Countries (Lebanon, Israel, Saudi Arabia, and Kuwait), Asia (China, Hong Kong, India, Nepal, and South Korea), and Africa (Egypt, Lesotho, Mozambique, South Africa, Tunisia, and Zambia).

Authored and coauthored many articles, papers, reports, and studies in the areas of his experience.

EXPERIENCE

Albania: Restructuring, Unbundling, and Privatization Assessment for the Albanian Electric Company, KESH and the preparation and delivery of training programs in energy planning and utility strategy development, energy sector management, commercial methods for utility operation and management and private participation in energy sector development, for the U. S. Agency for International Development. Specific designed and delivered activities include the following:

- Capacity building on Power Sector Reform in Albania for senior managers from the Ministry of Industry and Energy, Electricity Regulatory Entity (ERE), and KESH, the national utility. September – October, 2002
- Roundtable on National Energy Policy Implementation Resource Requirements for Ministry of Industry and Energy and KESH, the national utility in Albania. September 2002
- Roundtable on National Energy Strategy and the Role of KESH for senior energy officials. August 2002

- Workshop on IPP Issues and Contracting Requirements for senior management from the Ministry, KESH, and ERE of Albania. November 2002
- Roundtable on Fundamentals of Human Resource Management. March 2003
- Course on Human Resource Management – Impact of Power Sector Reform in Power Utility Downsizing. June – July, 2003
- Development of training needs assessment for the Albanian power sector institutions. June – September 2002
- Designing of a monitoring system for Power Sector Policy Statement implementation in Albania. October 2002 – March 2003
- Development of a proposal for the restructuring of the General Directorate of Electroenergy at the Ministry of Industry and Energy in Albania. June – October 2002

India: Senior Energy Specialist for the development of a report on "India Electricity Distribution Reform Review and Assessment for USAID Mission, India.

Kosovo: Participation in a Multi-Sector Project Identification Mission to Kosovo for the U.S. Trade and Development Agency. May – June 2003

Lesotho: Participated in a number of tasks under the USAID Private Sector Participation in Clean Energy Project. Specific activities include the following:

- Development of materials and delivery of a Course on Rural Electrification Planning in Lesotho. January – April, 2003
- Working sessions with the Government appointed Rural Electrification Working Group (REWG) to assist the REWG in the development of an Action Plan for rural electrification with a specific focus on desirable institutional and financial models for the implementation of pilot projects under the World Bank LURP Loan. May 2003
- Development of an Overall Action Plan for Rural Electrification in Lesotho -- Phase I: Preparation and Implementation of RE Pilot Projects. June – July 2003

Mozambique: Participation in the preparation of a training needs assessment report for Mozambican power sector stakeholders. July 2003

Namibia: Participation in designing, development, and delivery of the following activities:

- A two-day Workshop on “Enhancing the Environment for IPPs in the Reforming Namibia Power Sector”, April 2004
- A two-day Regional Conference on “Enabling Environment for Private Participation in Rural Energy Service Delivery in the SADC Countries”, April 2004

Southern Africa: Development of materials for a course on "Advanced Electricity Markets and Trading under the SAPP Model" for senior representatives from the Southern African Power Pool, for USAID, EGAT Bureau. June – July, 2003

Southern Africa: Development of materials for a workshop on "Developing SAPP through Advanced Electricity Trading" for regulators and senior energy policymakers from the Southern African Power Pool member countries, for USAID, EGAT Bureau. June – July, 2003

Southern Africa: Development of materials for a course on "SAPP Advanced Power Trading" for power traders/members from the Southern African Power Pool, for USAID, EGAT Bureau. October - November 2002

Southern Africa: Development of a Desk Study on Issues and Options for Rural Electrification in SAPP Member Countries. Development and delivery of a Course on Issues and Options for Rural Electrification in SAPP Member Countries. January – April 2003

Southern Africa: Participation in the preparation of the report named 'Seminar on the Treatment of Ancillary Services for Southern African Power Pool'. January – February, 2003

South Asia Region: Analysis of Lessons Learned in Rural Electrification and the potential for the Adaptation of Best Practices within the South Asia Region under the USAID South Asia Regional Initiative for Energy (SARI/Energy) Program, for U.S. Agency for International Development. Specific activities include the following:

- Design and development of course materials for a course on "Private Participation, Financing and Procurement Approaches for Rural Electrification in the Maldives" for USAID Mission, India. Year 2002
- Design and development of course materials for a course on "Policies and Regulations for Rural Energy Access and Integration with Other Rural Development Programs in Nepal" for USAID Mission, India. Year 2002
- Design and development of course materials for a course on "The Process of Decision Making for Rural Energy Programs in Sri Lanka" for USAID Mission, India. Year 2002
- Design and development of course materials and delivery of a course on "Financing Rural Energy Projects in the South Asia Region" for USAID Mission, India. October – November 2002
- Design and development of course materials and delivery of a course on "Organizational and Staff Development Training – Rural Electric Cooperatives, Nepal" for USAID Mission, Nepal. September 2003

Zambia: Participation in a number of tasks under the USAID Private Sector Participation in Clean Energy Project. Specific activities include the following:

- Rural Electrification Issues and Options Assessment in Zambia and the Preparation of Training Materials. Year 2002
- Participation in the preparation of a Desk Study and conducting a one-week workshop on institutional and financial models for rural electrification in a power sector reforming environment and a follow up stakeholder roundtable and a working group session to assist the stakeholders in the development of a blueprint for a rural electrification plan. Year 2002
- Follow up mission for the development of a complete report focusing on (i) the development of the outline of the Rural Electrification Policy document for the Government of the Republic of Zambia, (ii) an action plan for the implementation of a Rural Electrification Program, and (iii) initiation of in-country consultations on the Global Village Energy Partnership (GVEP) Program. May – July 2003
- Design, development and delivery of a two-Day Workshop on Enhancing Energy Sector Policy and Reform Process in Zambia, March 2004
- Design, development and facilitation of Technical Consultations on the Establishment the GVEP Working Group and Planning for the National GVEP Action Plan in Zambia, March 2004.

PROFESSIONAL EXPERIENCE

August 1, 2002 - Present

Senior Energy Specialist, CORE International, Inc., Washington, D.C., U.S.A.

Dr. Leno leads various projects focusing on technical assistance and capacity building in the energy sector, including power sector reforms and restructuring, and wholesale electricity market development.

June 2001 - July 2002

Senior Consultant, CORE International, Inc.

As a Senior Energy Associate at CORE international, Inc., participated in many of CORE's technical assistance and capacity building projects in the energy sector including lead analyst on CORE's USAID project for developing strategies for the restructuring and privatization of the Albanian national utility. He also participated in the design, development and delivery of many training courses, workshops, and roundtables under CORE's (i) SARI/Energy Project for USAID, and (ii) Private Sector Participation Task Order with USAID.

July 1997 - May 2001

Senior Advisor to the Minister, Ministry for Economic Cooperation and Trade, Tirana, Albania

Dr. Leno was responsible for advising the Minister on all donor coordination and infrastructure financing issues. Specific activities included managing and providing coordination for infrastructure project identification, development, and financing, by working with the line ministries -- Ministry of Industry and Energy, Ministry of Transportation, and the Ministry of Public Works. In addition, he closely worked with other ministries in articulating the process for the development of the national economic policy. Other responsibilities included the following:

- Supervision of two departments in charge of monitoring and evaluation
- Supervisory support for programming and coordination of all development aid for Albania
- Coordination of the development of foreign aid assistance packages and participation in negotiations with IFIs and bilateral donors concerning the development of financial assistance for Albania
- Training and capacity building.

September 1994 - July 1997

**Manager, Department of Economic Development and Foreign Aid Coordination
Government of Albania, Council of Ministers, Tirana, Albania**

Specific responsibilities in this position included the following:

- Task Manager for World Bank (IDA), German Cooperation, and EC projects in Albania
- Involvement in project preparation and appraisal of priority economic development projects throughout Albania in all productive sectors of the economy
- EC-Project management Unit, Director - involved in Public Administration project implementation.

March 1991 - March 1994

Senior Banking and Investment Officer

National Commercial Bank of Albania, Tirana, Albania

Specific responsibilities included all commercial banking function such as the following:

- Analysis and appraisal of project proposals and long-term loans applications.
- Project risk assessment and customer/borrower financial review
- Credit worthiness assessment of potential borrowers
- Market assessment and customer profiling
- Financial management and portfolio supervision
- Finance and accounts report analysis.

September 1987 - March 1991

Lecturer, in Thermotechnics disciplines -- such as Heating, Air Conditioning, Cooling, Ventilation, Thermodynamics, Thermotechnic Industrial Machines, Thermal Generation

Tirana University, School of Engineering, Tirana, Albania

January 1985 - September 1987

Air Conditioning and Ventilation Design Engineer

Textile Mill, Project Designing Department, Tirana, Albania

EDUCATION

- Ph.D. Energy Resources and Renewable Energy
 Tirana University, School of Engineering, Tirana, Albania (1991)
- B.S. Mechanical Engineering
 Tirana University, School of Engineering, Tirana, Albania (1985)

LANGUAGES

- Fluent in English, Italian, Albanian
- Some Spanish and German

**Albert Skeath
Senior Utility and Training Specialist
CORE International, Inc.**

KEY QUALIFICATIONS

Mr. Albert Skeath is a utility management expert with extensive experience in the implementation of utility partnership programs, field and orientation visits, internship programs and peer exchanges for Utility Managers, energy engineers, energy regulators, and utility operations personnel world wide. Programs that he has developed and implemented have universally focused on building the institutional capacity of reforming utility sector managers to affect change within their own organizations based on modern business management best practices. He has implemented such programs for over 30 utilities in South Asia, Europe and Eurasia, and Southern Africa. These institutional capacity building skills development activities have assisted in the skills enhancement for utility managers, operations personnel, engineers, and regulators in all countries that have participated in these programs. He has special expertise in assisting previously 'non-transparent' utilities to implement efficient, non-costly, and highly effective consumer outreach campaigns. Mr. Skeath's 20-plus years of institutional capacity management experience ranges from knowledge development for managers in "train-the-trainers" study tours, to human resource management in comprehensive training courses, day seminars, conferences, workshops, and roundtable discussions. He has excellent interpersonal and communication skills, solid project management experience, and recent experience linking developing country utilities, regulators, and operations personnel with U.S. utilities through partnership programs, many of which were implemented by him during his service to the U.S. Energy Association (USEA).

As Program Coordinator for the USAID Private Sector Development Task Order under the Energy and Environment Training Program (EETP) of CORE International, Mr. Skeath is instrumental in designing, delivering and managing energy sector development and training activities in the Southern African Power Pool (SAPP) and South African Development Community (SADC) countries. As Program Coordinator, Mr. Skeath ensures the harmonization and non-duplication of CORE's programs with other contractors and cooperators including NARUC, USEA, The World Bank, Dfid, CIDA, as well as other contractors. He is also providing services under the USAID Training and Resident Utility Advisor Program in Albania, where he offers advisory services on organizational restructuring in preparation for the unbundling and privatization to the Albanian National Utility (KESH). On this project, Mr. Skeath has been involved in the initiation and development of a Public Awareness Campaign in support to the national utility in Albania to promote consumer knowledge of on-going power sector reforms, renewable energy utilization and benefits, and public participation in the power sector development.

In addition to his work for USEA for 10 years, Mr. Skeath brings over 25 years of experience in a variety of positions at Pennsylvania Power and Light (PP&L) where he gained comprehensive hands-on expertise in most aspects of utility management and operations. While at PP&L, he also developed a performance evaluation system based on Morrison's Technique of Management by Objectives and Results (MBO). Mr. Skeath has developed and implemented training courses in generation engineering, loss reduction, customer services, and customer relations management (CRM).

EXPERIENCE

South African Power Pool (SAPP)

March 2003 – Present

As Program Coordinator for this project in the South African Development Community (SADC) countries, Mr. Skeath developed and established a Program Monitoring and Reporting Information System that provides overall management coordination and communications with USAID and other USAID contractors on CORE's activities in the SADC countries. This monthly reporting system provides information on completed and planned activities by CORE for the SADC Program.

Energy Sector Restructuring in Albania

March 2003 – Present

Mr. Skeath provides his services as Senior Human Resources Management Expert on the USAID Training and Resident Utility Advisor Program project. Mr. Skeath has been involved in the initiation and development of a Public Awareness Campaign in support to the national utility in Albania to promote consumer knowledge of on-going power sector reforms, renewable energy utilization and benefits, and public participation in the power sector development. His major responsibilities include analyzing management structure and operations to develop cost-effective improvement in the area of human resources management including staffing, training, and performance measurement for KESH. He is also advising KESH on organizational restructuring in preparation for unbundling and privatization, and on improving management processes that affect revenue functions including collections, billing, and metering.

Management Exchange Visit for Skills Enhancement for Managers in Ukraine

2001 – 2002

As Project Coordinator, Mr. Skeath developed and managed a one-week Management Exchange Visit for Skills Enhancement for a delegation of managers from Kievenoergo of Ukraine on Skills Enhancement. The focus of the project was to facilitate people-oriented solutions through knowledge management, institution-to-institution relationships, and a train-the-trainer study tour. Mr. Skeath developed this program through the utilization of different activities in order to meet the needs of international energy managers to promote long-term sustainability upon implementation back in the Ukraine.

Kazakhstan Electricity Association (KEA) Partnership Program ***2000 – 2001***

As Lead Manager on this project, Mr. Skeath's procedural tactics included the development of institution-to-institution partnerships between the KEA and local government, public, and private counterparts in the energy industry. Mr. Skeath

developed the plan, schedule, agendas, partnership activities, budgets, and executive exchanges in the U.S. and Kazakhstan for information exchanges with several U.S. NGOs. These partnerships were used to identify gaps in knowledge/skills/attitudes (KSAs) of individuals on an institutional level and to remedy them through the transfer of technical knowledge and best practices.

***Improvements to the Central Asia Region's
Power Pool and Dispatch Center Operations*** **1999**

As the Lead Manager on this project in Uzbekistan, Mr. Skeath developed plans, agendas, schedules, budgets, trip reports and topics for a series of executive informational exchanges between Central Asia managers and U.S. and U.K. power pool systems and facilities. He created opportunities for sustainability through activities that were implemented for the development of human resources and institutional capacity. As a direct result of Mr. Skeath's efforts, a working committee was formed in Central Asia to develop policies to improve the power pool operations.

***Republic of Georgia Partnership Program and
Executive Exchange for Procurement Integrity*** **1997 – 1998**

As Senior Manager for this USAID-funded program, Mr. Skeath developed a procurement manual for use in competitive bidding processes for goods and services. This manual was used in various capacity training activities that Mr. Skeath conducted in the development of technical, organizational, and human resource objectives that were outlined by the mission. He served as the Lead Manager, and developed procurement concepts for information exchanges in Tbilisi and at a U.S. utility.

***Bulgaria Electric Company Accounting Practices
and Costing Executive Exchange Program*** **1998**

Mr. Skeath managed this executive exchange for Bulgarian electricity officials to learn cost account and costing methods for depreciation calculations and asset evaluations. Mr. Skeath developed the program plan, agenda, schedule, budget, and served as seminar facilitator for presentations made by U.S. utility representatives. Over twenty participants received hands-on experience on application of depreciation calculation methods and other cost accounting principles through people-oriented applications that developed knowledge / skills / attitudes (KSAs).

***Armenia Improved Metering, Billing, and Collection Systems,
Executive Exchange and Partnership*** **1996**

Mr. Skeath served as Head Project Manager to plan, schedule, budget and prepare agendas for several information exchanges in the U.S. and Armenia on metering, billing, and collections systems and policies. The utilization of knowledge exchange appeared to be the most beneficial method of capacity building and training for Armenian energy institutions, where these individuals developed the knowledge/skills/attitudes (KSAs) to maintain sustainability of positive performance of the energy collection sector. As a result of the implementation of several new policies, collections in Armenia have improved drastically.

EDUCATION

M.S., Management Science, Lehigh University, Bethlehem, PA (1972)
B.S., Mechanical Engineering, Lafayette College, Easton, PA (1969)

LANGUAGES

English 5/S, 5/R

EMPLOYMENT HISTORY

2003 - Present, Consultant, CORE International, Inc.

1993 - 2002, Deputy Program Manager, U.S.E.A., Washington, DC

1975 - 1992, Production Service Supervisor/Material Manager, Pennsylvania Power
& Light Co.

D. WORKSHOP DESCRIPTION

A Four-Day Workshop on Program Management: Planning, Monitoring, and Control

1. Background

USAID is providing the leading support for policy and regulatory framework and institutional capacity building for power sector reform in Albania. CORE International, Inc. is one of the USAID contractors providing this assistance. CORE International and Pierce Atwood jointly assisted the Government of Albania in the development of the Power Sector Policy Statement for the Government of Albania (GoA). In March 2002, the Albanian Government approved this Power Sector Policy Statement (PSPS). The Prime Minister issued an order to the Ministry of Industry and Energy (MI&E) to lead the process of implementing the PSPS, and approved the MI&E Action Plan for policy implementation, including specific activities and milestones to be achieved by KESH, MI&E, and the Energy Regulatory Entity (ERE). The PSPS and its implementation schedule are guiding Albania's Power Sector reform, restructuring and privatization process.

The Government of Albania began the process of policy implementation on July 1, 2002. For the implementation of this Policy Statement, an inter-ministerial Task Force headed by the Minister of Industry and Energy (MI&E) has been established. Three Action Plans (one for MI&E, KESH, and ERE, each) were prepared and approved by the Task Force. In addition, Secretariats have been established both in MI&E and KESH to support the work of the Task Force.

USAID is providing continued support to both Secretariats through CORE. After more than a year and a half of PSPS implementation, some results have been achieved and several constraints and weaknesses have been identified. Enhancing the institutional capacity of the Task Force Secretariat at the MI&E, the Secretariat at KESH, and the counterpart office at the ERE, as well as the National Agency of Energy (NEA), will help further the goals of PSPS implementation. For this reason, capacity building activities in support of MI&E and NEA are included in CORE International, Inc.'s Work Plan and this Workshop on Program Management: Planning, Monitoring, and Control, represents a major programmatic intervention in support of the PSPS implementation.

The Workshop is also applicable to the implementation of the National Strategy of Energy (NSE) and for the Athens MOU II programs.

2. Workshop Objectives

The objectives of this Workshop are to:

- Enhance the knowledge of the staff members of the Task Force Secretariat at the MI&E, the Secretariat at KESH, their counterpart office at the ERE, and representatives of the National Agency Energy (NAE) in the areas of program management: planning, monitoring, and control.
- Enhance everyday performance of the above-listed structures by providing hands-on program management capacity building training using real life examples.
- Enhance everyday cooperation and coordination among the above institutions.
- Provide a reference system that will be applicable for the implementation of the programs for the National Strategy of Energy (NSE) and the Athens MOU.

The Workshop focuses on transfer of program management, planning, monitoring and coordination skills to enhance the capacity and performance of the Albanian staff involved in the process of PSPS implementation.

3. Workshop Dates

The dates for the Workshop are May 10-13, 2004.

4. Venue

The venue of the Workshop is Tirana, Albania.

5. Workshop Planning, Material Preparation, and Delivery

CORE International has established a well-qualified team to design, develop, and deliver this Workshop. The team includes:

1. Ms. Lois A. Varrick, Senior Program Management & Training Specialist, CORE International, Inc.
2. Mr. Anil Mishra, PMP, Senior Energy & Training Expert, CORE International, Inc.
3. Dr. Vaso Leno, Senior Energy & Training Expert, CORE International, Inc.
4. Mr. Albert Skeath, Senior Utility & Training Expert, CORE International, Inc.
5. Mr. Dinesh Wahi, Logistics

5. Intended Participants

This activity is proposed in response to Work Area No 1, Power Policy Statement (PSPS) Assistance to the Ministry of Industry and Energy (MI&E), deliverable No. 3. MI&E is the counterpart entity for this proposed activity. Accordingly, MI&E will take the lead in all decisions related to the selection of participants and coordinate the invitations to the selected participants. It is anticipated that participants will be representative of the following organizations: MI&E, KESH, ERE, and NAE.

6. Proposed Workshop Topics

The following is a description of the Workshop modules:

Module I: Status of PSPS Implementation in Albania

- Power Sector Policy Statement: An Overview
- Status of PSPS and NSE Implementation – *(Mr. Besim Islami)*
- Status of Implementation of Athens MOU II – *(Mr. Bujar Leka)*
- Role of the PSPS Implementation Task Force – *(Mr. Agim Bregasi)*
- Role of Task Force Secretariat – *(Ms. Adriana Xhuvili, Head of Office)*
- Role of KESH Secretariat – *(Ms. Erideta Basha, Head of Office)*
- Role of ERE – *(Mr. Petrit Ahmetaj)*

Module II: Introduction on Program Management

- Introduction of Program Management
- Program Definition
 - Organization, Planning and Implementation
 - Identification, Formulation, Appraisal, Approval, Implementation, and Evaluation
- Essential Factors for Program Success
- Reasons that Programs Fail
- Attributes of Successful Program Managers

Module III: Program Planning and Formulation

- Establishing Program Objectives
- Defining Scope of Work / Terms of References
- Program Formulation
 - Components
 - Expected Results
 - Activities
 - Resources: Means and Budgets
 - Implementation Plan – Work Plans, Network and Flow Diagrams, Schedule, and Milestones, Implementation Structure
 - Monitoring and Evaluation Plan – Indicators, Monitoring and Reporting System
- Program Approval Process
- Program Revision - Interrelation of Scope, Schedule, and Budget

Module IV: Program Implementation Process

- Program Initiation
 - Program Implementation Office - Structure
 - Program Implementation Team and Co-operators
 - Establishing Functions and Responsibilities
 - Establishing Lines Communications – Within the Team and With Co-operators
- Program Implementation
 - Mobilization of Resources
 - Implementation of Program Activities
 - Resolution of Potential Conflicts
 - Program Monitoring and Reporting
 - Progress Reports
- Program Closing
 - Recognizing Results and Contributions
 - Final Program Review
 - Lessons Learned
 - Final Report

Module V: Program Monitoring, Evaluation and Control

- Program Monitoring and Evaluation – Definitions and Concepts
- Identification of Measurable Program Indicators
- Issues of Designing Effective Monitoring Systems for Result Oriented Processes
- Program Review and Reporting – Designing an Effective Reporting Process (Reporting Results, and Identifying Problems and Respective Corrective Actions)
- Improving the PSPS Implementation Monitoring Process in Albania - Interaction and Communication, Enhancing Inter-Institutional Coordination, Effective Coordination Mechanisms

Role Playing Exercise: “Planning the Albania National LPG Consumption Promotion Program”. The objective of this role playing exercise is to provide the workshop participants with hands-on experience in the process of program management, monitoring, and control. The focus of this exercise is to develop skills in the area of program management, monitoring and control. The participants will be divided into four groups of 5-6 persons each. The expected outcome of this Role Playing Exercise is that the participants will have gained the ability to implement the concepts and processes of program management, monitoring and control at their respective institutions.

II. WORKSHOP SCHEDULE

Four-day Workshop on Program Management: Planning, Monitoring and Control (May 10-13, 2004)

**Venue: Hotel Sheraton
Tirana, Albania**

***Sponsored By: The U.S. Agency for International Development
Conducted By: CORE International, Inc.***

Workshop Instructors and Facilitators:

Ms. Lois A. Varrick, Senior Program Management & Training Specialist,
CORE International, Inc.

Mr. Anil Mishra, PMP, Senior Energy & Training Expert,
CORE International, Inc.

Dr. Vaso Leno, Senior Energy & Training Expert,
CORE International, Inc.

Mr. Albert Skeath, Senior Utility & Training Expert,
CORE International, Inc.

Monday, May 10, 2004

9:00 a.m. – 9:30 a.m.

**Welcome and Opening Remarks
Mr. John Rabaglia, Sr. Energy Sector Policy
Specialist
USAID Mission, Tirana, Albania**

**Mr. Agim Bregasi, Director
Directorate of Electroenergy
Ministry of Industry and Energy
Tirana, Albania**

**Ms. Lois Varrick, Executive Vice President & COO
CORE International, Inc.**

9:30 a.m. – 10:00 a.m.

