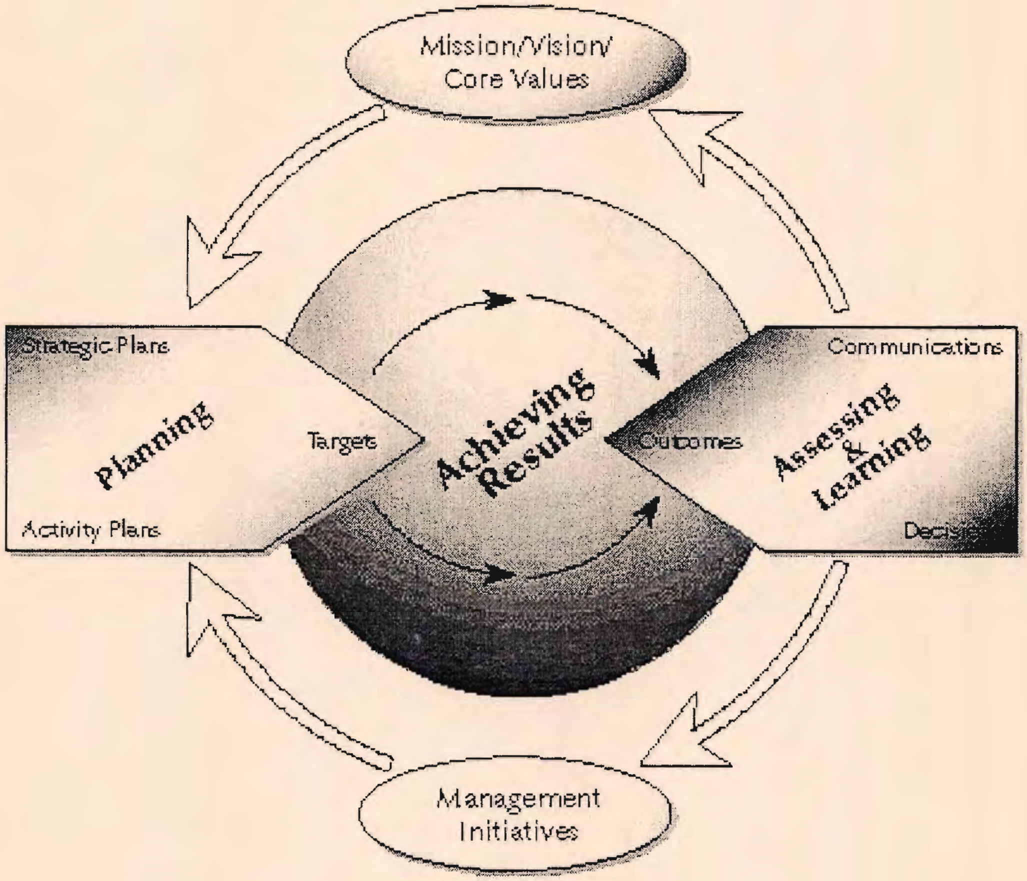
Integrated Managing for Results



USAID Performance Management Workshop

Sponsored by
HR, PPC/CDIE, AFR/DP
PricewaterhouseCoopers

USAID

U.S. AGENCY FOR
INTERNATIONAL
DEVELOPMENT

Dear Workshop Participant:

Welcome to the Performance Management Workshop and thank you for your participation. As you know, this is an important topic for USAID. Over the next week, you will be provided with information and tools for performance monitoring and evaluation to enable you to better manage for results. You will also get to practice the skills you learn by working on a case and apply your learning to improve your own PMPs. This workshop builds on prior training in this area and seeks to further advance USAID employees' knowledge and skills in performance management.

We have worked hard to design this workshop in a manner that is responsive to your needs. Before developing the materials, we conducted a survey asking for feedback on issues to cover, relative emphasis on performance management topics and your willingness to participate in the workshp. As much as possible, we have reflected that feedback in the approach taken.

We hope you will find this course rewarding and beneficial to the mission and objectives we have all set out to accomplish. We would appreciate your feedback at the end of this course so that the materials can be adjusted and improved for the next group of participants.