Introduction of Workshop Participants

**Workshop Introduction
Ms. Lois Varrick, Executive Vice President & COO
Senior Program Management & Training Specialist
CORE International, Inc.**

- 10:00 a.m. – 10:30 a.m. Module I: Status of PSPS Implementation in Albania**
- Power Sector Policy Statement: An Overview
- 10:30 a.m. – 11:00 a.m. Coffee/Tea Break**
- 11:00 a.m. – 12:30 p.m. Module I: Status of PSPS Implementation in Albania (cont'd)**
- Status of PSPS and NSE Implementation – Mr. Besim Islami
 - Status of Implementation of Athens MOU II – Mr. Bujar Leka
 - Role of the PSPS Implementation Task Force – Mr. Agim Bregasi
- 12:30 p.m. – 1:30 p.m. Lunch Break**
- 1:30 p.m. – 2:30 p.m. Module I: Status of PSPS Implementation in Albania (cont'd)**
- Role of Task Force Secretariat - Ms. Adriana Xhuvili, Head of Office
 - Role of KESH Secretariat - Ms. Erideta Basha, Head of Office
 - Role of ERE – Mr. Petrit Ahmetaj
- 2:30 p.m. – 3:00 p.m. Module II: Introduction on Program Management**
- Introduction of Program Management
 - Program Definition
 - Organization, Planning and Implementation
 - Identification, Formulation, Appraisal, Approval, Implementation, and Evaluation
- 3:00 p.m. – 3:30 p.m. Coffee/Tea Break**
- 3:30 p.m. – 4:30 p.m. Module II: Introduction on Program Management (cont'd)**
- Essential Factors for Program Success
 - Reasons that Programs Fail
 - Attributes of Successful Program Managers
- 4:30 p.m. – 5:00 p.m. Summary of First Day Program
Review of the Next Day Program**
-

Tuesday, May 11, 2004

- 9:00 a.m. – 10:30 a.m. Module III: Program Planning and Formulation**
- Establishing Program Objectives
 - Defining Scope of Work / Terms of References
 - Program Formulation
 - Components
 - Expected Results
 - Activities
 - Resources: Means and Budgets
 - Implementation Plan – Work Plans, Network and Flow Diagrams, Schedule, and Milestones, Implementation Structure
 - Monitoring and Evaluation Plan – Indicators, Monitoring and Reporting System
 - Program Approval Process
 - Program Revision - Interrelation of Scope, Schedule, and Budget
- 10:30 a.m. – 11:00 a.m. Coffee/Tea Break**
- 11:00 a.m. – 12:30 p.m. Module III: Program Planning and Formulation (cont'd)**
- Example – Implementation of National Energy Database Program
 - Assignment to Participants
- 12:30 p.m. – 1:30 p.m. Lunch Break**
- 1:30 p.m. – 3:00 p.m. Module IV: Program Implementation Process**
- Program Initiation – The Logical Cycle
 - Five Processes of Program Management
 - Program Office, Functions, and Responsibilities
 - Establishing Lines Communications
 - Program Implementation – The Work Plan
 - Resolution of Potential Conflicts
 - Program Monitoring and Reporting
- 3:00 p.m. – 3:30 p.m. Coffee/Tea Break**
- 3:30 p.m. – 4:30 p.m. Module IV: Program Implementation Process (cont'd)**
- Lessons Learned
 - Final Program Review
 - Example – Implementation of National Energy Database Program

**4:30 p.m. – 5:00 p.m. Summary of Second Day Program
Review of the Next Day Program**

Wednesday, May 11, 2004

**9:00 a.m. – 10:30 a.m. Module IV: Program Implementation Process
(cont'd)**

- Assignment to Participants

10:30 a.m. – 11:00 a.m. Coffee/Tea Break

**11:00 a.m. – 12:30 p.m. Module V: Program Monitoring, Evaluation and
Control**

- Program Monitoring and Evaluation – Definitions and Concepts
- Identification of Measurable Program Indicators
- Issues of Designing Effective Monitoring Systems for Result Oriented Processes
- Program Review and Reporting – Designing an Effective Reporting Process (Reporting Results, and Identifying Problems and Respective Corrective Actions)

12:30 p.m. – 1:30 p.m. Lunch Break

**1:30 p.m. – 3:00 p.m. Module V: Program Monitoring, Evaluation and
Control (cont'd)**

- Participant Exercise: Improving the PSPS Implementation Monitoring Process in Albania Including (i) Interaction and Communication, (i) Enhancing Inter-Institutional Coordination, and (iii) Effective Coordination Mechanisms

3:00 p.m. – 3:30 p.m. Coffee/Tea Break

**3:30 p.m. – 4:30 p.m. Module V: Program Monitoring, Evaluation and
Control (cont'd)**

- Assignment to Participants

**4:30 p.m. – 5:00 p.m. Summary of Third Day Program
Review of the Next Day Program**

Thursday, May 13, 2004

- 9:00 a.m. – 9:30 a.m. Role Playing Exercise: “Planning the Albania National LPG Consumption Promotion Program”**
- Introduction
 - Formation of Four Groups
 - Preparation of a Press Release
- 9:30 a.m. – 11:30 a.m. Group Work**
- 11:30 a.m. – 12:30 p.m. Group Presentations**
- 12:30 p.m. – 1:30 p.m. Lunch**
- 1:30 p.m. – 2:30 p.m. Panel Discussion to Produce One Final Plan**
- 2:30 p.m. – 3:00 p.m. Press Release and Q&A**
- 3:00 p.m. – 3:15 p.m. Coffee/Tea Break**
- 3:15 p.m. – 4:00 p.m. Identification of Follow Up Steps and Actions**
- 4:00 p.m. – 4:15 p.m. Completion of Workshop Evaluation Forms**
- 4:15 p.m. – 5:00 p.m. Workshop Summary and Presentation of Certificates**
-

III. WORKSHOP MATERIALS



Workshop on Program Management: Planning, Monitoring, and Control

**USAID Support Under The Energy and
Environment Training Program (EETP)**

**Workshop Designed and Facilitated By
CORE International, Inc., Washington, D.C.
May 10 – 13, 2004
Tirana, Albania**



Agenda

Welcome

Introductions

Objectives

Modules I – V

Role Play

Closing Remarks

Workshop Evaluations



Workshop Objectives

1. Enhance knowledge of staff members of the Task Force Secretariat at the MI&E, the Secretariat at KESH, their counterpart office at the ERE, and representatives of the National Agency Energy (NAE) in the areas of program management: planning, monitoring, and control.
2. Enhance everyday performance of the above-listed structures by providing hands-on experience in real life examples.



Workshop Objectives (cont'd)

3. Enhance everyday cooperation and coordination among the above institutions.
4. Provide a reference system that will be applicable for the implementation of the programs for the National Strategy of Energy (NSE) and the Athens MOU.



Workshop Topics

Module I: Status of PSPS Implementation in Albania

Module II: Introduction to Program Management

Module III: Program Planning and Formulation

Module IV: Program Implementation Process

Module V: Program Monitoring, Evaluation, & Control



Workshop on Program Management: Planning, Monitoring, and Control



Module I: Status of PSPS Implementation in Albania



Contents

1. Power Sector Policy Statement: An Overview
2. Status of PSPS and NSE Implementation
Mr. Besim Islami
3. Status of Implementation of Athens MOU
Mr. Bujar Leka
4. Role of the PSPS Implementation Task Force
Mr. Agim Bregasi
5. Role of Task Force Secretariat
Ms. Adriana Xhuvili
6. Role of KESH Secretariat
Ms. Erideta Basha
7. Role of ERE
Mr. Petrit Ahmetaj



An Overview



- ❑ PSPS approved by the Government in April 2002
- ❑ PSPS provides for power sector reform policies:
 - Sets goal and objectives
 - Addresses specific policy reforms necessary to achieve the policy objectives
 - Includes a five-year plan of key milestones for action



PSPS Goal



“To develop an electricity market that provides for reliable, safe, and adequate electric supply at reasonable prices in an economically and environmentally sound manner and in accordance with accepted commercial and market principles and the rule of law.”



Objectives



1. A financially and technically strong electric industry
2. An effective and transparent legal and regulatory framework
3. Restructuring of KESH through appropriate unbundling into separate distribution, transmission and generation enterprises



Objectives (cont'd)

4. Clear market rules and processes for financial settlements
5. Significant private capital investment and investment by experienced strategic investors through implementation of privatization in addition to the assistance provided by the international donor community
6. A competitive electricity market consistent with the European Union's requirements



Specific Policy Reforms Necessary to Achieve the Policy Objectives



Objective One: A Financially and Technically Sound Electricity Industry.

1. Improve Metering, Billing and Collections;
Reduce Theft, Technical Losses and Operational Inefficiencies
2. Tariff Rationalization
3. Improve KESH Organization and Management
4. Improve Customer Service



Specific Policy Reforms Necessary to Achieve the Policy Objectives (cont'd)



Objective Two: Effective and Transparent Legal and Regulatory Framework.

1. Legal Basis for Reform (energy law amendment)
2. Transfer and Consolidation of All Energy Policy Matters to the New Ministry of Industry and Energy
3. Strengthen the Role of the Regulatory Agency (ERE) and Ensure Adequate Financial Support



Specific Policy Reforms Necessary to Achieve the Policy Objectives (cont'd)



Objective Three: Unbundle KESH into Legally Separate Entities.

1. Manner of Unbundling KESH into Legally Separate Entities
2. Determine the Number of Generating Companies
3. Consolidate Distribution Companies
4. Establish a Separate Transmission Company
5. Spin-Off Non-Core Assets of KESH
6. Provide for a Transition Period for KESH Restructuring



Specific Policy Reforms Necessary to Achieve the Policy Objectives (cont'd)



Objective Four: Clear Market Rules and Financial Settlements Process.

1. Prepare Rules for an Unbundled Electricity Market
2. Address Policy and Regulatory Issues of Cogeneration, Small Hydro, and Demand Side Programs
3. Define Financial Settlement Mechanisms and Institutions



Specific Policy Reforms Necessary to Achieve the Policy Objectives (cont'd)



Objective Five: Attraction of Private Capital and Investment.

1. Prepare a Privatization Policy and Plan for Distribution and Generation
2. Address Tariff, Tax, Debt, Ownership, Labor and Other Investor Concerns
3. Develop Framework for Independent Power Producers (IPPs) to Increase Generation Capacity



Specific Policy Reforms Necessary to Achieve the Policy Objectives (cont'd)

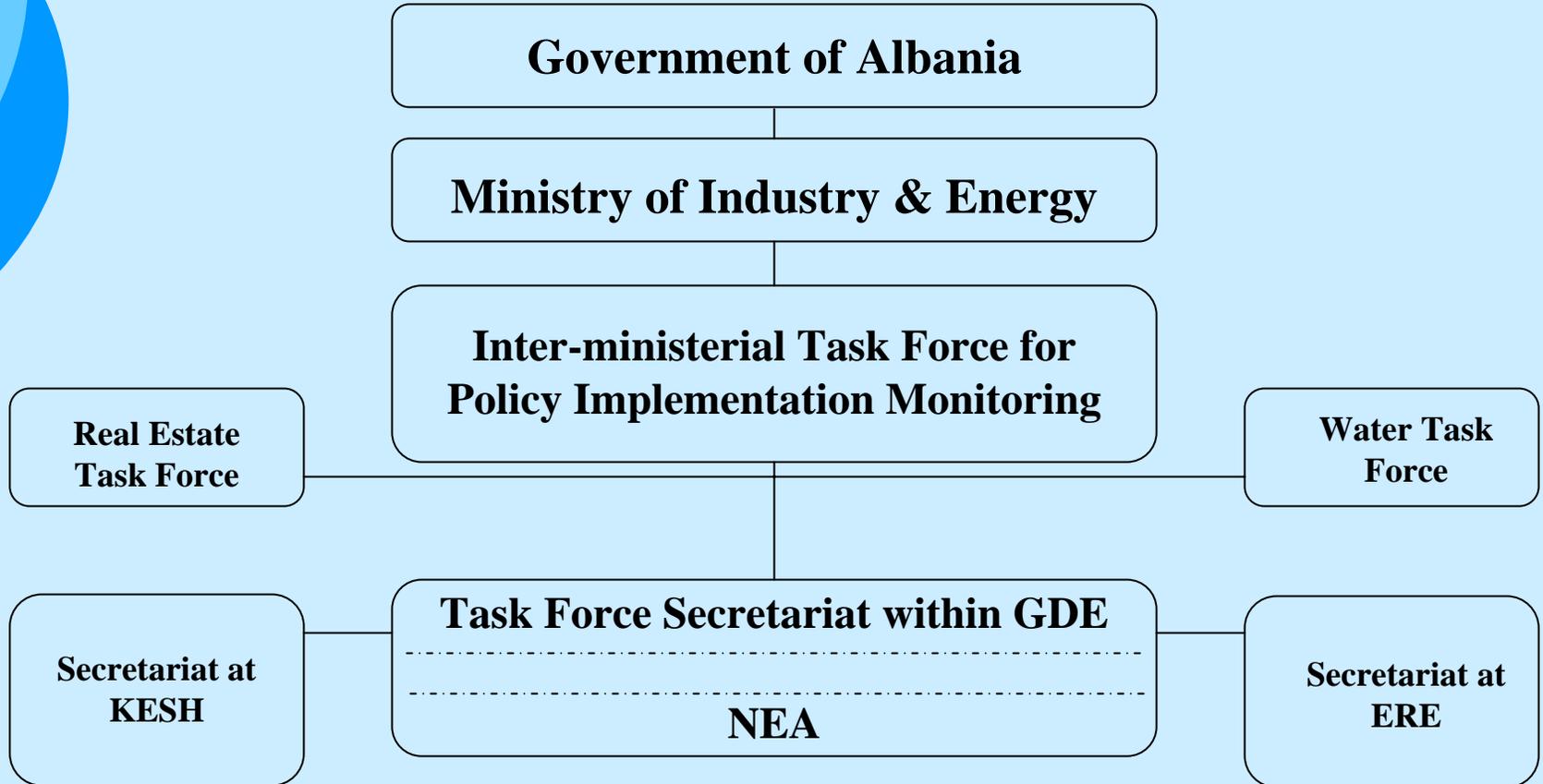


Objective Six: Participation in Regional and European Electricity Markets.

1. Participate Actively in REM-Management Committee
2. Harmonize Legislation and Regulatory Approach on Tariffs, Access and Trade
3. Decide on Market Liberalization
4. Buying Electricity from Neighboring Countries or From the Regional Market.

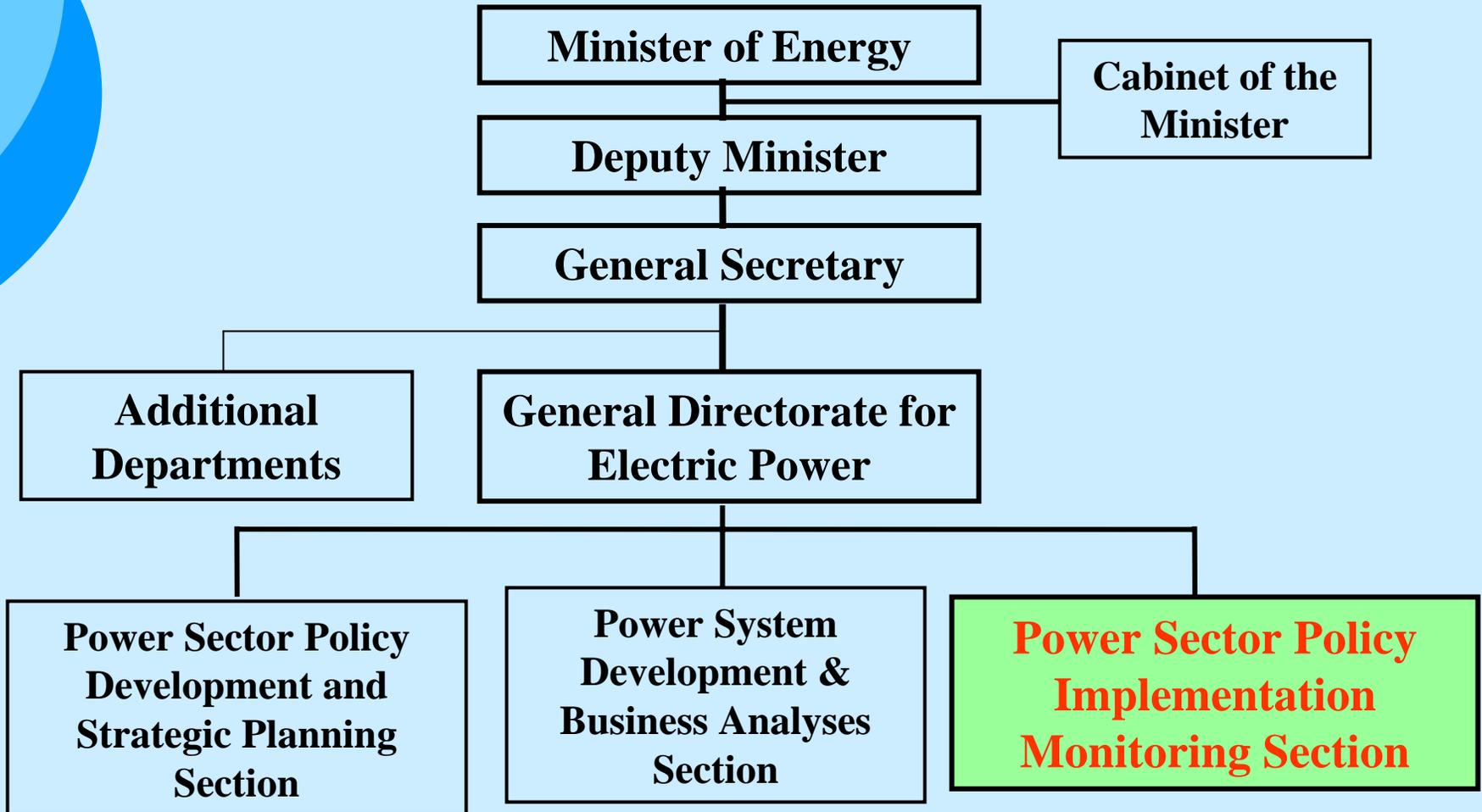


Implementation Institutional Set-Up at MI&E





Implementation Institutional Set-Up at MI&E





Workshop on Program Management: Planning, Monitoring, and Control



Module II: Introduction to Program Management



Introduction

- Organizations perform work.
- Work generally involves either *operations* or *projects*.
- Operations and projects have several things in common:
 - › Performed by people
 - › Constrained by limited resources
 - › Planned, executed and controlled



Operations and Projects

- They are different because:
 - › Operations are on going and repetitive where as Projects are *temporary* and *unique*.
- The objectives of *projects* and *operations* are fundamentally different:
 - › The objective of a *project* is to attain the ultimate results and close the project.
 - › The objective of an on-going *operation* is normally to sustain a business.



What is a Project?

- Projects are a means to respond to those requests that cannot be addressed within organization's normal operational limits.
- A project is a *temporary* endeavor undertaken to create a *unique* product or service.
 - › *Temporary* means creating a product or service that has a definite beginning and a definite end.
 - › *Unique* means that the product or service that is different in some distinguishing way from all other products or services.



What does Temporary Mean?

- *Temporary* means that every project has a definite beginning and a definite end.
- The end is reached when any one of these happens:
 - › Project's objectives have been achieved
 - › Project objectives will not or cannot be met
 - › Need for the project no longer exists and project is terminated



What does **Temporary** Mean? (cont'd)

- *Temporary* does not necessarily mean short in duration; many projects last for years; however, in every case the duration of a project is finite; projects are not ongoing efforts.
- *Temporary* does not apply generally to the product or service created by the project. Most projects are undertaken to create a lasting result.



What does Unique Product or Service Mean?



- Project involves doing something that has not been done before and which is, therefore, *unique*.
- A product or service may be unique even if the category to which it belongs is large:
 - › Many thousands of office buildings have been developed, but each individual facility is unique-different owner, design, location, or contractors.



What does Unique Product or Service Mean? (cont'd)



- The presence of repetitive elements does not change the fundamental uniqueness of the project work:
 - › A project to develop a new commercial airliner may require multiple prototypes.
 - › A project to bring a new drug to market may require thousands of doses of the drug to support clinical trials.
 - › A development project like water/sanitation may be implemented in several different locations.



Projects are Critical

- Projects are critical to the performing organization's business plan because projects are a means by which the plan is implemented.
 - › Projects are undertaken at all levels of the organization.
 - › Projects may involve one person or many thousands.
 - › Their duration could range from few weeks to more than five years.
 - › Projects may involve a single unit of one organization or may cross organizational boundaries, as in joint-venture and partnering.



Examples of Projects

- Developing a new product or service.
- Effecting a change in structure, staffing, or style of an organization.
- Developing or acquiring a new or modified information system.
- Constructing a building or a facility.
- Implementing a new business procedure or process.
- Building a water system for a community.
- Running a campaign for political office.



What is a Program?

- There is often a hierarchy of a master plan, programs, projects, and subprojects.
- Programs consist of several associated projects that will contribute to the achievement of a master plan.
- A program is a group of projects managed in a coordinated way to obtain benefits not available from managing them individually.



Programs Include On-Going Operations



- Examples include:
 - › The “XYZ airplane program” includes both the project(s) to design and develop the aircraft, as well as the on-going manufacturing and support of that aircraft in the field.
 - › Many electronic companies have *program managers* who are responsible for both individual product releases (projects) and the coordination of multiple releases over time (an ongoing operation).



Programs Involve a Series of Repetitive or Cyclical Activities



- Examples include:
 - › Utilities often have an annual “construction program”, a regular on-going program that involves many projects.
 - › Many nonprofit organizations have a “fundraising program”, an ongoing effort to obtain financial support that often involves a series of discrete projects, such as membership drive or an auction.
 - › Publishing a newspaper or a magazine is also a program—the periodical itself is an ongoing effort, but each individual issue is a project.



Programs vs. Projects



- In some application areas, a *program* is another name for a *project*.
- In others, *project* is a subset of *program*.
- This diversity of meaning makes it important to clearly define and understand your endeavor before starting.

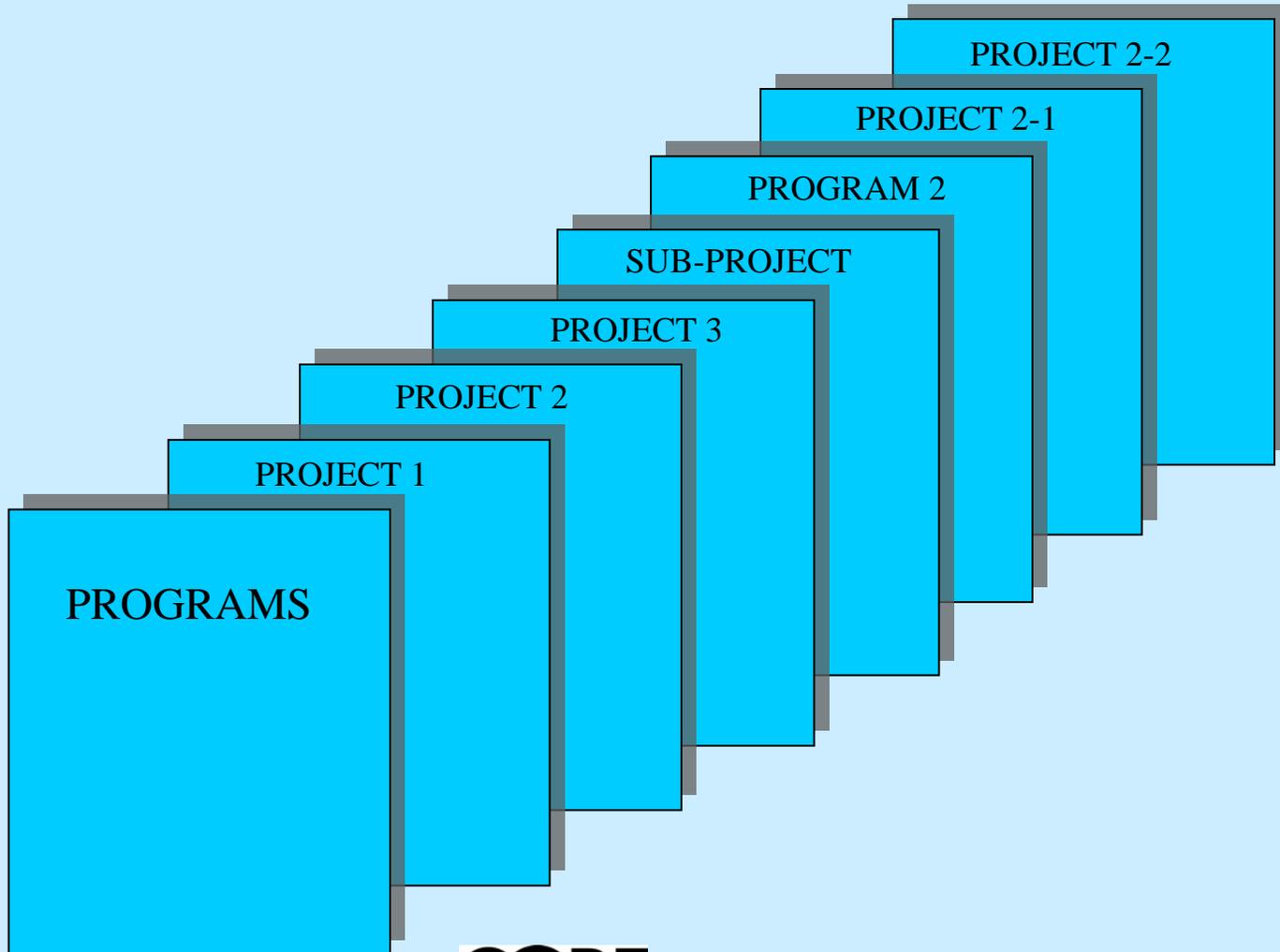


Project vs. Sub-Project

- *Subprojects* are based on the project process, such as a single phase.
- *Subprojects* according to human resource skill requirements, such as the installation of plumbing or electrical fixture in a construction project.
- *Subprojects* involving technology, such as automated testing of computer programs on a software development project.
- *Subprojects* are typically referred to as *project* and managed as such.



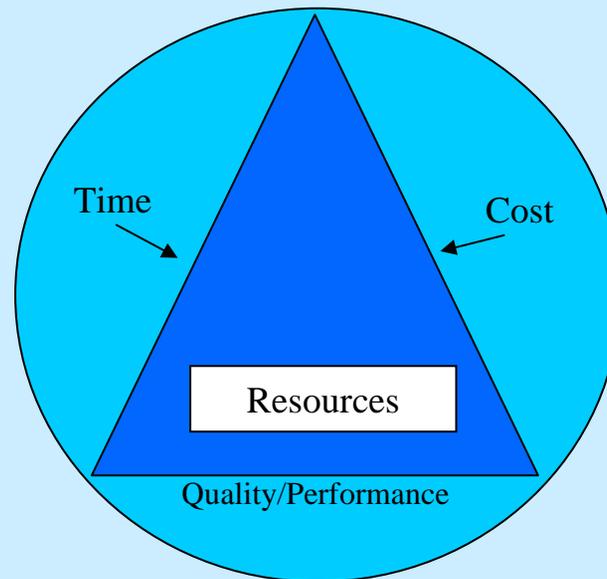
Programs, Projects, and Sub Projects





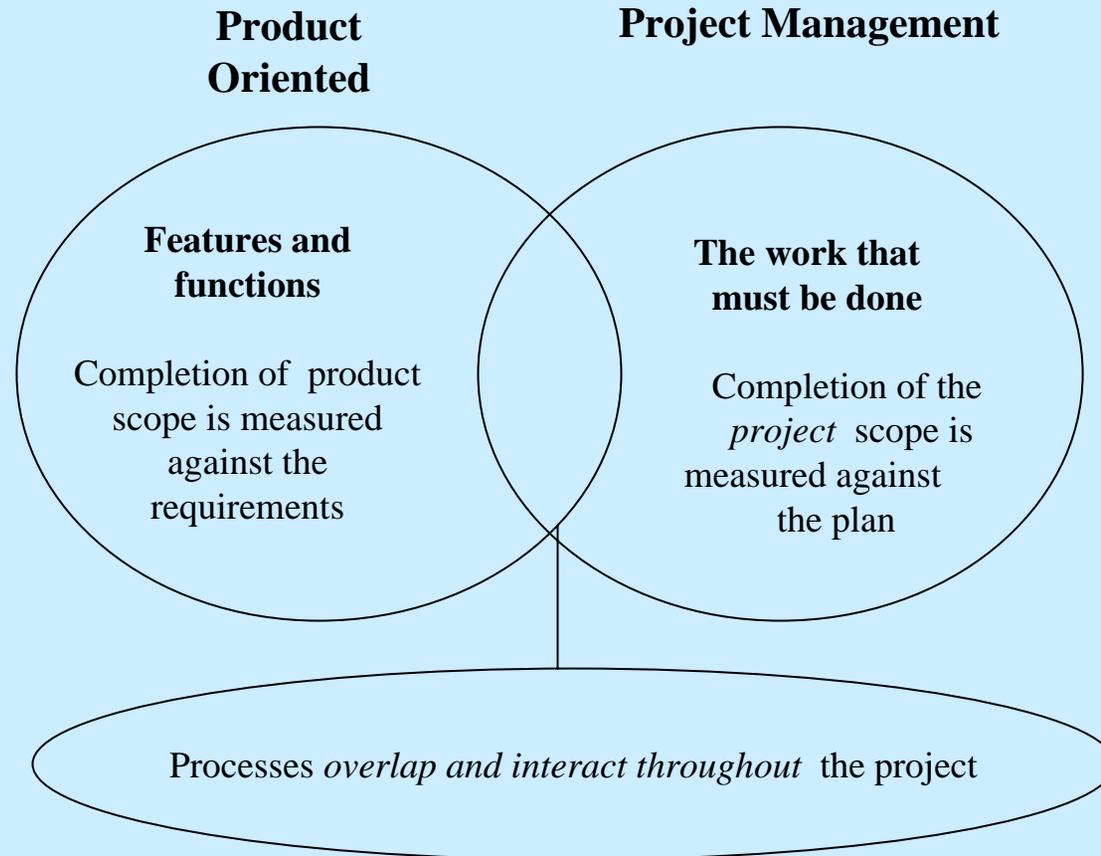
What is Project Management?

The Art and Science of getting a project completed within the *Time, Cost, Quality/Performance Requirements* thereby winning both internal and external Customer Satisfaction.





Product Oriented/ Project Management Process





What is Project Management?

Project management is the application of knowledge, skills, tools, and techniques to project activities to meet project objectives.



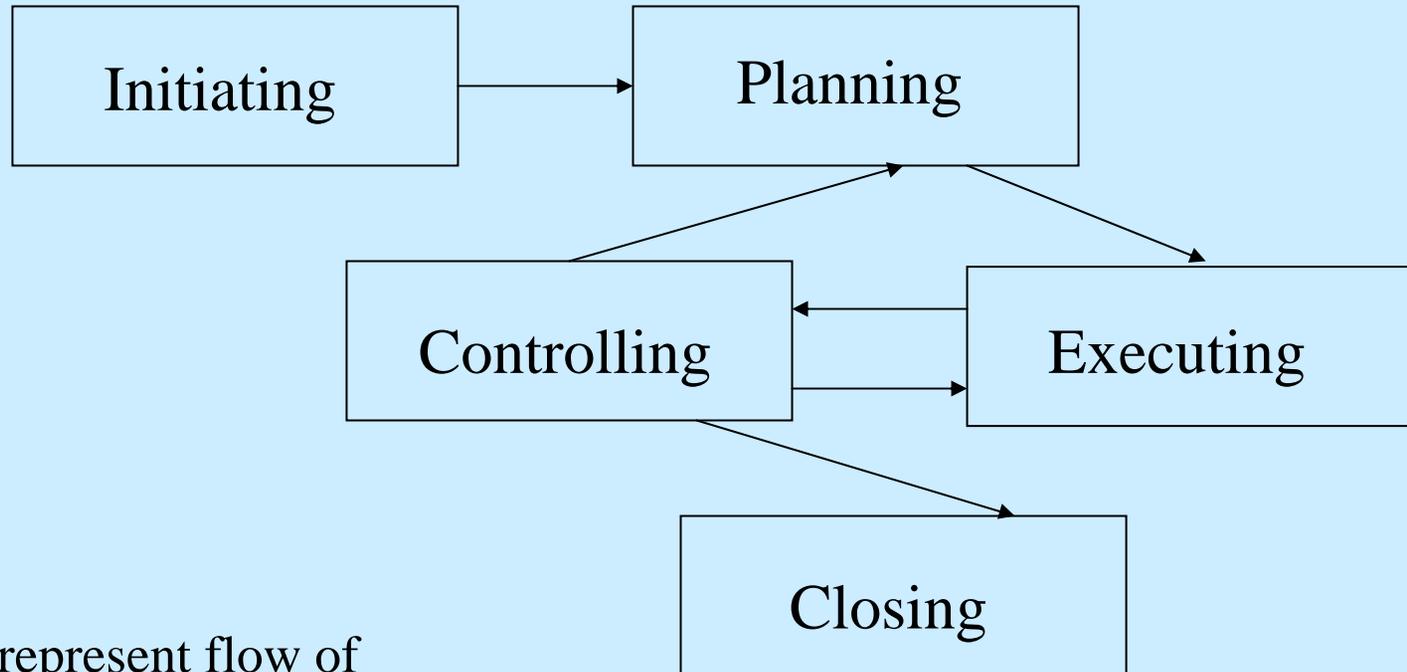
Five Processes of Project Management



- 1) Project Initiation
- 2) Project Planning
- 3) Project Executing
- 4) Project Controlling
- 5) Project Closing



PM Processes



Arrows represent flow of information



Project Management Techniques



- Clearly define objectives and deliverables
- Define activities to achieve objectives
- Assign responsibilities for activities
- Focus resources on specific objectives
- Provide a communication process



Nine Project Management Knowledge Areas



- 1) Project Integration Management
- 2) Project Scope Management
- 3) Project Time Management
- 4) Project Cost Management
- 5) Project Quality Management
- 6) Project Human Resource Management
- 7) Project Communication Management
- 8) Project Risk Management
- 9) Project Procurement Management



PM Knowledge Areas

1) *Project Integration Management is -*

- The process required to ensure that various elements of the project are properly coordinated. It consists of project plan development, project plan execution, and integrated change control.

2) *Project Scope Management is –*

- The process required to ensure that the project includes all the work required, and only the work required, to complete the project successfully. It consists of initiation, scope planning, scope definition, scope verification, and scope change control.



PM Knowledge Areas (cont'd)

3) *Project Time Management is –*

- The process required to ensure timely completion of the project. It consists of activity definition, activity sequencing, activity duration estimating, schedule development, and schedule control.

4) *Project Cost Management is –*

- The process required to ensure that project is completed within the approved budget. It consists of resource planning, cost estimating, cost budgeting, and cost control.



PM Knowledge Areas (cont'd)



5) *Project Quality Management is –*

- The process required to ensure that the project will satisfy the needs for which it was undertaken. It consists of quality planning, quality assurance, and quality control.

6) *Project Human Resource Management is -*

- The process required to make most effective use of people involved in the project. It consists of organizational planning, staff acquisition, and team development.



PM Knowledge Areas (cont'd)



7) *Project Communication Management is –*

- The process required to ensure timely and appropriate generation, collection, dissemination, storage, and ultimate disposition of project information. It consists of communications planning, information distribution, performance reporting, and administrative closure.

8) *Project Risk Management is –*

- The process concerned with identifying, analyzing, and responding to project risk. It consists of risk management planning, risk identification, qualitative risk analysis, quantitative risk analysis, risk response planning, and risk monitoring and control.



PM Knowledge Areas (cont'd)

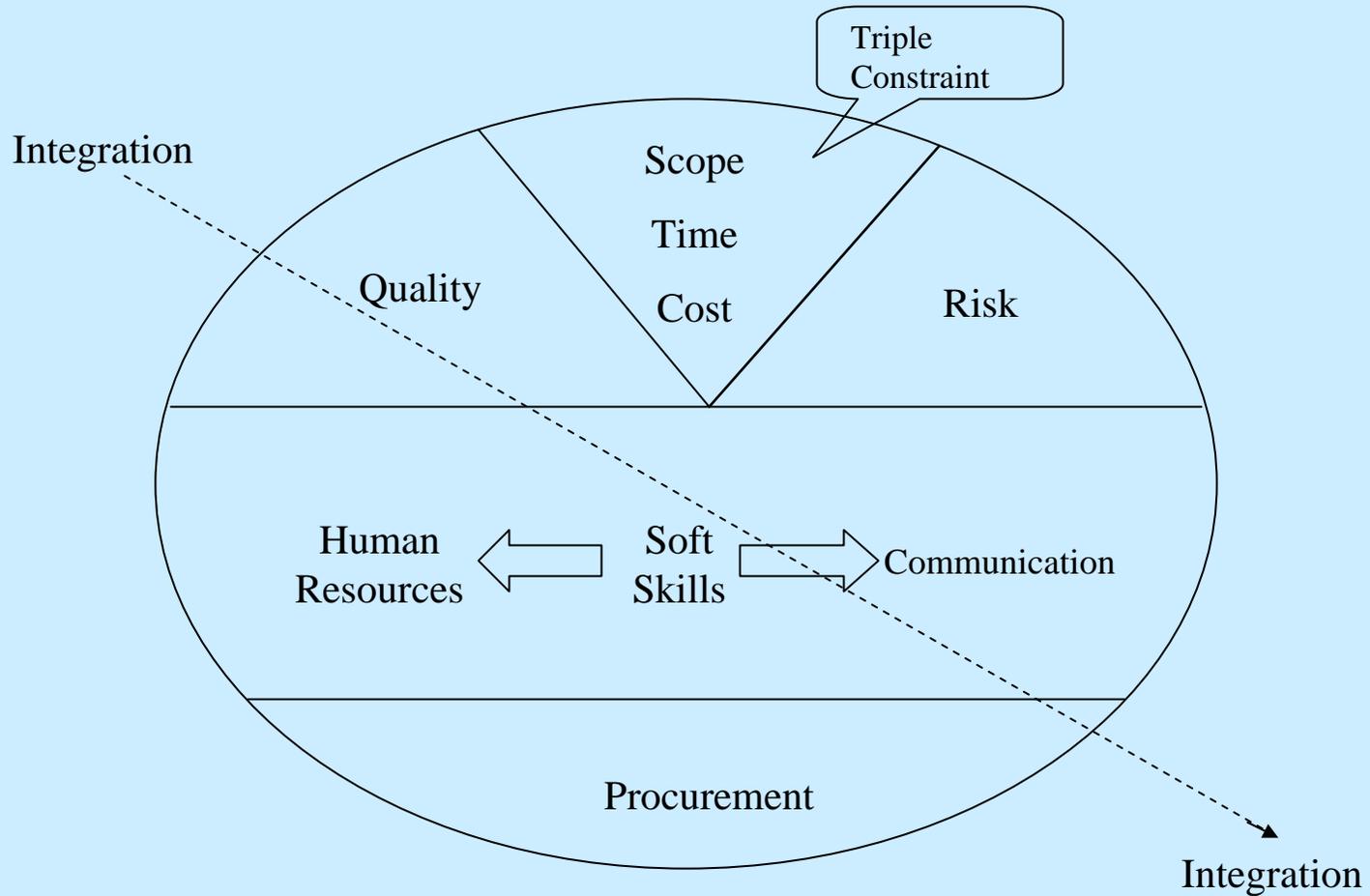


9) *Project Procurement Management* is –

- The process required to acquire the goods and services from outside the performing organization. It consists of procurement planning, solicitation planning, solicitation, source selection, contract administration, and contract closeout.

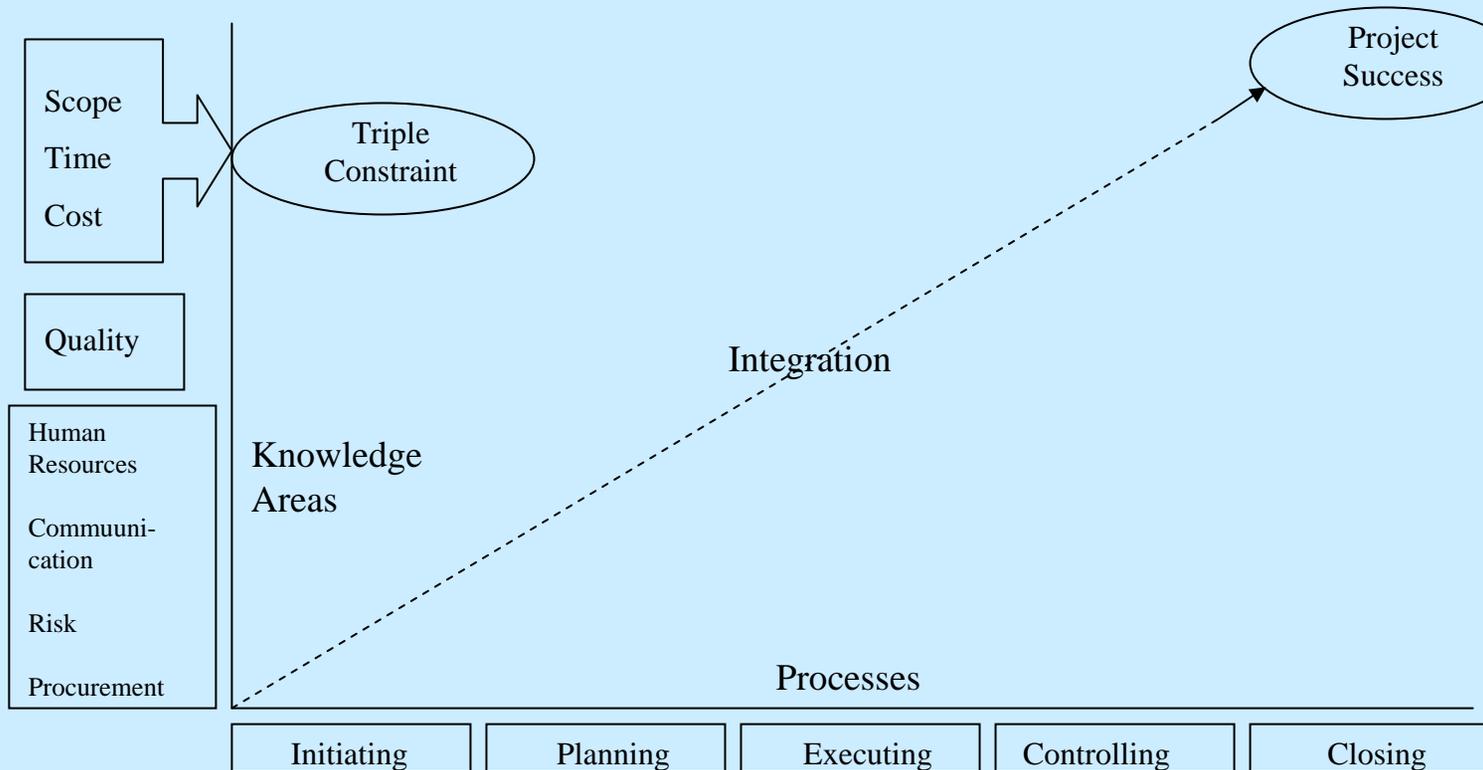


PM Knowledge Areas (cont'd)





Nine by Five Chart



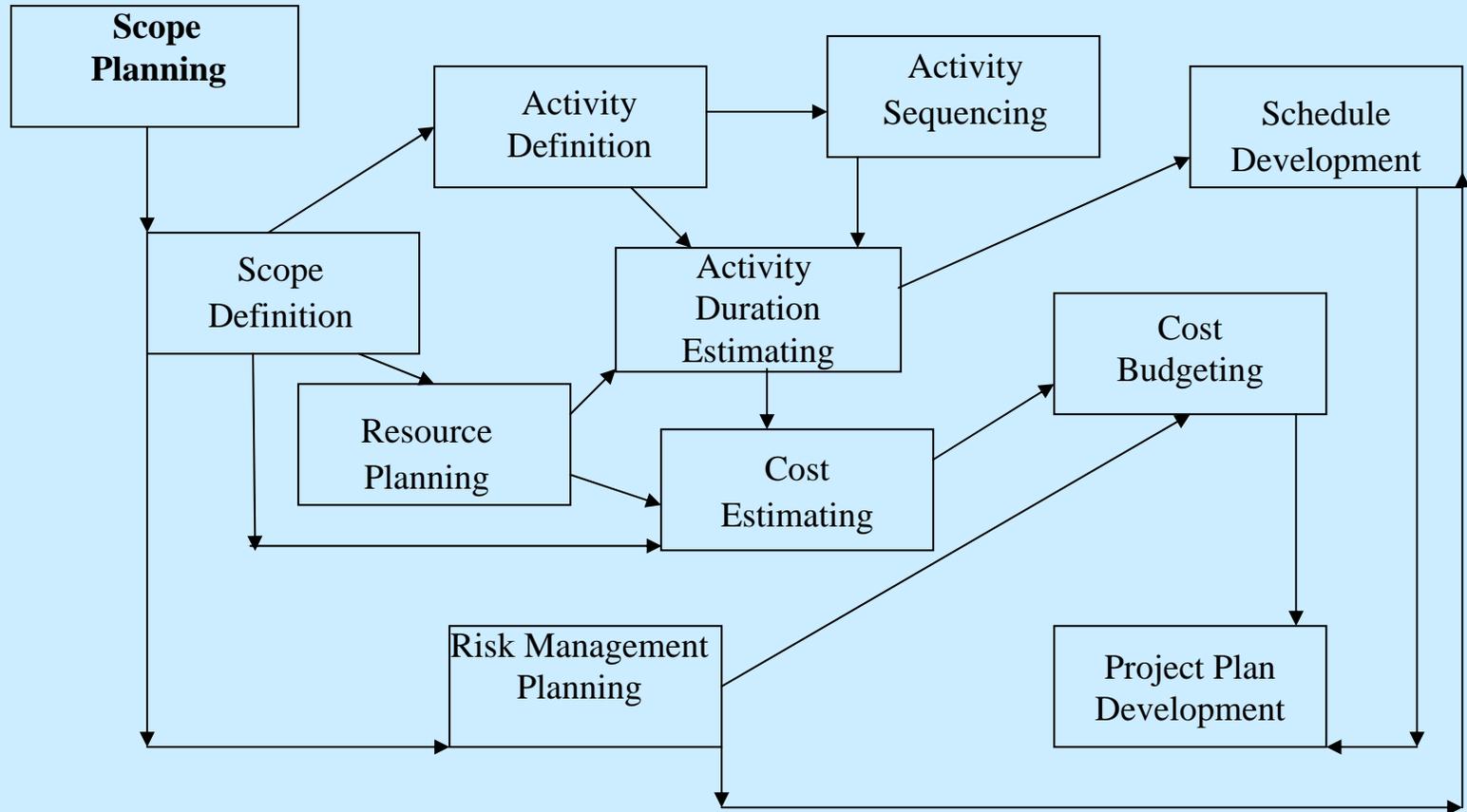


Basic Planning Processes

- Some planning processes have clear dependencies that require them to be performed in the same order; for example:
 - › Activities must be defined before they can be scheduled or costed. These core planning processes may be iterated several times during any one phase of a project.



Basic Planning Processes (cont'd)



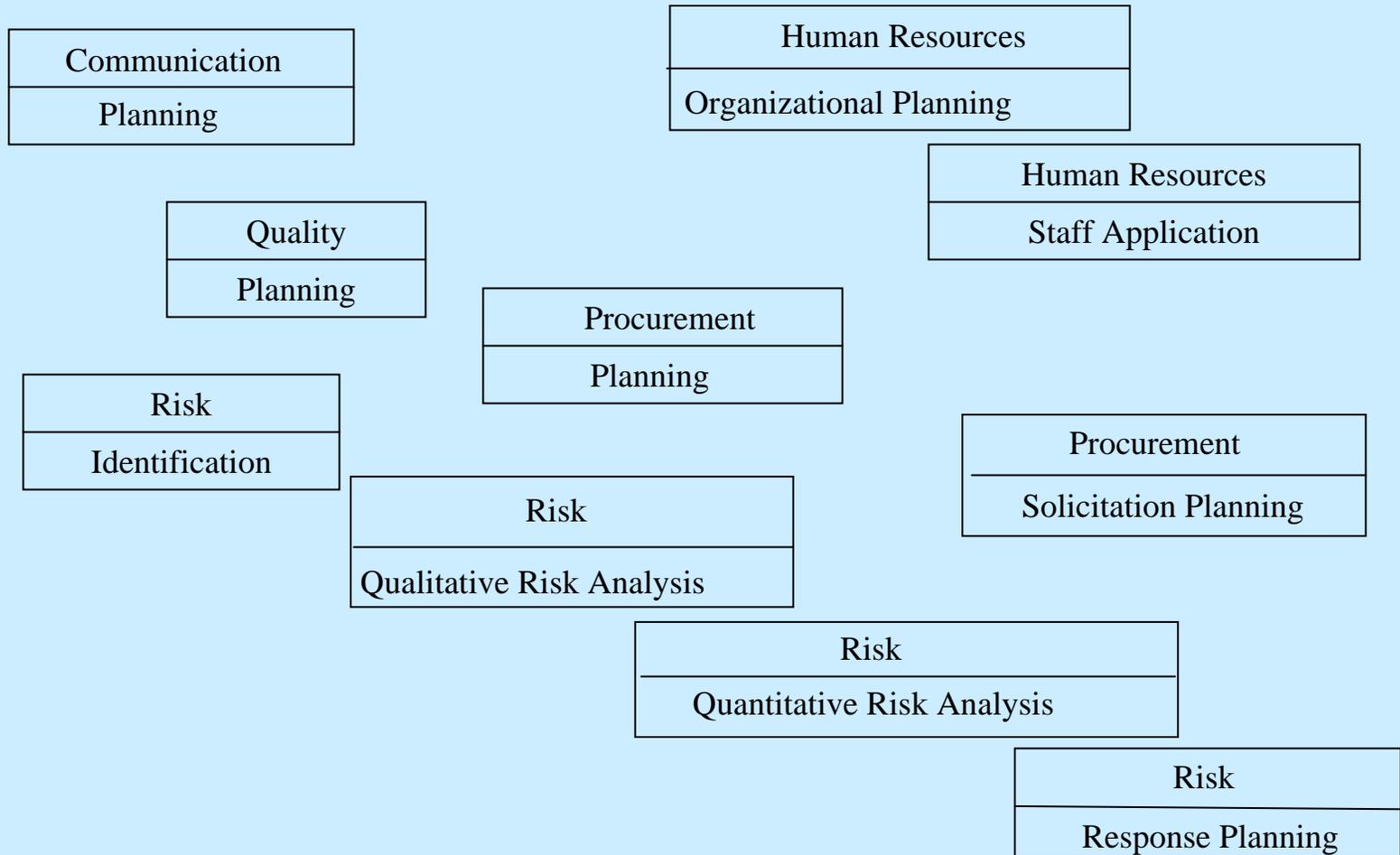


Facilitating Planning Processes

- Facilitating processes are performed intermittently and as needed during project planning; for example:
 - › On some projects there may be little or no identifiable risk until after most planning has been done and then the team recognizes that the cost and the schedule targets are extremely aggressive and thus involve considerable risk.

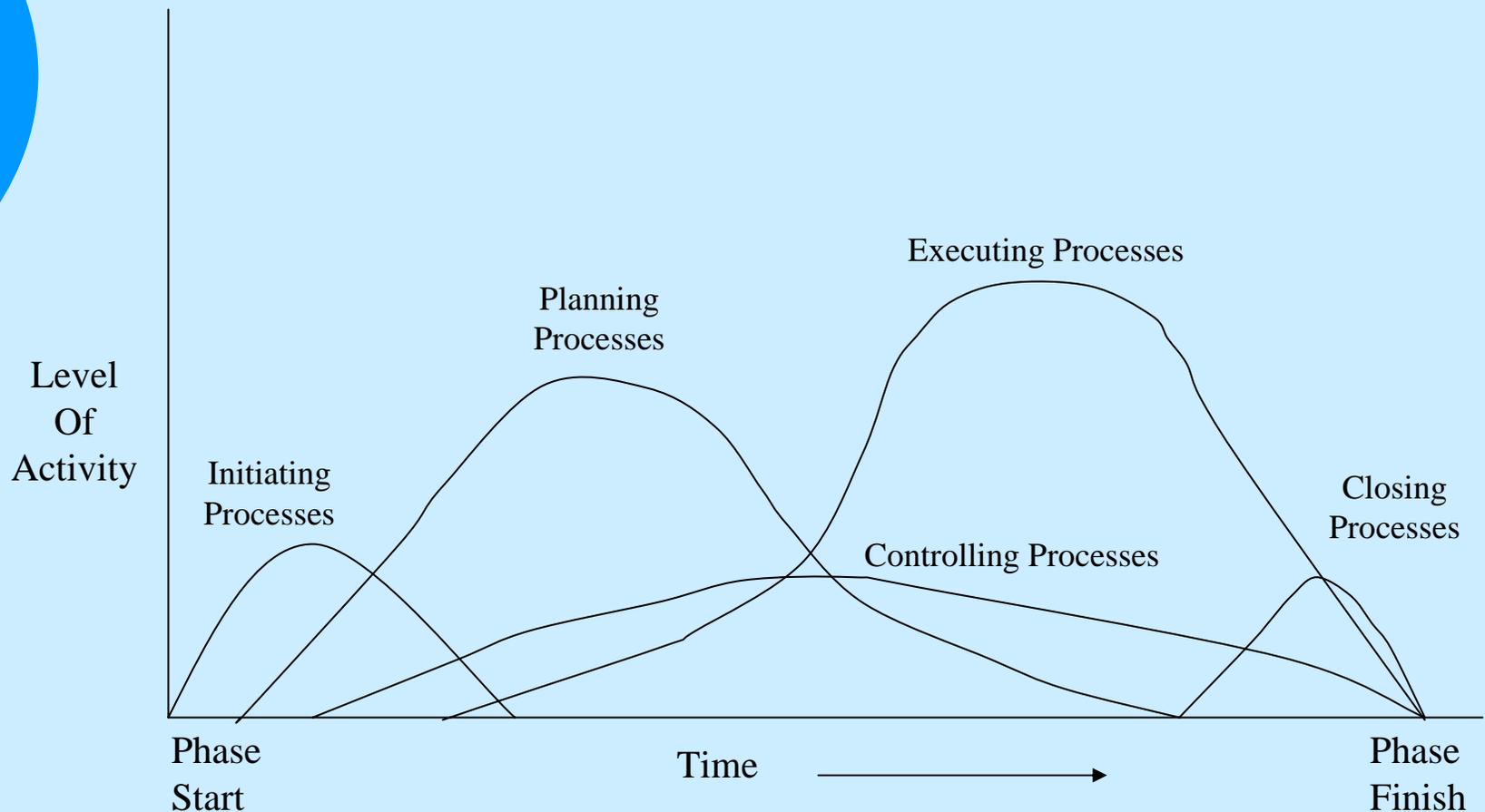


Facilitating Planning Processes





Overlap of Processes





Project Environment



Project Phases and Life Cycles



- Organizations performing projects will usually divide each project into several *project phases* to improve management control and provide links to the ongoing operations of the performing organization. Collectively, *project phases* are known as *project life cycle*.
- The *project life cycle* serves to define the beginning and the end of a project.
- Each *project phase* is marked by completion of one or more deliverables:
 - › Tangible
 - › Verifiable work product such as feasibility study
 - › A detail design or a working prototype.



Project Phases and Life Cycles (cont'd)



- The conclusion of a *project phase* is generally marked by a review of both key deliverables and project performance to date, to:
 - Determine if project should continue into its next phase.
 - Detect and correct errors in a cost effective manner.



The Project Team

- The project team manages the work of the projects, and this work typically involves:
 - › Competing demands for resources, time, and cost
 - › Review of scope changes, risks, and quality needs
 - › Stakeholders with differing needs and expectations
 - › Identified requirements
- Many processes in the project management are iterative in nature. This is in part due to the existence and the necessity for progressive elaboration in a project throughout the project life cycle:

The more you know about your project, the better you are able to manage it.



Stakeholders

- *Project Stakeholders* are individuals, and organizations that are actively involved in the project, or whose interest may be positively or negatively affected as a result of project work; they may also exert influence over the project and its results.
- The Project Management Team Must:
 - › Identify the stakeholders
 - › Determine their requirements
 - › Manage and influence those requirements to ensure a successful project



Key Stakeholders Include



- *Project Manager* - Individual responsible for managing the project.
- *Customer* - Individual or organization that will use the project's product.
- *Performing Organization* – Enterprise whose employees are most directly involved in doing the work of the project.
- *Project team members* - The group that is performing the work of the project.
- *Sponsor* - Individual or group within or external to the performing organization that provides the financial resources, in cash or in kind, for the project.



Other Stakeholders

- Internal and External
- Owners and Funders
- Sellers and Contractors
- Team Members and their Family
- Government Agencies and Media Outlet
- Individual Citizens
- Temporary or Permanent Lobbying Organization
- Society at Large



Organizational Influences



- Projects are typically part of an organization larger than the project
- Projects are influenced by the organization(s) that set them up
- The maturity of the organization with respect to its project management systems, culture, style, organization structure, and project management office can also influence the project



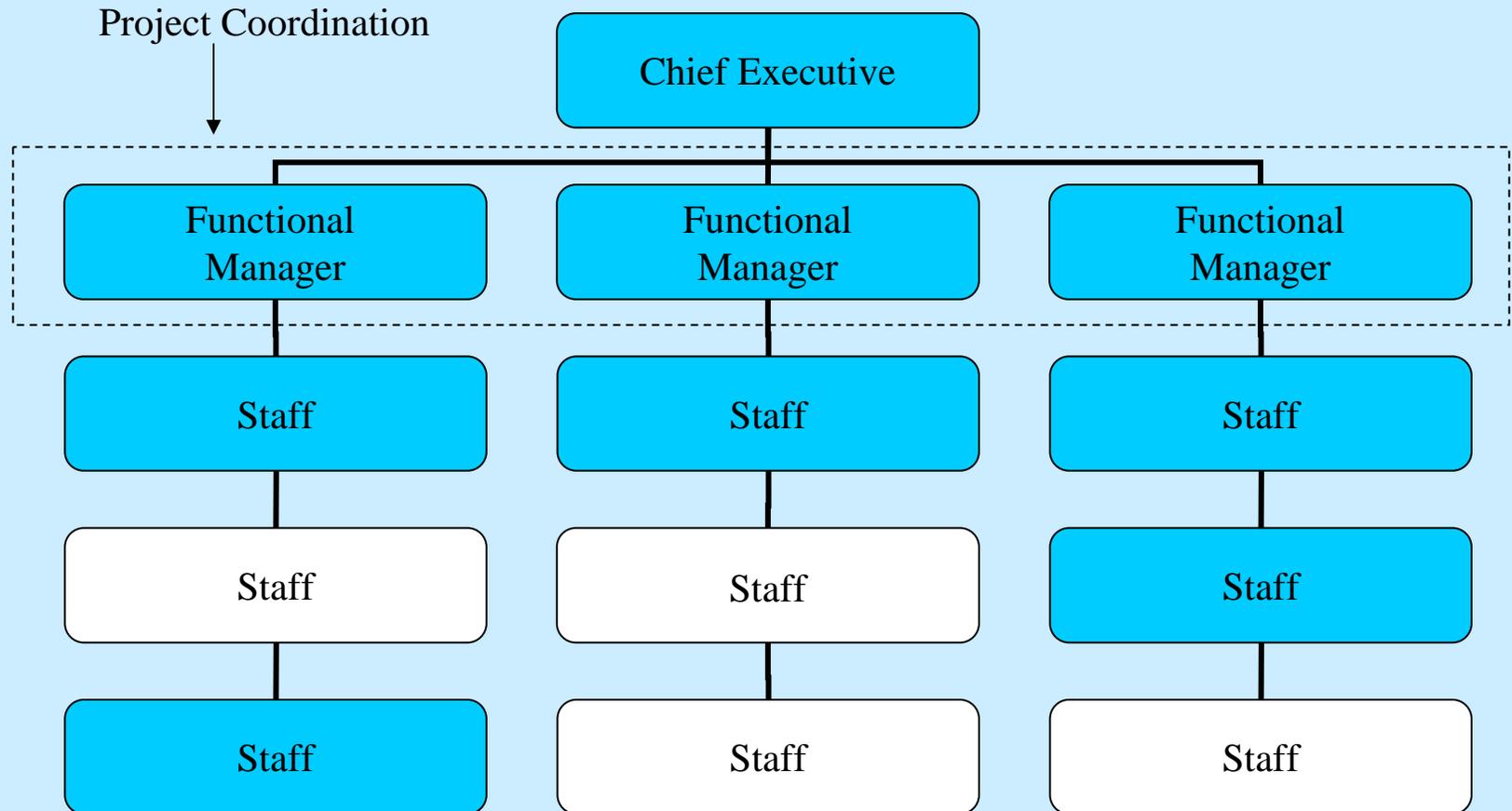
Organizational Structure



- *Functional Organization*
- *Projectized Organization*
- *Weak Matrix Organization*
- *Balanced Matrix Organization*
- *Strong Matrix Organization*
- *Composite Organization*

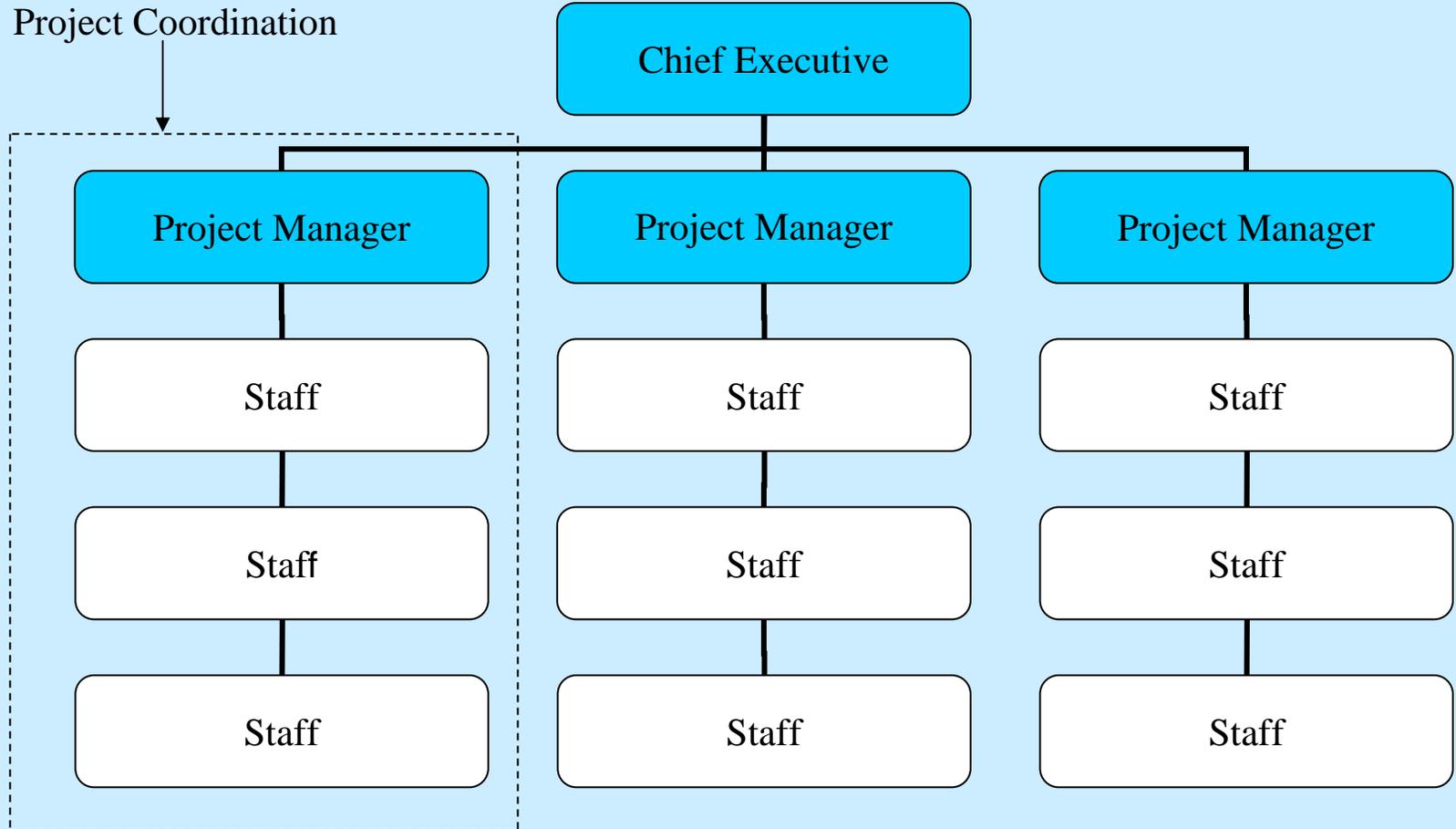


Functional Organization



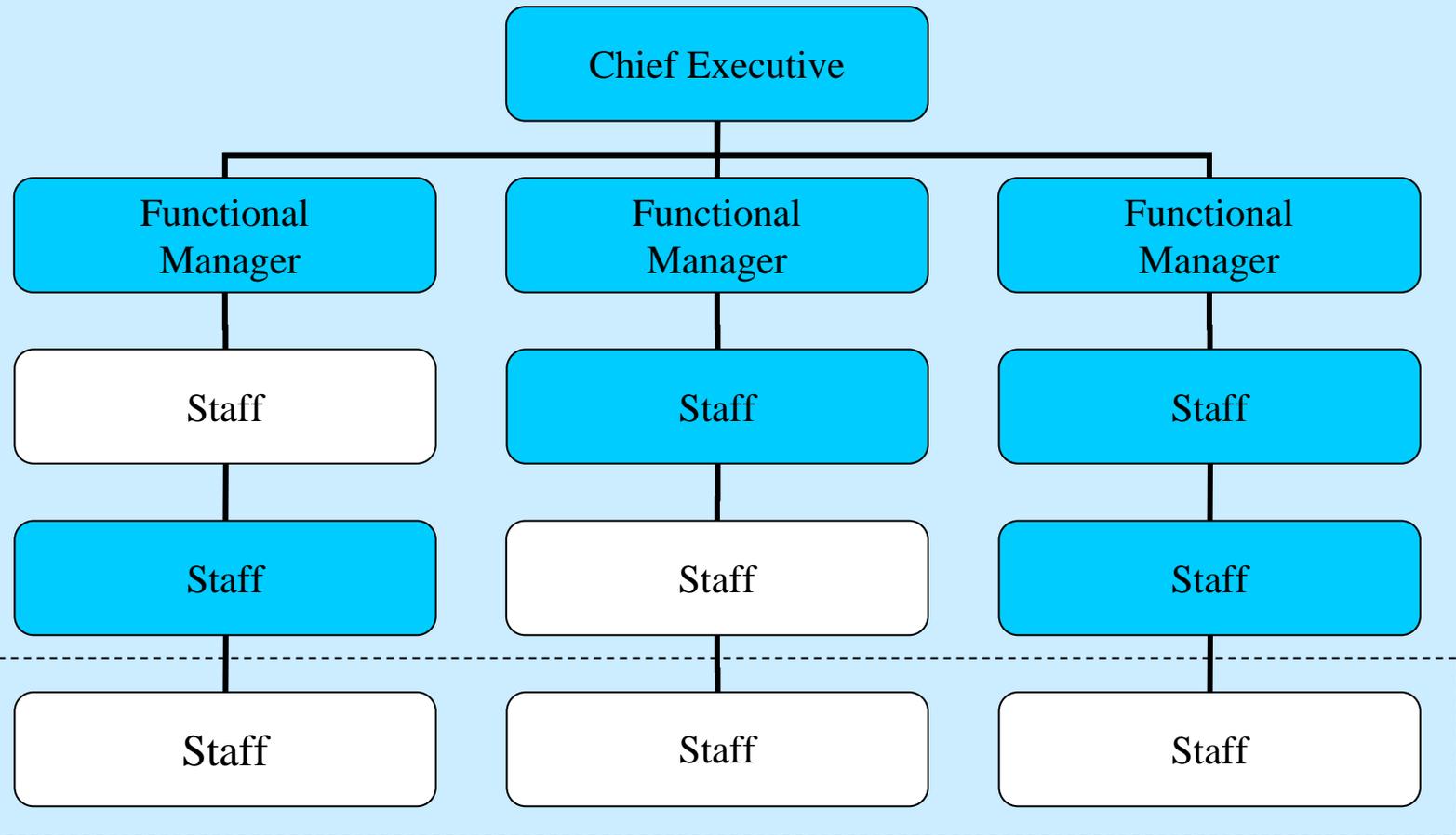


Projectized Organization





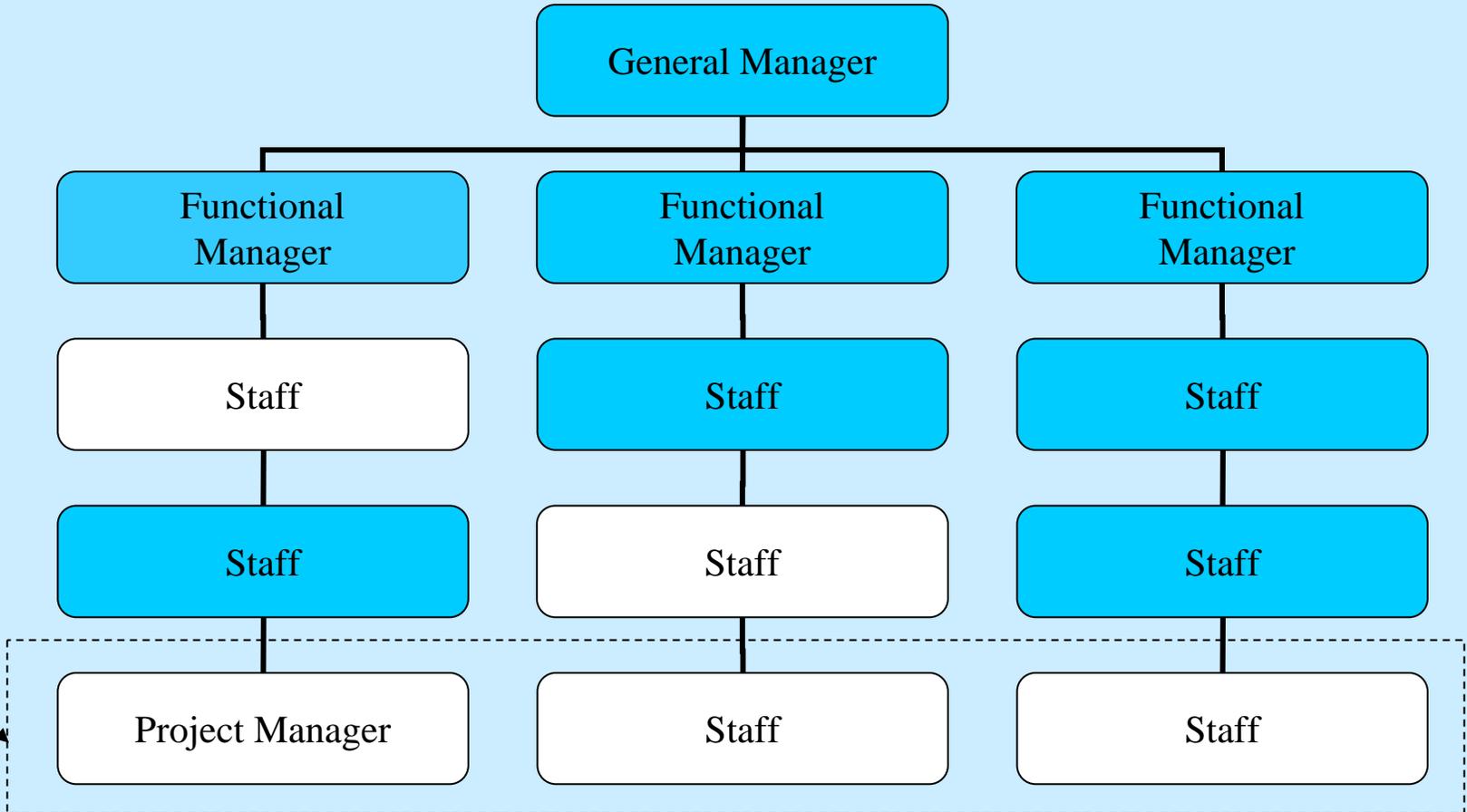
Weak Matrix Organization



Project Coordination

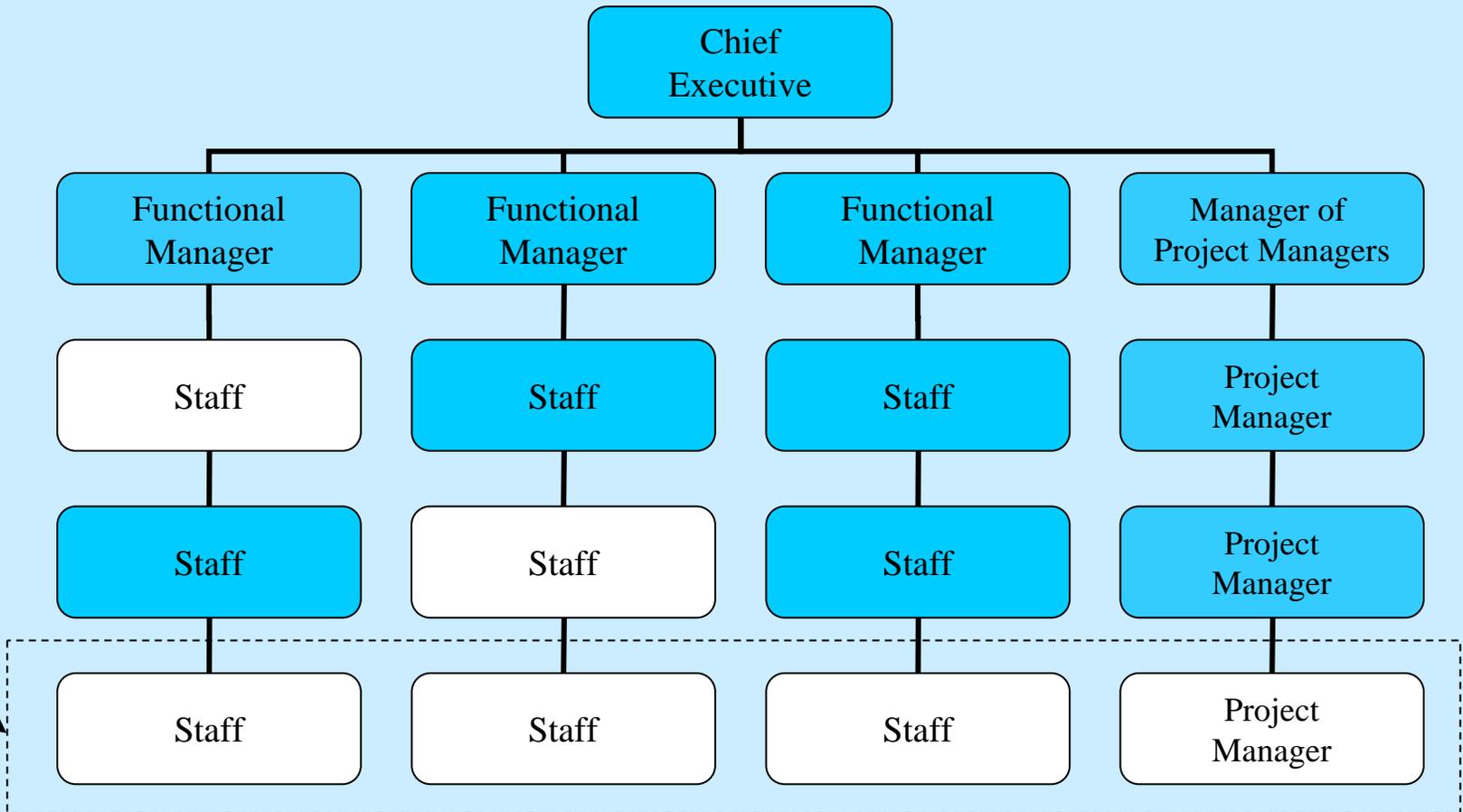


Balanced Matrix Organization





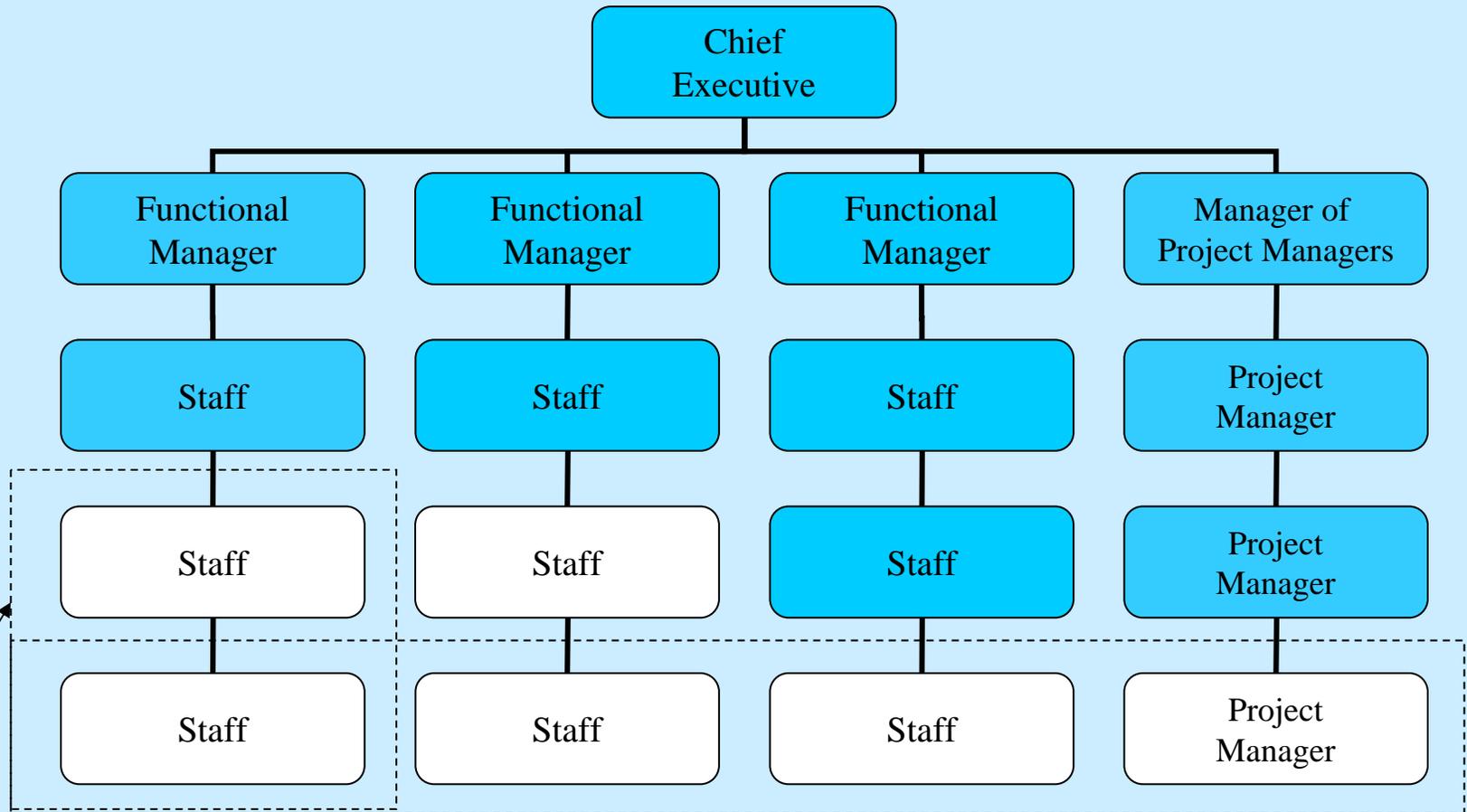
Strong Matrix Organization



Project Coordination



Composite Matrix Organization



Project B
Coordination

Project A
Coordination



Influence of Organizational Structure on Projects



Org. Type Proj. Char.	Functional	Matrix			Projectized
		Weak	Balanced	Strong	
PM's Authority	Little or None	Limited	Low to Moderate	Moderate to High	High to Almost Total
% of personnel assigned full-time To Project Work	Virtually None	0 – 25%	15 – 60%	50 – 95%	85 – 100%
PM's Role	Part-time	Part-time	Full-time	Full-time	Full-time
Titles for PM	Project Coordinator/ Leader	Project Coordinator /Leader	Project Manager/ Officer	Project/ Program Manager	Project/ Program Manager



When are Projects Considered Successful?



- Projects are considered to be successful when:
 - ✓ Completed on time
 - ✓ Within budget
 - ✓ Attain expected results
 - ✓ Meet stakeholders' approval



Essential Factors for Project Success



- Agreement among shareholders and project team on the goals of the project.
- Adequate supply of resources provided by the management for the project.
- Effective communication between the project team members and with the stakeholders.



Traits of a Successful Project Manager



- Ability to plan
- Ability to gain consensus among diverse groups
- Ability to communicate effectively
- Ability to manage exceptions and surprises

Project Manager's primary task is to monitor progress, identify obstacles, and keep project on track.



Reasons Why Projects Fail



- Unclear project scope and objectives
- Insufficient resources
- Not enough time to complete activities
- Scope changes
- Disagreement among stakeholders



Assignment 1



Development of the National Strategy of Energy in Albania

Instructions: Please explain how the National Energy Strategy was successfully developed including:

- (i) The processes used (initiation, planning, executing, control, modifications)
- (ii) Establishment of the task force/teams
- (iii) Data collection and elaboration
- (iv) Securing support of the National and regional Governments
- (v) How the program was managed (time, cost, quality)
- (vi) Stakeholder participation



Assignment 2

Organizational structure and processes used for the implementation of programs

Instructions: Please provide an analysis of the organizational structure that you are part of including the following points:

- (i) What do you believe are the strengths and weaknesses of your organization?
- (ii) How are programs initiated within your organization?
- (iii) Of the program planning processes discussed during this module, which of the planning processes do you believe your organization does apply? Which additional processes do you believe your organization should apply?



Assignment 2

Organizational structure and processes used for the implementation of programs

Instructions: Please provide an analysis of the organizational structure that you are part of including the following points:

- (iv) What do you believe are the best tools that your organization uses when implementing and monitoring programs?
- (v) What do you believe are the best processes that your organization uses for controlling a project?
- (vi) What process is used by your organization for ending programs?



Workshop on Program Management: Planning, Monitoring, and Control



Module III: Program Planning and Formulation



Contents

1. Establishing Program Objectives
2. Defining the Scope of Work/Terms of Reference
3. Program Formulation
4. Program Revisions
5. Example – Implementation of National Energy Database
6. Assignment



1. Establishing Program Objectives



- Objectives are the goals and the desired results of a program.
- Objectives refer to the achievement that we are hoping to accomplish by implementing a program.
- A program is a sequence of tasks, schedules and activities which, when completed, will result in achieving the objective.



1. Establishing Program Objectives (cont'd)



- Objectives should be specific and clearly stated.
- Objectives should be realistic and attainable.
- Objectives should be based on what can be accomplished within the available budget, resources and the scheduled timeframe.
- Objectives should contain a time component and a target completion date.



1. Establishing Program Objectives (cont'd)



- Objectives must be measurable.
- Objectives should be prepared, reviewed, and approved by all of the program stakeholders and the team members.
- Objectives must include a clear definition of responsibilities for each of the task team members and for the program stakeholders.



1. Establishing Program Objectives (cont'd)



Examples

1. Consolidation of the electrical distribution zones into a smaller number by June 30, 2003. The responsible institution to perform this program is KESH.
2. Development of a legal framework to encourage the formation of independent electric power producers by July 31, 2003. The responsible institutions are the Ministry of Industry and Energy (MI&E), the regulatory agency ERE, and the electric utility KESH.



1. Establishing Program Objectives (cont'd)



Examples

3. Preparation of a distribution of a transmission code by April 1, 2004 by ERE, KESH, and MI&E.
4. Approval of the legal act for the consolidation within MI&E of all issues regarding energy policies, including all energy institutions formerly under MEPP. Completed on August 15, 2002.



1. Establishing Program Objectives (cont'd)



Examples

5. Preparation and approval of regulations for the process of demand filing and addressing different tariff proposals. Completed on September 30, 2002.
6. Preparation of contemporary forecast of the energy demand within the framework of the National Strategy of Energy. Completed on March 31, 2003.



1. Establishing Program Objectives (cont'd)



First Year Results

- Almost 75% of the scheduled objectives were completed
- The rest were carried over into the Second Year



2. Defining the Scope of Work / Terms of Reference



The Scope of Work, or Terms of Reference (ToR) as it is frequently called, is an integrated set of purposes, components, roles, resource requirements, duration, and authorities that define a program. It is the basic document guiding the program formulation and bid evaluation.



2. Defining the Scope of Work / Terms of Reference (cont'd)



- ❑ The Scope of Work (SOW) document consists of the following:
 - Purpose and Program objectives
 - Statement of Work to be performed (program components)
 - Specification requirements (example: hardware)
 - Expected results (deliverables and milestones)
 - Budget limitations
 - Schedule requirements
 - Reporting procedures and timeframes



2. Defining the Scope of Work / Terms of Reference (cont'd)



□ Importance of the SOW

- It is used as a basis to determine whether the program is satisfactorily completed.
- It is useful in identifying changes to the program in terms of the work to be performed, unexpected constraints, changes in cost, and changes in the schedule.
- The statement of work to be performed is used to determine the resources required, the program schedule, and the budget.



3. Program Formulation



- Expected Results of Program Formulation
- Program Formulation Components
- Program Management Tools
- Program Approval Process



3. Program Formulation (cont'd)

- The Expected Results of a Program Formulation Include:
 - The set of documents which describe the scope of work
 - The list of activities to be performed
 - The assignment of responsibilities
 - The resources required
 - The schedule
 - The budget



3. Program Formulation

- Program Formulation Components
 - List of tasks, activities and responsibilities
 - Resources required including budgets
 - Program implementation plan
 - Program monitoring and reporting arrangements



3. Program Formulation (cont'd)

- List of Tasks, Activities and Responsibilities
 - The list of tasks is called a Work Breakdown Structure (WBS)
 - The list should be prepared by the people who are going to do the work
 - Each task should be divided into sub-tasks to allow for closer monitoring



3. Program Formulation (cont'd)



- ❑ Each task must include an estimate of:
 - ✓ The time required to complete the activity
 - ✓ The name(s) of the people assigned to do the work
 - ✓ The external restraints
 - ✓ The list of required preceding tasks



3. Program Formulation (cont'd)

- Resources Required Including Budgets
 - For each program task an estimate should be made of:
 - ✓ The resources required
 - ✓ The cost to complete each task



3. Program Formulation (cont'd)

- Program Implementation Plan
 - Work Plans
 - Network and Flow Diagrams
 - Schedule
 - Milestones
 - Implementation Structure



3. Program Formulation (cont'd)

- Work Plan lists the following:
 - The tasks that are to be completed
 - The individuals who are responsible to do the work
 - The time estimates to complete the tasks
 - The target completion dates



3. Program Formulation (cont'd)

- Network and Flow Diagram
 - Formats are:
 - ✓ The Gantt Chart
 - ✓ The Critical Path Method (CPM)
 - ✓ Program Evaluation Review Technique (PERT)
 - ✓ Excel, Word, etc. formats



3. Program Formulation (cont'd)

- Schedules
 - The schedule contains the timeframes, including the start and finish dates for each task
 - The schedule is used to determine resource requirements and costs for each task



3. Program Formulation (cont'd)

- Milestones
 - These dates represent the start or completion date of major tasks or events as identified by the program team
 - These milestones are used as overall measures of progress of the program



3. Program Formulation (cont'd)

- Implementation Structure
 - There are five steps in the implementation of a program:
 1. Initiation
 2. Planning
 3. Execution
 4. Control
 5. Closing



3. Program Formulation (cont'd)

- Program Monitoring and Reporting Arrangements
 - Conduct Progress Review Meetings to Assess the Progress of the Program
 - Identify Problems and Issues
 - Evaluate the Impact on the Program Scope, Cost, and Budget
 - Determine Corrective Actions to be Taken



3. Program Formulation (cont'd)



Monitoring and Reporting

- Monitoring will include:
 - ✓ An Assessment of the Completion of the Milestones/Indicators
- Reporting Format should include:
 - ✓ Comments on Completed Tasks
 - ✓ Problems and Issues
 - ✓ Recommended Corrective Action



3. Program Formulation (cont'd)

■ Program Management Tools

- Program Approval and Authorization
- Scope Document
- Excel Planning Sheet
- Excel Monitoring Sheets
- Monitoring Fiches
- Scope Change Document
- ✓ Program Review Meeting Agenda
- ✓ CPM's
- ✓ Gantt Charts
- ✓ Cost Estimating
- ✓ Cost Tracking
- ✓ Project Acceptance



3. Program Formulation (cont'd)



Program Management Procedures Manual

- Procedures
- Instructions
- Forms
- Policies
- Policy Numbering System
- Filing System
- Communication Process
- Responsible Parties

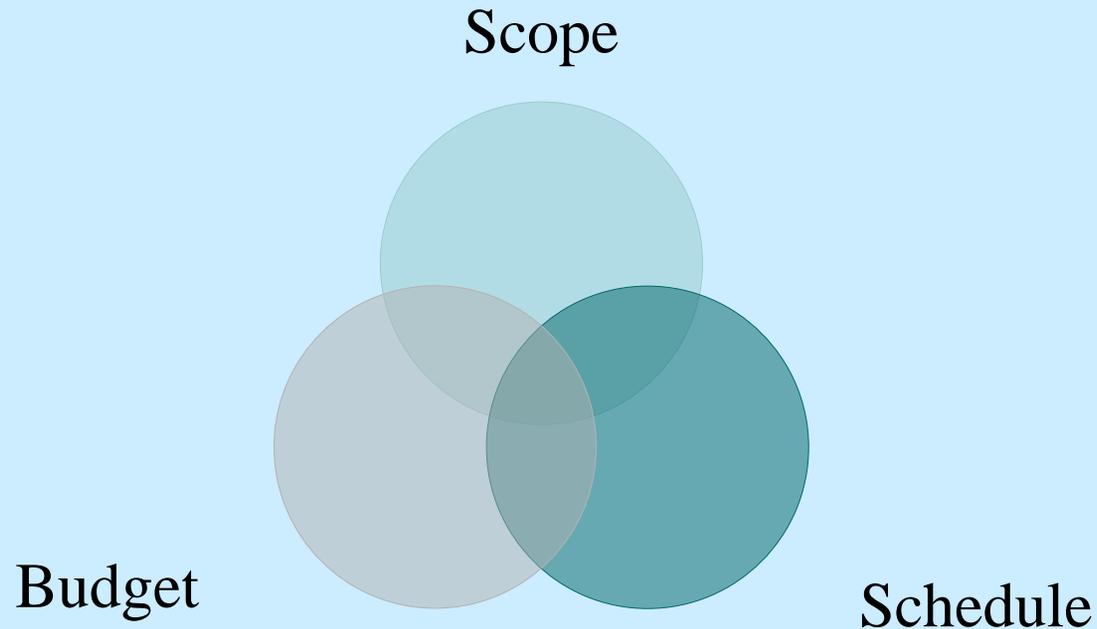


3. Program Formulation (cont'd)

- Program Approval Process
 - When the Scope of Work Document (in its entirety) is complete, the document should be circulated for approval by the authorized authorities/institutions
 - The final approved document will serve as a basis for the monitoring process



4. Program Revisions



These items are all inter-related and if you change one it will impact the other two.



5. Example – Implementation of National Energy Database



Program Objective

To establish a database system and procedures to collect, elaborate, monitor and measure energy usage data on the national and district levels in Albania by June 30, 2005



5. Example – Implementation of National Energy Database (cont'd)



□ Scope of Work

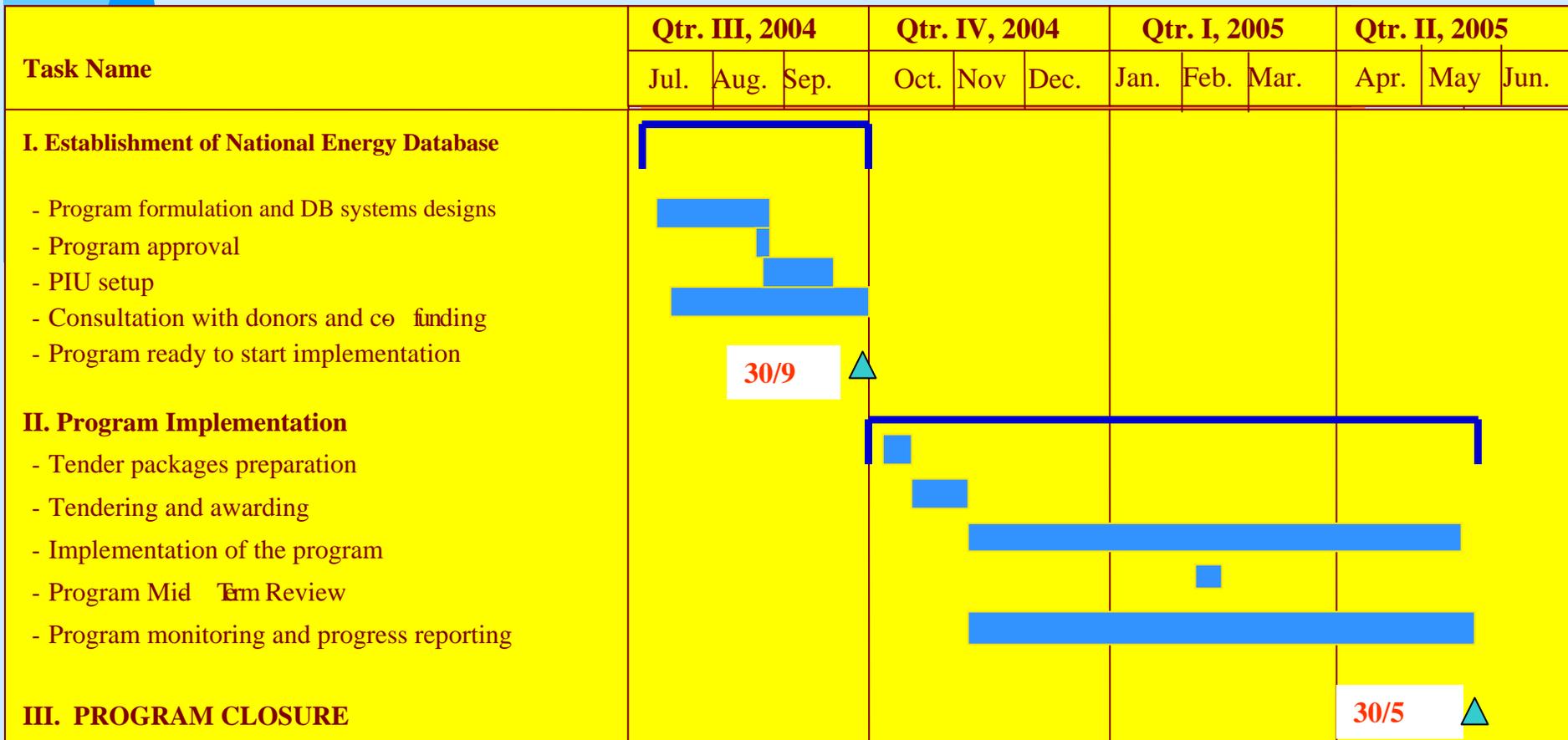
- The purpose of this activity is to provide a data base system on energy usage for reference in projecting future energy demand and to provide input for use in planning for the future regional market.
- The scope of this activity includes:
 - ✓ The design, purchase, installation, and implementation of an energy data base system consisting of data collection points, metering, and a reporting system.



5. Example – Implementation of National Energy Database (cont'd)



A Sample Gantt Chart





5. Example – Implementation of National Energy Database (cont'd)



A Sample Excel Chart

Task

Albania Power Sector Policy Statement Task Force Secretariat Monitoring System								
Activity: Establishment of the National Energetic Data Base System(DBS) disaggregated to the regional level.								
Schedule Start:			Schedule Complete:					
Task No.	Major Task Description	Responsible People	Duration (Days)	Preceding Tasks	Scheduled Start Date	Scheduled Finish Date	Problems/ Conflicts	Recommended Action
1	Design Scope for Energy DBS in Albania							
2	DBS Specification Design							
3	Database Design							
4	Management Implementation Plan							
5	Government Programing and Approvals							
6	Identify and Receiving Funding							
7	Procurement Plan							
8	Installation DBS							
9	Testing DBS							

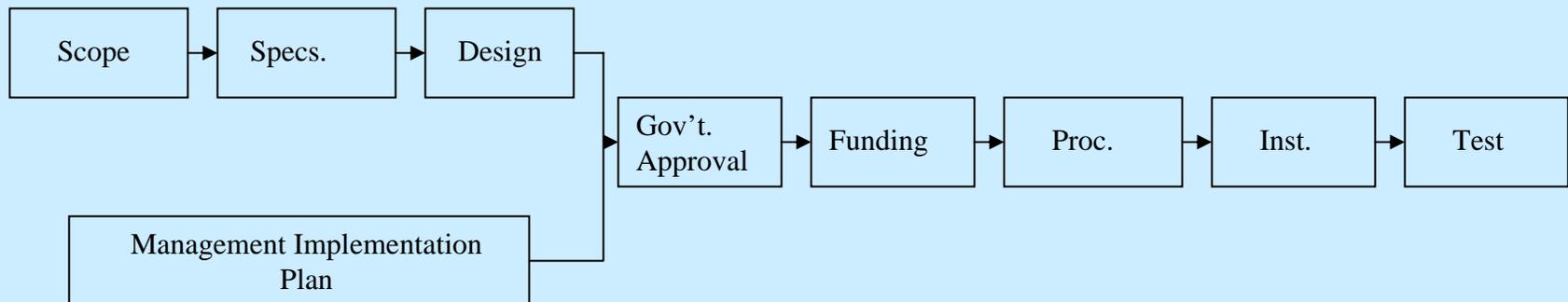
Key Task Milestones



5. Example – Implementation of National Energy Database (cont'd)



CPM Network Diagram #1: Key Milestones





5. Example – Implementation of National Energy Database (cont'd)



A Sample Excel Chart for Subtasks

Sub-Task

Albania Power Sector Policy Statement Task Force Secretariat Monitoring System								
Activity: Management Implementation Plan								
Schedule Start:			Schedule Complete:					
Task No.	Sub-Task Description	Responsible People	Duration (Days)	Preceding Tasks	Scheduled Start Date	Scheduled Finish Date	Problems/Conflicts	Recommended Action
4a	Determine Organization Chart							
4b	Schedule and Budgeting							
4c	Implementation							
4d	Operations Recruitment							
4e	Operations Training							
4f	System Execution							
4g	Quality Assurance and Review							

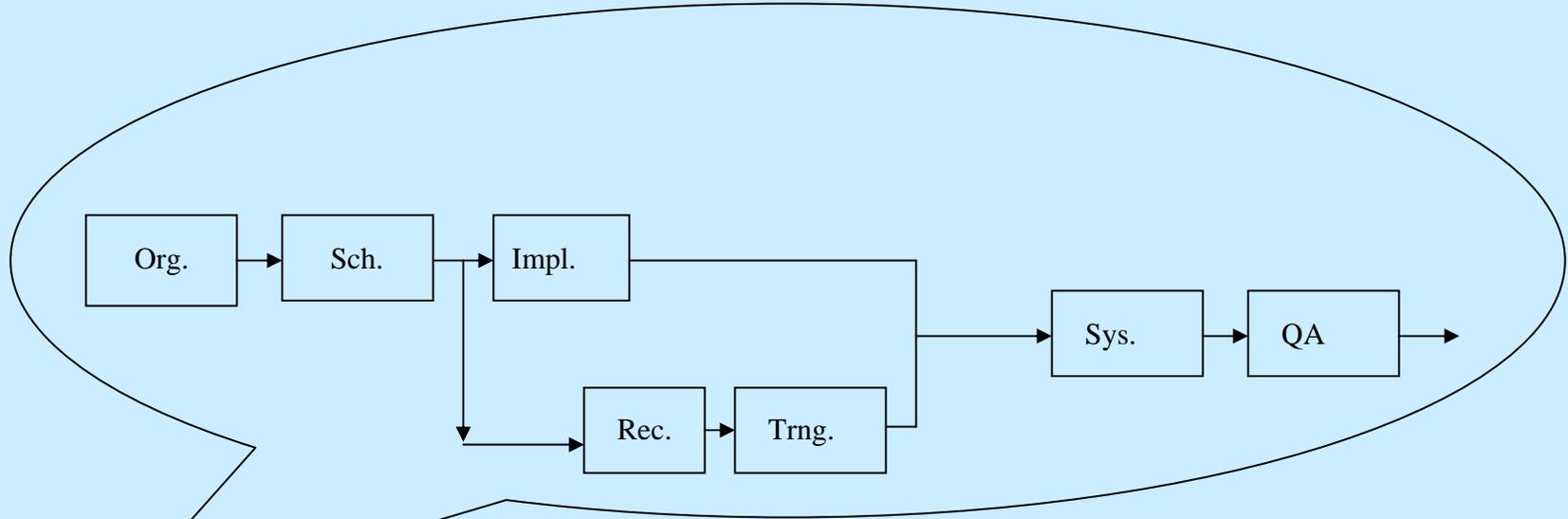
Key Sub Task Milestones



5. Example – Implementation of National Energy Database (cont'd)



CPM Network Diagram #2



Management
Implementation Plan



5. Example – Implementation of National Energy Database (cont'd)



A Sample Excel Chart for Sub-Sub Tasks for Milestone 4a

Sub-Sub Task

Albania Power Sector Policy Statement Task Force Secretariat Monitoring System								
Activity: Determine Organization Chart								
Schedule Start:			Schedule Complete:					
Task No.	Sub-Sub Task Description	Responsible People	Duration (Days)	Preceding Tasks	Scheduled Start Date	Scheduled Finish Date	Problems/Conflicts	Recommended Action
4a-1	Define Position Descriptions							
4a-2	Interview Process							
4a-3	Candidate Selection Process							
4a-4	Design Appraisal Process							
4a-5	Determine Salary Grades							
4a-6	Recognition Programs							

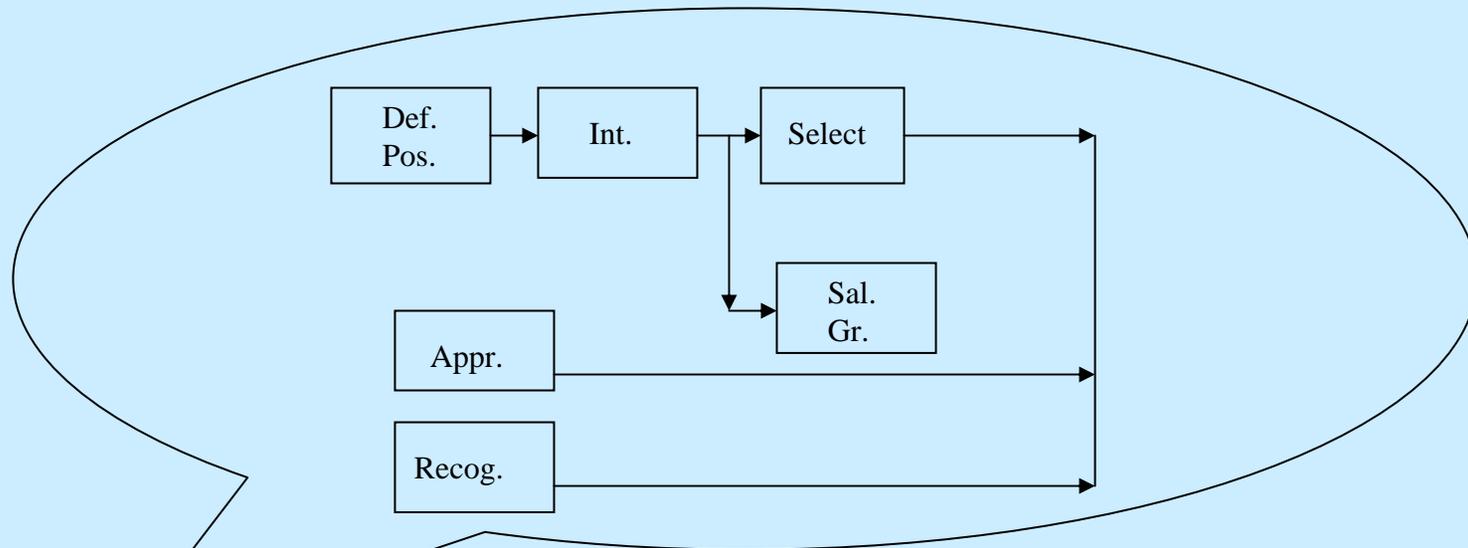
Key Sub-Sub Task Milestones



5. Example – Implementation of National Energy Database (cont'd)



CPM Network Diagram #3



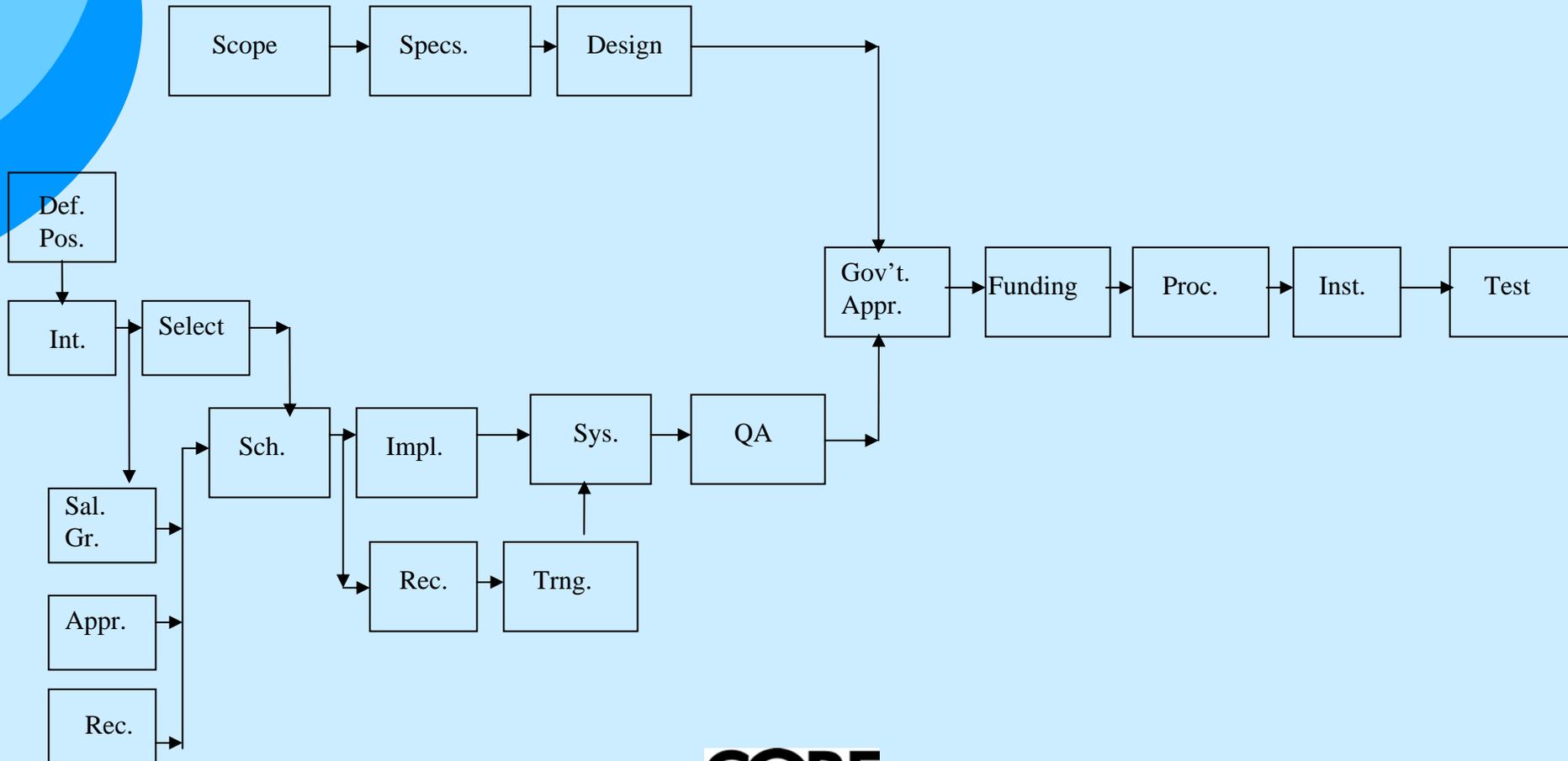
Organization



5. Example – Implementation of National Energy Database (cont'd)



CPM Network Diagram #4





5. Example – Implementation of National Energy Database (cont'd)



Software Programs For Project Management

- Excel (most relevant at this time)
- Artemis Management Systems
- Microsoft Project
- Primavera Project Planner





6. Assignment

Prepare a program formulation process for a “National Program to Promote the Use of Solar Energy for Hot Water in Households, Social, and Service Sectors”



6. Assignment (cont'd)

Your program formulation process should include:

1. Establishment of Objectives
2. Define the SOW/TORs (components and tasks)
3. Design a Work Plan (milestones and deliverables)
4. Design a Budget
5. Define Monitoring and Requirements



6. Assignment (cont'd)

Albania Power Sector Policy Statement Task Force Secretariat Monitoring System								
Activity: Promotion of solar energy use for preparation of hot water in households and service sector.								
Schedule Start:			Schedule Complete:					
Task No.	Major Task Description	Responsible People	Duration (Days)	Preceding Tasks	Scheduled Start Date	Scheduled Finish Date	Problems/Conflicts	Recommended Action
1								
2								
3								
4								
5								
6								
7								



Workshop on Program Management: Planning, Monitoring, and Control



Module IV: Program Implementation Process



Contents



1. Program Logical Cycle
2. Five Processes of Program Management
3. Program Office, Functions, and Responsibilities
4. Establishing Lines of Communication
5. Program Implementation – The Work Plan
6. Resolution of Potential Conflicts
7. Program Monitoring and Reporting
8. Lessons Learned
9. Final Program Review
10. Example – Implementation of National Energy Database
11. Assignment



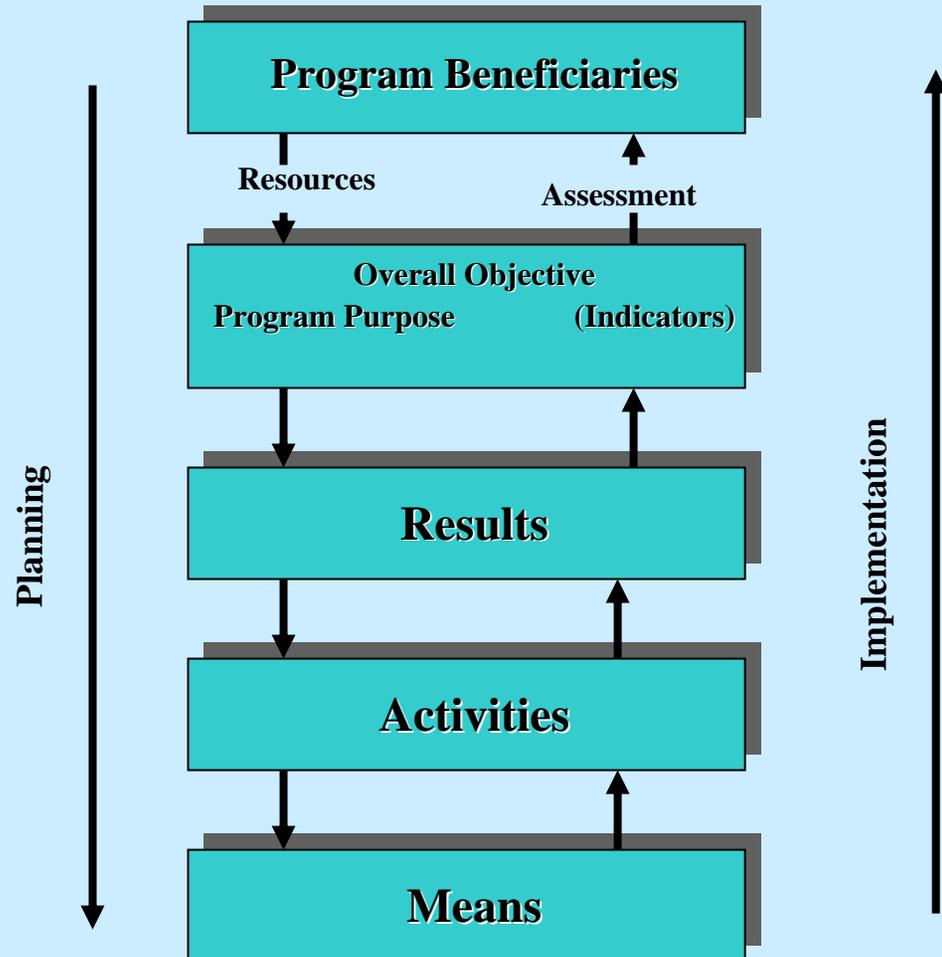
1. Program Logical Cycle

WHY and BY WHOM is the project needed?

WHAT IMPROVED SITUATION will the project bring about? (How to measure the improvement?)

WHAT are the concrete **PRODUCTS** ?

WHAT INPUTS are needed?

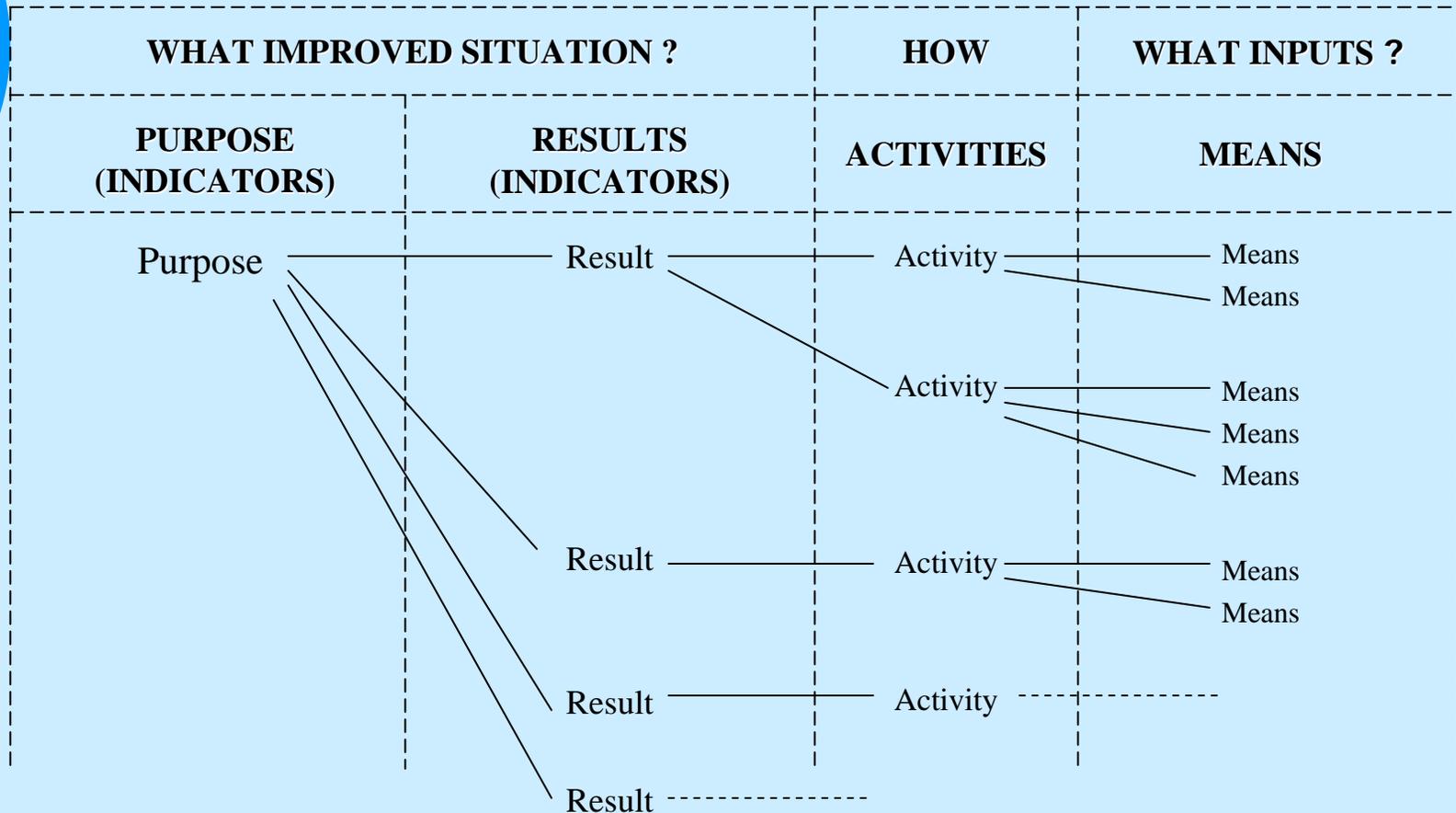




1. Program Logical Cycle (cont'd)



Summary: Program Logic





1. Program Logical Cycle (cont'd)



The Program Logical Framework Format

	Intervention Logic	Objectively Verifiable Indicators	Sources of Verification	Assumptions
Overall Objectives				
Project Purpose				
Results				
Activities				
		Means	Costs	
				Preconditions



2. Five Processes of Program Management



1. Program Initiation
2. Planning
3. Executing/Implementing
4. Control
5. Closing



2. Five Processes of Program Management (cont'd)



□ Program Initiation

- ✓ Defining goals and desired results
- ✓ Defining the program scope
- ✓ Selecting members of the program team
- ✓ Preparation of a SOW/ToRs
- ✓ Establishing communication channels and the chain of command



2. Five Processes of Program Management (cont'd)



□ Program Planning

- ✓ Listing the tasks and activities that need to be done to achieve the project goals
- ✓ Sequencing the activities
- ✓ Developing a schedule
- ✓ Developing a budget
- ✓ Getting plan approval from the stakeholders



2. Five Processes of Program Management (cont'd)



- ❑ **Program Implementation / Execution**
 - ✓ Establish the leadership
 - ✓ Organize the team for optimum performance
 - ✓ Institute operating guidelines
 - ✓ Obtaining resources (money, people, and equipment)
 - ✓ First meeting and program kickoff – get project members in synch and enthused
 - ✓ Execute actions and activities
 - ✓ Communications with stakeholders



2. Five Processes of Program Management (cont'd)



□ Program Control

- ✓ Measuring progress
- ✓ Identifying unexpected delays, cost overruns, and changes in scope: Risk Management (Identification, Quantification, Response Development, and Response Control)
- ✓ Monitoring deviations from the plan
- ✓ Taking corrective actions
- ✓ Evaluating change requests
- ✓ Rescheduling and Reassigning resources
- ✓ Scope change documentation
- ✓ Conflict resolution and problem solving



2. Five Processes of Program Management (cont'd)



- ❑ **Program Closing**
 - ✓ Acknowledging results
 - ✓ Reviewing the program/project process with team members and stakeholders
 - ✓ Projects acceptance
 - ✓ Lessons learned
 - ✓ Preparation of final report
 - ✓ Disbanding the team



3. Program Office, Functions, and Responsibilities



- ❑ Program Implementation Office - Structure
 - Dedicated office is often needed to implement the program/project
 - Program office includes facilities, staff, and resources to implement the program
 - Office structure is designed to adequately support smooth implementation and management of the program/project
 - Major positions include (i) manager, (ii) accounting and finance, (iii) procurement (iv) technical staff, and (v) administration



3. Program Office, Functions, and Responsibilities (cont'd)



- Establishing Functions and Responsibilities
 - Functions relate to implementation of program components
 - Clear functions allow for clear and appropriate procedures on program implementation
 - Responsibilities assign roles, authorities, and accountabilities among the program management and staff
 - Responsibilities should be clear and easy to monitor
 - Functions and responsibilities drive the process of program staffing – Job Descriptions



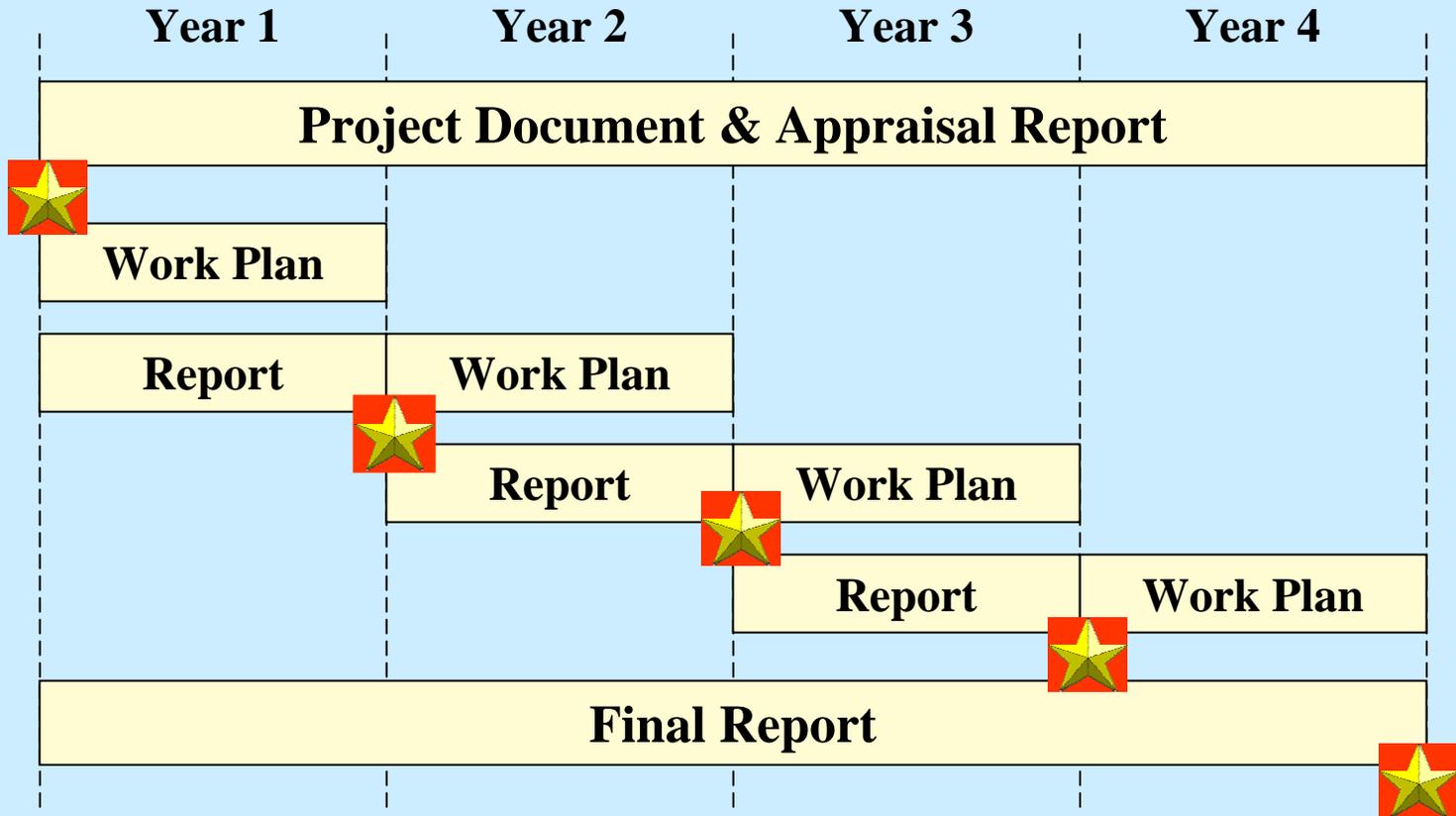
4. Establishing Lines of Communications



- ❑ **Communications Planning** – Determining the information and communication needs of stakeholders. Who needs what information? When will they need it? How will it be given to them?
- ❑ **Information Distribution** – Making needed information available to stakeholders in a timely manner.
- ❑ **Performance Reporting** – Collecting and disseminating performance information. Includes status reporting, progress measurement, and forecasting .
- ❑ **Administrative Closure** – Generating, gathering, and disseminating information to formalize phase of program completion.



5. Program Implementation – The Work Plan



Time of approval by decision-making body



What a supervisor?



5. Program Implementation – The Work Plan (cont'd)



- A Work Plan is:
 - A description of the planned stages of the development process by the end of the planning period
 - An agreement on detailed schedule of activities and resources needed for project implementation
 - An agreement on the division of responsibilities among the project team
 - A basis for project monitoring (self-assessment) and reporting
 - A basis for financial planning (e.g. annual budgeting)
 - An opportunity for a participatory planning process



6. Resolution of Potential Conflicts



- ❑ Conflicts are inevitable in projects – a way of life (people, priorities, or problems interfere with completing a project on time and within budget)
- ❑ People are the source of most conflicts (Intra-Personnel, Inter-Personal, Intra-Group, Inter-Group)
- ❑ Not all conflicts have a negative impact (can point to real problem and lead to better ideas for the project)
- ❑ Five basic ways to solve conflicts (Withdrawing, Smoothing, Compromising, Forcing, Confronting)



7. Program Monitoring and Reporting



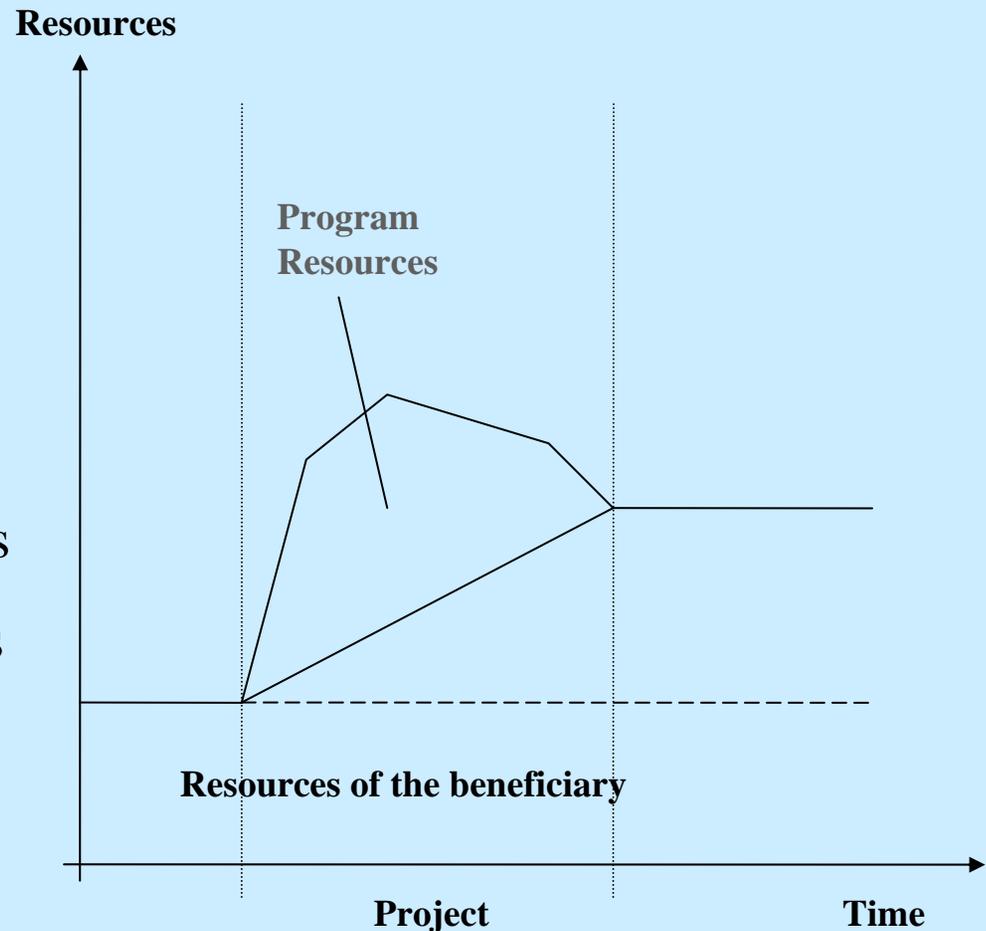
- ❑ What should be monitored:
 - The status of work being performed as compared to the plan
 - The volume of work being completed
 - The quality of work being performed
 - The costs and expenditures as compared to the plan
 - The cohesiveness and cooperation of team members
- ❑ What monitoring should accomplish:
 - Communicating program status and changes
 - Providing the justification for making changes
 - Documenting current program plans compared to the original program plans



7. Program Monitoring and Reporting (cont'd)



- ❑ Resource monitoring:
 - Human Resources
 - Economic Resources
 - Technical Resources
 - Natural Resources
 - Etc.





7. Program Monitoring and Reporting (cont'd)



Expenditure Review/Monitoring

Results	Activities	Means	Budget 
Component 1 :			
Component _ :			
			TOTAL 

You can use the Budget Format writing down the spent amounts, and compare them with the planned ones towards the activities performed.



8. Lessons Learned

Program Implementation is a Learning Process



Planning



Monitoring

Decision Making

Implementation

Implementation



9. Final Program Review

- ❑ **Final Program Review**
 - Overview of program/project
 - Summary of accomplishments
 - Achievements compared to original goals and objectives
 - Financial analysis
 - Team's performance
 - Tasks requiring further investigation



9. Final Program Review (cont'd)

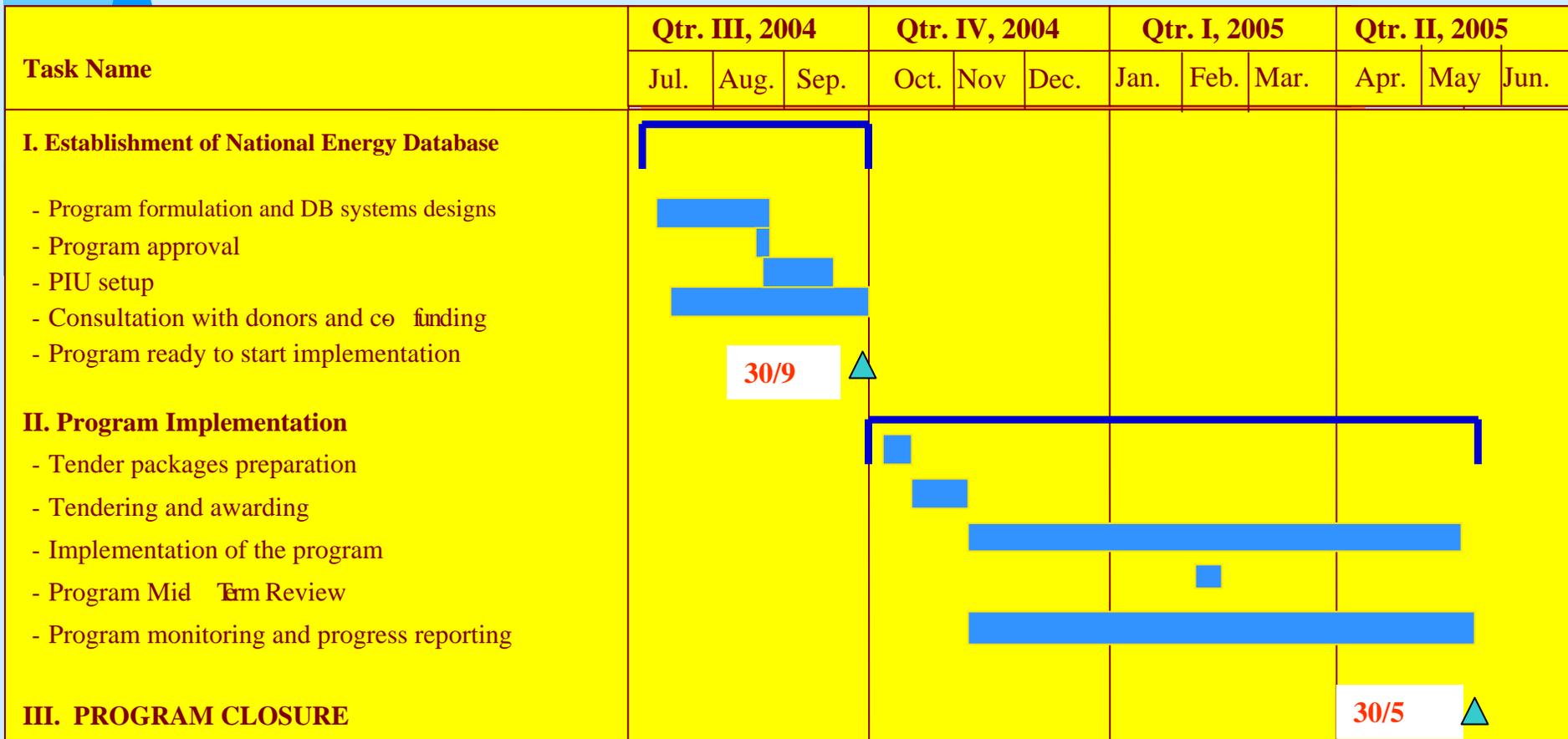
- ❑ **Final Program Review**
 - Recommendations for future programs/projects
 - Special acknowledgements
 - Conflicts and conflict resolution
 - Analysis of communication and reporting procedures
 - Analysis of program/project management process



Example: Implementation of a National Energy Database



Gantt Chart – Overall Work Plan for the National Energy Database





Example: Implementation of a National Energy Database (cont'd)



- ❑ **Program Implementing Agency** – National Agency of Energy (NAE)
- ❑ **Program Implementation Office/Unit (PIU)** – Within the NAE
- ❑ **Program Team:** Manager, Energy Specialist, Finance, and Administration
- ❑ **Program Office and Space and Equipment:** To be provided by NAE (can be supported by the program)
- ❑ **Program management and staff functions and responsibilities:** To be approved by the NAE Chairman in accordance with the Program Document



Example: Implementation of a National Energy Database (cont'd)



- ❑ **PIU Responsibilities Include:**
 - ✓ Preparation of tender package
 - ✓ Tender and contract(s) award
 - ✓ Contract(s) implementation supervision
 - ✓ Contract payments
 - ✓ Program progress monitoring and reporting
 - ✓ Program implementation quality assurance
 - ✓ Successful program closure



Example: Implementation of a National Energy Database (cont'd)



❑ Establishing Lines of Communications

- Communications Planning – PIU determines and NAE Chairman approves the information and communication needs:
 - ✓ Whom should the information be submitted to?
 - ✓ When and how should the information be presented?
- Performance Reporting – Regular performance reporting to include program status reporting and progress measurement against the work plan



Example: Implementation of a National Energy Database (cont'd)



❑ Designing a Process to Resolve Conflicts

- Remember the five basic ways to solve conflicts (Withdrawing, Smoothing, Compromising, Forcing, Confronting)
- Decide on:
 - ✓ The best approach to be used in each case – don't let the problem fester too long
 - ✓ Provide what's needed – attempt to provide what each party wants if possible
 - ✓ Work it out – mediate as a manager
 - ✓ Know when to ignore it – some problems fix themselves. Ignore problems that don't impact the program



Example: Implementation of a National Energy Database (cont'd)



- ❑ **A format for Periodic Program Reporting**
 - Program Introduction – Overview
 - Achievements and failures compared to the work plan milestones
 - Financial analysis for the given period of reporting
 - Problem tasks requiring further investigation
 - Recommendations for corrective actions
 - Other issues as may arise (analysis of communication and reporting procedures, Analysis of program management process, etc.)



Example: Implementation of a National Energy Database (cont'd)



Participants to Identify Barriers/Obstacles to the Implementation of this Program

Answers: _____



Assignment

Following the assignment of Module III, prepare an implementation process for a “National Program to Promote the Use of Solar Energy for Hot Water in Households, Social, and Service Sectors”



Instructions



Your program implementation process should include:

1. Establishment of Program
2. Implementation Office and Team
3. Program Implementation Responsibilities and Procedures
4. A System of Lines of Communications
5. A Process to Resolve Conflicts
6. A Format for Program Reporting



Workshop on Program Management: Planning, Monitoring, and Control



Module V: Program Monitoring, Evaluation, and Control



Contents



1. Program M&E – Definitions and Concepts
2. Identification of Measurable Program Indicators
3. Issues of Designing Effective Monitoring Systems for Result Oriented Processes
4. Program Review and Reporting – Designing an Effective Reporting Process
5. Participant Exercise: Improving the PSPS Implementation Monitoring Process in Albania - Interaction and Communication, Enhancing Inter-Institutional Coordination, Effective Coordination Mechanisms
6. Assignment



1. Program Monitoring and Evaluation – Definitions and Concepts



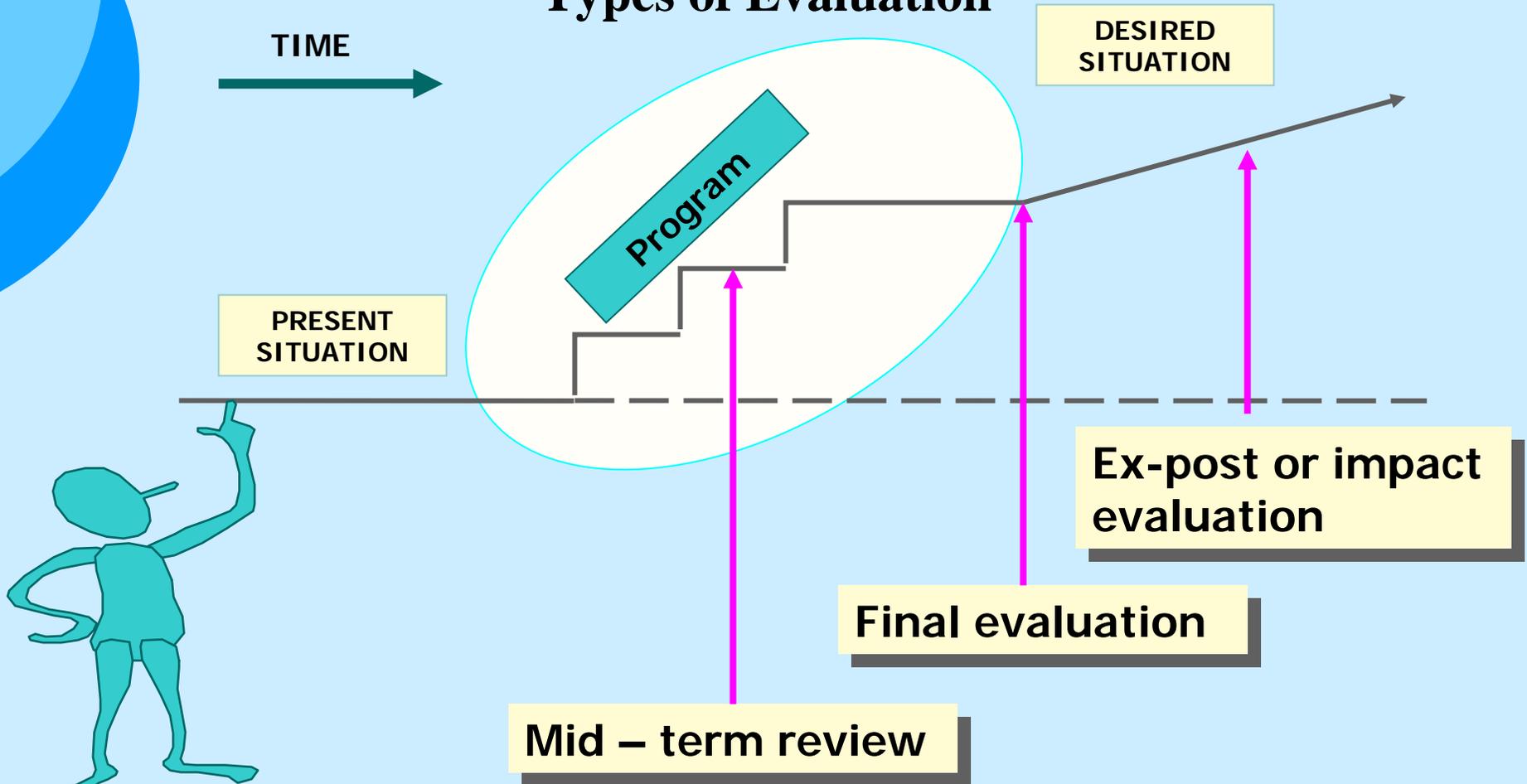
- ❑ The overall *purpose* of monitoring and evaluation (M&E) is the measurement and assessment of performance in order to more effectively manage the results
- ❑ Performance is defined as progress towards and achievement of results



1. Program Monitoring and Evaluation – Definitions and Concepts (cont'd)



Types of Evaluation

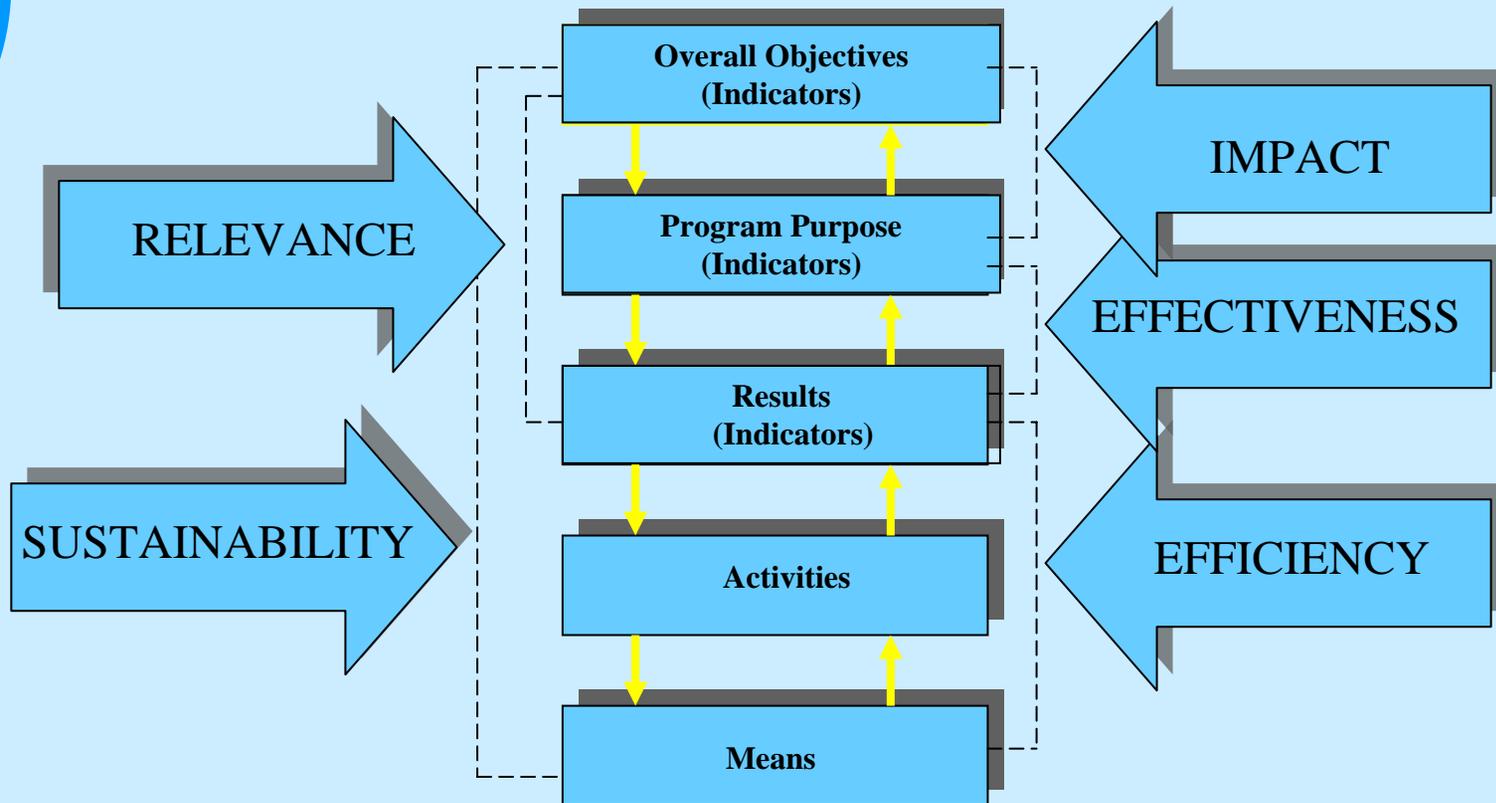




1. Program Monitoring and Evaluation – Definitions and Concepts (cont'd)



Program Logic and Evaluation Components





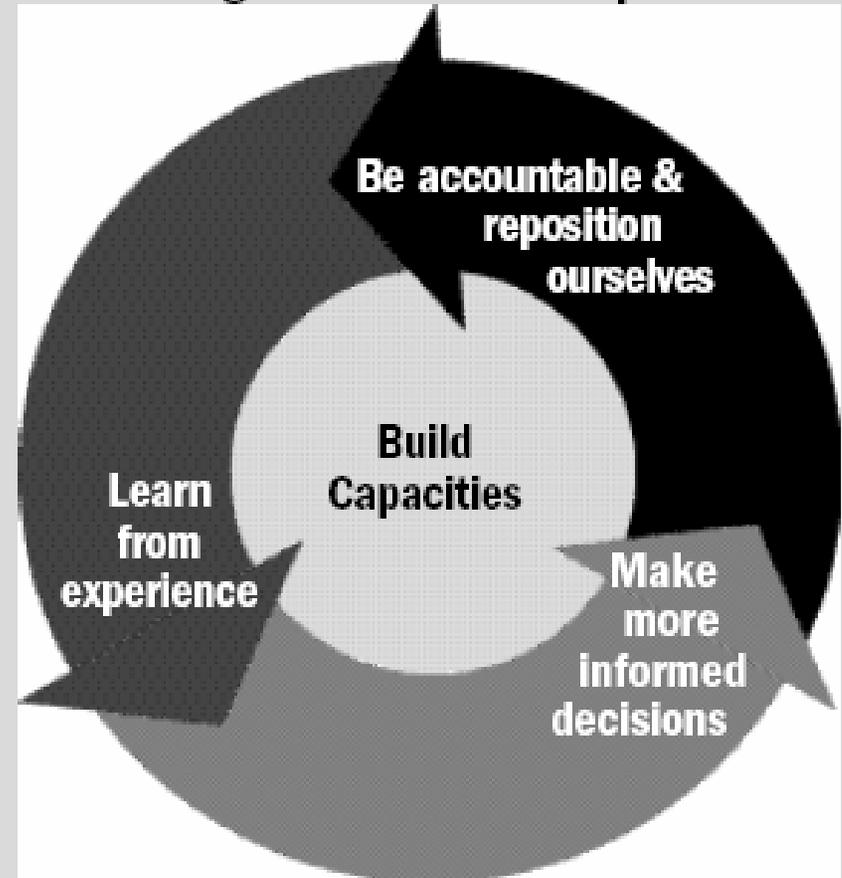
1. Program Monitoring and Evaluation – Definitions and Concepts (cont'd)



Objectives of M&E

*Source: Hand Book of
M&E, UNDP, 2002*

Monitoring and evaluation help staff to...





1. Program Monitoring and Evaluation – Definitions and Concepts (cont'd)



□ **Monitoring and Evaluation**

- Monitoring - a continuing function that aims primarily to provide the management and main stakeholders of an ongoing intervention with early indications of progress, or lack thereof, in the achievement of results
- Evaluation - a selective exercise that attempts to systematically and objectively assess progress towards and the achievement of an outcome



1. Program Monitoring and Evaluation – Definitions and Concepts (cont'd)



❑ Reporting and Feedback

- Reporting - an integral part of monitoring and evaluation. Reporting is the systematic and timely provision of essential information at periodic intervals
- Feedback - a process within the framework of monitoring and evaluation by which information is disseminated and used to assess overall progress towards results. Feedback may consist of *findings, conclusions, recommendations and lessons from experience*. It can be used to improve performance and as a basis for improved decision-making



1. Program Monitoring and Evaluation – Definitions and Concepts (cont'd)



Monitoring and Reporting

Monitoring is:

- data collection
- analysis and conclusions
- recommendations

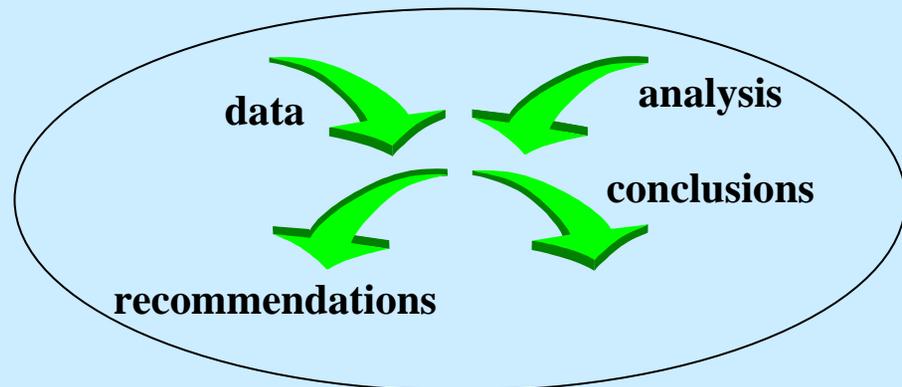
(... Involves)

- (facts)
- (interpretations)
- (judgments)



Reporting is:

- recording and presenting the results of the monitoring process = data, conclusions and recommendations





1. Program Monitoring and Evaluation – Definitions and Concepts (cont'd)



- Planning, Monitoring, and Evaluation Processes
 - Planning for M&E
 - ✓ Key principles for planning
 - ✓ Planning process
 - The Monitoring Process
 - ✓ Key principles for monitoring
 - ✓ Monitoring tools and mechanisms
 - The Evaluation Process
 - ✓ Preparing for an evaluation
 - ✓ Managing an evaluation



1. Program Monitoring and Evaluation – Definitions and Concepts (cont'd)



□ Work Plans

- A Work Plan - an annual or multi-year summary of tasks, timeframes and responsibilities. It is used as a monitoring tool to ensure the production of outputs and progress towards outcomes
- Work plans describe the activities to be conducted as well as the expected outputs and outcomes. The overall process of work planning is a comprehensive tool that helps translate information or ideas into operational terms on an annual basis



1. Program Monitoring and Evaluation – Definitions and Concepts (cont'd)



- ❑ **Planning to Monitor** results involves determining:
 - ✓ Tools (e.g., performance indicators, evaluations, special studies) that will be used to measure progress over time
 - ✓ Current situation (performance baseline) and the change in the situation that will signal success (performance target)
 - ✓ Data collection methods that will be used, the frequency of data collection and the responsibility for data compilation and analysis or interpretation, and
 - ✓ How data will be used in the appropriate level of decision making, resource allocation, and communicating the results



1. Program Monitoring and Evaluation – Definitions and Concepts (cont'd)



□ Key Principles of Monitoring

- “Good Monitoring”- means that monitoring is continuous, involves partners, and is focused on progress towards results/ outcomes
- Such monitoring provides the basis for results-oriented annual reports (ROAR) and for evaluations
- Good monitoring requires a right mix of tools to ensure balance of reporting/analysis, validation, and participation



1. Program Monitoring and Evaluation – Definitions and Concepts (cont'd)



- **Monitoring Tools and Mechanisms** - *a variety of monitoring mechanisms*

REPORTING AND ANALYSIS	VALIDATION	PARTICIPATION
<ul style="list-style-type: none">■ Annual project report (APR)■ Progress and/or quarterly reports■ Work plans■ Project/programme delivery reports and combined delivery reports■ Substantive project documentation	<ul style="list-style-type: none">■ Field visits■ Spot-check visits■ External assessments/monitoring■ Client surveys■ Evaluations	<ul style="list-style-type: none">■ Outcome groups■ Steering committees/mechanisms■ Stakeholder meetings■ Focus group meetings■ Annual review

Source: Hand Book of M&E, UNDP, 2002



1. Program Monitoring and Evaluation – Definitions and Concepts (cont'd)



□ Preparing for Evaluation

- Purpose and timing
- Involving partners and stakeholders
- Defining the scope
- Drafting the terms of reference
- Budgeting
- Organizing the relevant documentation
- Selecting the evaluation team



1. Program Monitoring and Evaluation – Definitions and Concepts (cont'd)



□ Managing the Evaluation

- Collecting and analyzing data
- Backstopping and feedback
- Reporting
- Following up - findings, conclusions, recommendations and lessons learned be internalized and acted upon



2. Identification of Measurable Program Indicators



- ❑ Indicators are **quantitative figures** or **qualitative descriptions** which enable verification of the achievement of the objectives
- ❑ Indicators **describe objectives** in operationally measurable terms like: quantity, quality, target group, time, and place

OBJECTIVE

- Overall objective
- Program purpose
- Program results



OBJECTIVELY VERIFIABLE INDICATORS



2. Identification of Measurable Program Indicators (cont'd)



- ❑ **Main Indicators Can Be Grouped in:**
 1. Input Indicators - used mainly by managers closest to the tasks of implementation
 2. Process Indicators - often tabulated as a set of milestone events taken from an activity plan
 3. Output Indicators - show the physical and financial outputs of the program



2. Identification of Measurable Program Indicators (cont'd)



- ❑ **Criteria for Assessing Performance Indicators**
 1. Direct – measure as closely as the result it is intended to measure
 2. Objective – no ambiguity about what is being measured
 3. Adequate – adequately measure the result in question
 4. Quantitative, where possible - numerical



2. Identification of Measurable Program Indicators (cont'd)



❑ Criteria for Assessing Performance Indicators

5. Disaggregated, where appropriate – for differently impacted/beneficiary groups, gender, etc.
6. Practical – data can be obtained in a timely way and at a reasonable cost
7. Reliable – sufficient reliable quality of data - confidence in the data for decision making



2. Identification of Measurable Program Indicators (cont'd)



□ Use of Indicators

➤ **During Program Planning:**

- ✓ Description of the present situation to be used as a basis for the monitoring and evaluation during the implementation process (base-line study)

➤ **During Program Implementation:**

- ✓ Are we moving towards the set of objectives and the desired situation?
- ✓ Does the efficiency in implementation lead to effectiveness – are we doing the right things?

➤ **After the Program:**

- ✓ Did the program succeed? How well?
- ✓ Did the planned improvement / change / development take place? Can it be measured/observed?



3. Issues of Designing Effective Monitoring Systems for Result Oriented Processes



- ❑ **Five Components of Result-Based Monitoring Systems**
 1. Clear statements of measurable objectives for which indicators can be defined
 2. A structured set of indicators covering program outputs and their impact on beneficiaries
 3. Provisions for collecting data and managing program
 4. Institutional arrangements for gathering, analyzing, and reporting
 5. Proposals for the ways in which monitoring findings will be fed back into the decision-making process



3. Issues of Designing Effective Monitoring Systems for Result Oriented Processes (cont'd)



- ❑ **Clear Statements of Measurable Objectives for Which Indicators can be Defined**
 - Objectives should be readily measurable
 - Objectives should be specific to the program interventions, realistic in the timeframe for their implementation, and measurable
 - By asking how objectives can be measured, and how program activities lead to those objectives, the program objectives will be more precisely defined



3. Issues of Designing Effective Monitoring Systems for Result Oriented Processes (cont'd)



❑ Structured Indicators

- Indicators are statements about the situation that will exist when an objective is reached
- The ability to define an indicator in consultation with stakeholders is a demonstration that program objectives are clearly stated, are understood, and are supported
- To make information on progress available right from the early stages of implementation, indicators need to be structured in a logical manner
- Input, process, and output indicators



3. Issues of Designing Effective Monitoring Systems for Result Oriented Processes (cont'd)



❑ Data Collection

- A good approach is to structure reporting from the “field” so that aggregates or summaries are easier
- Measuring output and impact may require the collection of data from sample surveys or special studies. Studies to investigate specific topics may call for staff skills and training
- Before data are chosen as indicators of program impact, program monitoring designer needs to confirm that the reliable data systems are in place



3. Issues of Designing Effective Monitoring Systems for Result Oriented Processes (cont'd)



- ❑ **Institutional Arrangements for Gathering, Analyzing, and Reporting**
 - Establishing appropriate institutional arrangements
 - Improving procedures, to create functional systems that seek out and use information for decisions
 - Strengthening organizations to develop skilled staff in appropriate positions, accountable for their actions
 - Need for upgrading skills in monitoring and evaluation, which include program analysis, design of indicators and reporting systems, data collection, and information management



3. Issues of Designing Effective Monitoring Systems for Result Oriented Processes (cont'd)



- ❑ **Proposals for the Ways in Which Monitoring Findings Will be Fed Back into Decision Making**
 - The analysis of implementation depends on the functioning of an appropriate database about program components and actions, created from standardized data sheets
 - Reports are used to help diagnose technical and institutional implementation issues, propose and conduct studies, and plan institutional development and training for improving program implementation performance



4. Program Review and Reporting – Designing an Effective Reporting Process



❑ **The Annual Program Report**

- The annual program report (APR) serves as the basis for assessing the performance (as a self-assessment report the APR does not require a cumbersome preparatory process)
- Timing – annual, semi-annual, or quarterly
- Purpose - APR should provide an accurate update on program results against planned milestones and schedules, and identify major constraints and propose future corrections. It analyzes the underlying factors contributing to any lack of progress so that management and decision-makers can learn from experience and improve performance



4. Program Review and Reporting – Designing an Effective Reporting Process (cont'd)



- Use of the Annual Program Reports (APR)
 - Performance Assessment
 - Learning
 - Decision-Making



4. Program Review and Reporting – Designing an Effective Reporting Process (cont'd)



□ Contents and Format of the APR - Minimum Elements Required:

- Assessment of Results
- Major Problems
- Proposed Corrective Actions



4. Program Review and Reporting – Designing an Effective Reporting Process (cont'd)



❑ Elements of an APR

- An analysis of performance over the reporting period
- Constraints in progress towards results, and reasons behind the constraints
- Major constraints to the achievement of results
- Lessons learned
- Clear recommendations for the future approach to addressing the main problems contributing to a lack of progress



5. Participant Exercise: Improving the PSPS Implementation Monitoring Process in Albania



5. Participant Exercise: Improving the PSPS Implementation Monitoring Process in Albania



- What results are expected with regard to PSPS implementation?
- What results serve as indicators of our performance?
- Is there room for improvement? What do we need to improve?
- How to improve the monitoring & reporting process?



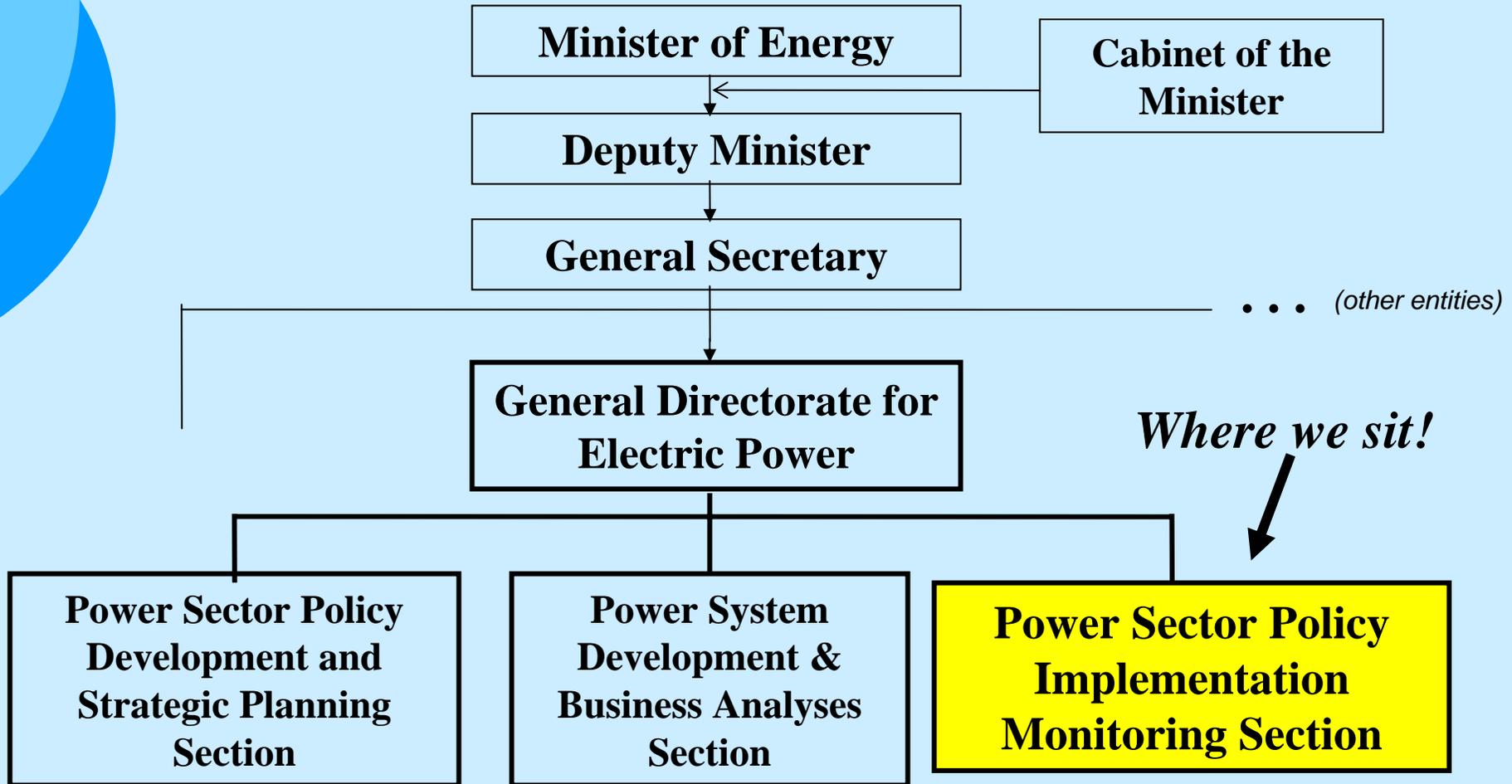
5. Participant Exercise: Improving the PSPS Implementation Monitoring Process in Albania (cont'd)



Participants' Opinions



5. Participant Exercise: Improving the PSPS Implementation Monitoring Process in Albania (cont'd)

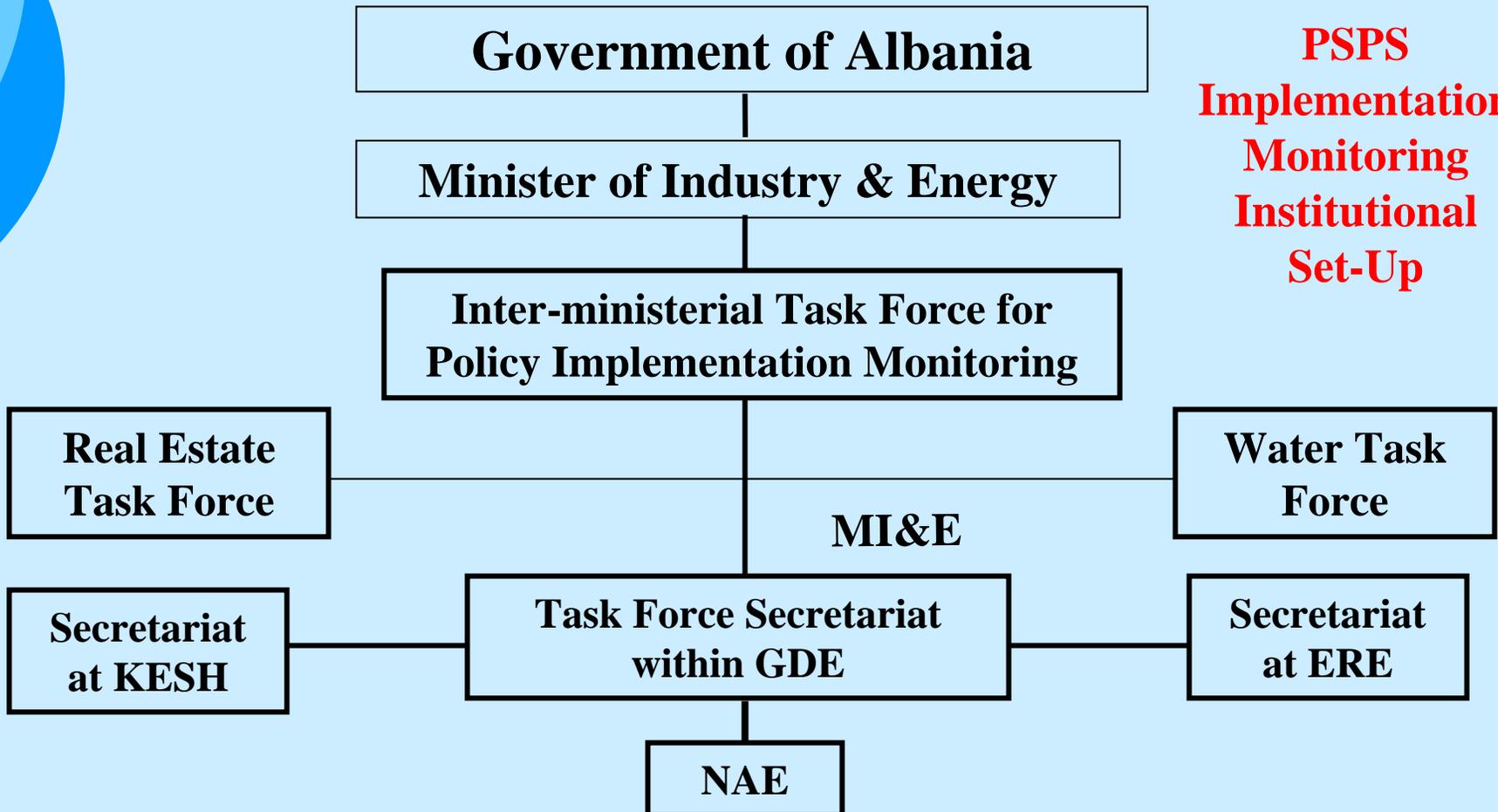




5. Participant Exercise: Improving the PSPS Implementation Monitoring Process in Albania (cont'd)



PSPS Implementation Monitoring Institutional Set-Up





5. Participant Exercise: Improving the PSPS Implementation Monitoring Process in Albania (cont'd)



- ❑ What results are expected with regard to PSPS implementation?

Our Objectives and Responsibilities

- Monitor and track progress on PSPS
- Review and evaluate the reform implementation process
- Support the Task Force operations and decision making process
- Report quarterly/annually on PSPS implementation progress
- Recommend corrective actions to the Task Force



5. Participant Exercise: Improving the PSPS Implementation Monitoring Process in Albania (cont'd)



- ❑ What results serve as indicators of our performance?

Indicators of our Performance

- Number of assessments, analysis and reports prepared and presented to the Task Force, GoA, World Bank, USAID and other donors
- Achievement of PSPS Action Plan Milestones



5. Participant Exercise: Improving the PSPS Implementation Monitoring Process in Albania (cont'd)



What are we expected to perform with regard to PSPS implementation?

Indicators of our Performance

- Ability to coordinate inter-office work – MI&E, KESH, ERE, NEA resulting in improved PSPS implementation monitoring and reporting process
- Increased donors commitment in supporting PSPS and National Energy Strategy



5. Participant Exercise: Improving the PSPS Implementation Monitoring Process in Albania (cont'd)



- ❑ How do we rate our performance? – Let’s try to jointly assess our performance by using some of the indicators mentioned earlier.

Let’s fill together:

- ✓ Number and quality of assessments, analysis and reports prepared and submitted.....
- ✓ Achievement of PSPS Action Plan milestones.....
- ✓ Ability to coordinate inter-office work.....
- ✓ Increased donors commitment in supporting PSPS and National Energy Strategy.....

Ranking 1- 4: 1 = Very Good, 2 = Good, 3 =Fair, 4 = Poor



5. Participant Exercise: Improving the PSPS Implementation Monitoring Process in Albania (cont'd)



- ❑ Is there room for improvement? What do we need to improve? What about improving:
 - Procedures, forms for the collection of information, and reports
 - Flow of information
 - Ways of communication, exchange and team working



5. Participant Exercise: Improving the PSPS Implementation Monitoring Process in Albania (cont'd)



Participants' Opinions



5. Participant Exercise: Improving the PSPS Implementation Monitoring Process in Albania (cont' d)



How to improve procedures? *What do you think about the following four-step approach:*

1. Project/program formulation
 - a. Scoping and formulation
 - b. Stakeholder consultation
 - c. budgeting
2. Project/program presentation at the Task Force
 - a. Task Force approval
 - b. MI&E endorsement & co-funding decision
3. Project/program approval
 - a. GoA approval
 - b. Presentation to donors
 - c. Ministry of Finance to provide partial budget
4. Project/program implementation
 - a. Implementing institution – contracts
 - b. Monitoring of implementation



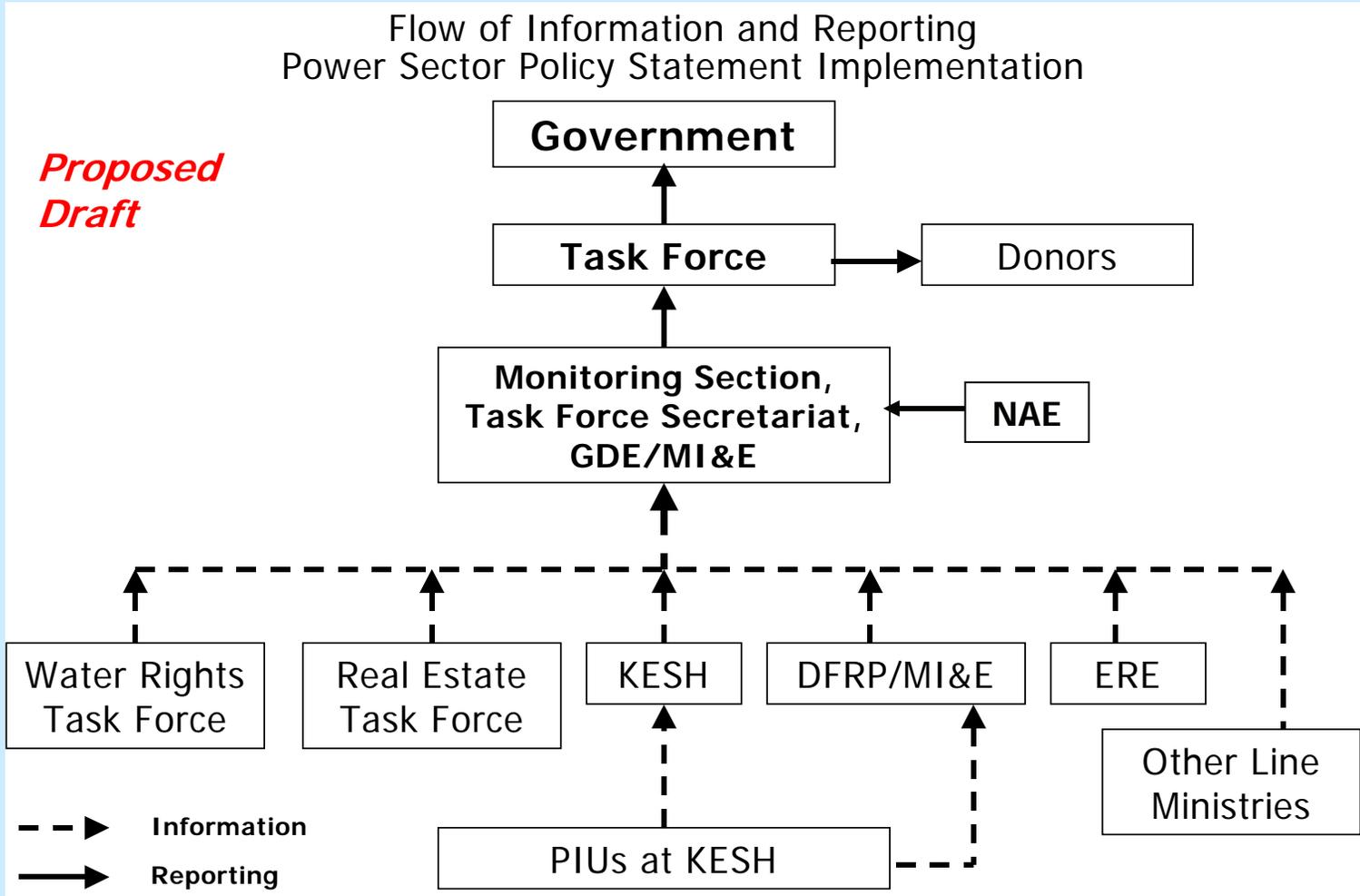
5. Participant Exercise: Improving the PSPS Implementation Monitoring Process in Albania (cont'd)



- How to improve? *Let's work a bit together on:*
Forms for collection of information – *Please comment and provide your suggestions on following two draft forms:*
 - ✓ *PSPS Consolidated Action Plan Activity Fiche, and*
 - ✓ *PSPS Consolidated Action Plan Activity Monitoring Report (AMR) Fiche*

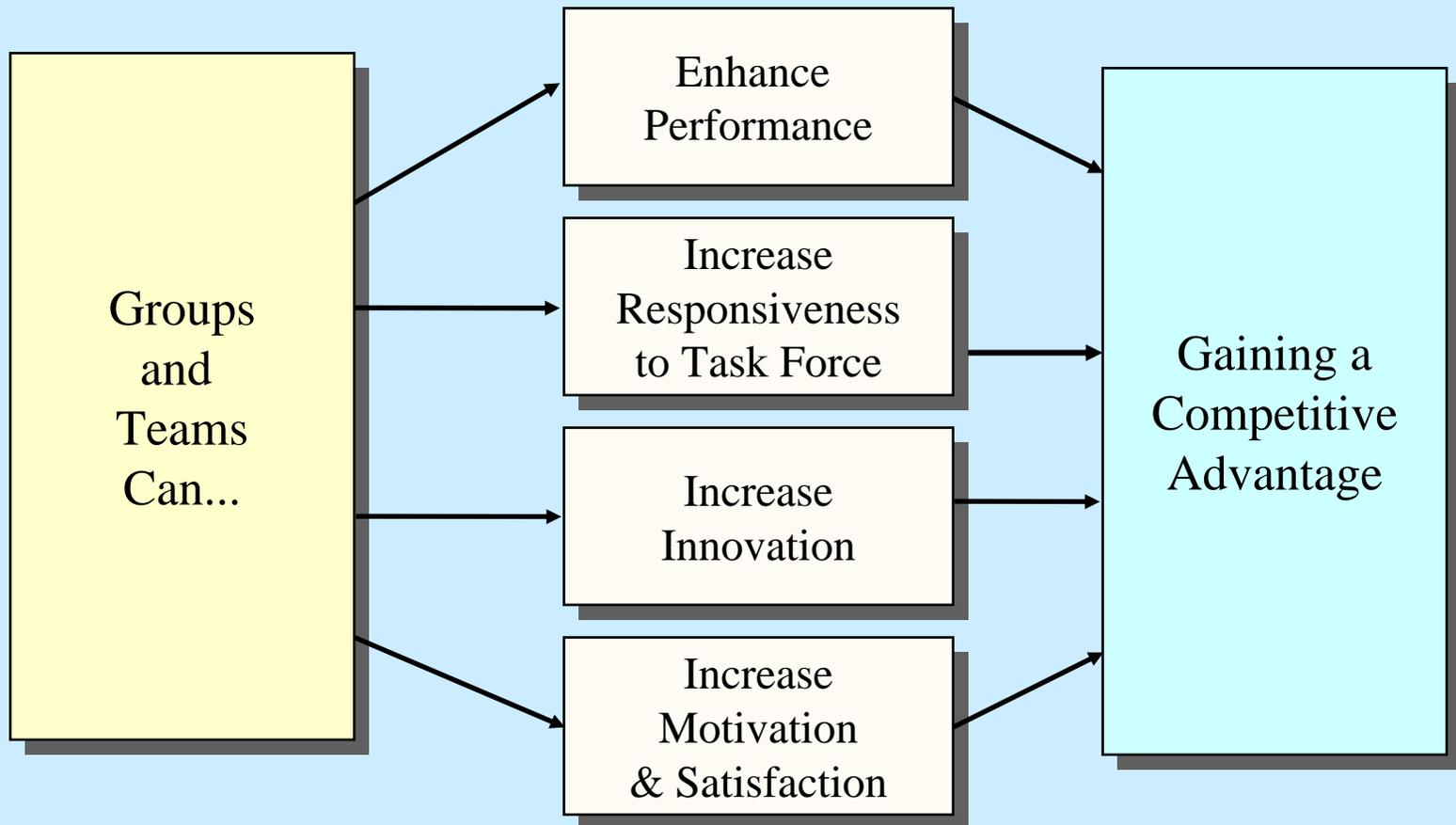


5. Participant Exercise: Improving the PSPS Implementation Monitoring Process in Albania (cont'd)





5. Participant Exercise: Improving the PSPS Implementation Monitoring Process in Albania (cont'd)



Working in Team



5. Participant Exercise: Improving the PSPS Implementation Monitoring Process in Albania (cont'd)



❑ Eight Attributes of High-Performance Teams

1. *Participative Leadership*

Creating an interdependency by empowering, freeing up, and serving others

2. *Shared Responsibility*

Establishing an environment in which all team members feel as responsible as the manager for the performance of the work unit

3. *Aligned on Purpose*

Having a sense of common purpose about why the team exists and the function it serves

4. *High Communication*

Creating a climate of trust and open, honest communication



5. Participant Exercise: Improving the PSPS Implementation Monitoring Process in Albania (cont'd)



❑ Eight Attributes of High-Performance Teams

5. *Future Focus*

Seeing change as an opportunity for growth

6. *Focused on Task*

Keeping meetings focused on results

7. *Creative Talents*

Applying individual talents and creativity

8. *Rapid Response*

Identifying and acting on opportunities



5. Participant Exercise: Improving the PSPS Implementation Monitoring Process in Albania (cont'd)



- ❑ How to improve?

Let's work a bit together on...

- Ways of communication and exchange -
 - ✓ Do we see the need of improving collaboration through enhanced team-working spirit and well-established formal communication procedures?
 - ✓ Do we need to consider the streamlining and lessening of communication and information exchange procedures?



5. Participant Exercise: Improving the PSPS Implementation Monitoring Process in Albania (cont'd)



Participants' Opinions



5. Participant Exercise: Improving the PSPS Implementation Monitoring Process in Albania (cont'd)



- How to improve our reports?

What do you think about introducing in our reports sections such as:

- ❖ Activities not completed
- ❖ Problem and causes/reasons of delays
- ❖ Proposed solutions or corrective actions



5. Participant Exercise: Improving the PSPS Implementation Monitoring Process in Albania (cont'd)



Participants' Opinions



5. Participant Exercise: Improving the PSPS Implementation Monitoring Process in Albania (cont'd)



- ❑ What resources do we need to improve our performance?

Let's talk about:

- ❖ Human resource and capacity building
- ❖ Office, equipment, and telecommunications
- ❖ Budgets
- ❖ *What else?*



5. Participant Exercise: Improving the PSPS Implementation Monitoring Process in Albania (cont'd)



Participants' Opinions



6. Assignment

Following the assignment in Module IV, prepare a program monitoring and review process and a list of performance indicators for a “National Program to Promote the use of Solar Energy for Hot Water in Households, Social, and Service Sectors”