Sincerely,

The Workshop Development Team

1300 PENNSYLVANIA AVENUE, N.W.
WASHINGTON, DC 20523

USAID Performance Management Workshop

The Week at a Glance

Time	DAY 1 Introduction and Role of PMP
7:30 – 8:00 AM	Registration
8:00 – 9:15 AM	Introduction to the Workshop
9:15 – 9:30 AM	Workshop Expectations
9:30 – 10:15 AM	Team Building Exercise
10:15 – 10:30 AM	Break
10:30 – 12:00 PM	The Role & Usefulness of a PMP
12:00 – 1:00 PM	Lunch
1:00 – 2:30 PM	Reviewing Results Frameworks
2:30 – 3:30 PM	Case Exercise #1: Read & Discuss
3:30 – 3:45 PM	Break
3:45 – 5:00 PM	Wrap Up of Day One

Time	DAY 2 Indicators and Data Collection
8:00 – 8:30 AM	Housekeeping
8:30 – 10:15 AM	Developing Performance Indicators & Collecting Data
10:15 – 10:30 AM	Break
10:30 – 12:30 PM	Case Exercise #2: Performance Indicators
12:30 – 1:30 PM	Lunch
1:30 – 2:30 PM	Report Out on Case Exercise #2
2:30 – 4:30 PM	Work On Participants' PMPs

Time	DAY 3 Data Quality Assessment
8:00 – 8:30 AM	Housekeeping
8:30 – 10:45 AM	Assessing Data Quality
10:45 – 11:00 AM	Break
11:00 – 12:30 PM	Case Exercise #3: Data Quality
12:30 – 1:30 PM	Lunch
1:30 – 2:30 PM	Report Out on Case Exercise #3
2:30 – 4:30 PM	Work On Participants' PMPs

Time	DAY 4 The PMP As A Management Tool
8:00 – 8:30 AM	Housekeeping
8:30 – 10:30 AM	The PMP As A Management Tool
10:30 – 10:45 AM	Break
10:45 – 12:00 PM	Case Exercise #4: Finalize PMP
12:00 – 1:00 PM	Lunch
1:00 – 2:00 PM	Report Out on Case Exercise #4
2:00 – 4:30 PM	Work On Participants' PMPs

Time	DAY 5 Program Evaluation
8:00 – 8:30 AM	Housekeeping
8:30 – 10:30 AM	An Evaluation Framework for Program Management
10:30 – 10:45 AM	Break
10:45 – 12:00 PM	Case Exercise #5: Program Evaluation
12:00 – 1:00 PM	Workshop Wrap Up

USAID Performance Management Workshop

Purpose and Approach

Workshop Purpose: To provide participants with information and tools for performance monitoring and evaluation to enable them to better manage for results. The workshop builds on prior training in this area and seeks to further advance participants' knowledge and skills in performance management. In particular, the course will:

a) review performance monitoring and evaluation methodologies;
b) familiarize participants with new approaches to and requirements for performance monitoring and evaluation;
c) share best practices in monitoring and evaluation and innovative approaches that have been employed within the Agency and elsewhere;
d) provide participants with an opportunity to develop a comprehensive performance monitoring plan by using a workshop case study; and,
e) provide participants with an opportunity to get technical assistance on their own PMPs.

Teaching Approach: The workshop will emphasize a practical, interactive approach using case studies and analyses of actual situations. Using a case study that is provided, participants will develop a comprehensive PMP, step by step, during the course of the workshop. Each workshop will feature two case studies related to performance measurement. Based on feedback from missions, one of the case studies will focus on the DG sector while the second will focus on either economic growth or natural resource management. Participants will be required to bring their own PMPs to the workshop to share, discuss and refine them as needed. PwC performance measurement specialists and USAID staff will make presentations and serve as resource people during the workshop.

Length: 5 days
Participants: SO team members and others responsible for performance management.

USAID Performance Management Workshop

Agenda

DAY 1 : INTRODUCTION & ROLE OF PMP

7:30 – 8:00 AM	**REGISTRATION**
8:00 – 9:15 AM	**INTRODUCTION TO THE WORKSHOP**
9:15 – 9:30 AM	**WORKSHOP EXPECTATIONS**
9:30 – 10:15 AM	**TEAM BUILDING EXERCISE** The purpose of the exercise is to "warm up" the participants and get them thinking and interacting quickly in their case teams. (Exercise to be done in case teams).
10:15 – 10:30 AM	**BREAK**
10:30 – 12:00 PM	**THE ROLE AND USEFULNESS OF A PMP** By the conclusion of this session participants will: (a) understand the context in which PMPs should be developed and used (i.e., the ADS 200 series "Managing for Results Programming System"); (b) understand USAID standards and guidelines for PMPs; (c) be aware of the importance of a PMP and its uses in managing for results.
12:00 – 1:00 PM	**LUNCH**
1:00 – 2:30 PM	**REVIEWING RESULTS FRAMEWORKS** By the conclusion of this session participants will: (a) understand how strategic planning and planning for performance management are linked; (b) be aware of USAID standards for results statements and results frameworks; (c) be able to critique results statements and frameworks.
2:30 – 3:30 PM	**CASE EXERCISE #1: READ AND DISCUSS CASE STUDY IN CASE TEAM** During this session participants will have an opportunity to read and discuss the case study that they will work with for the rest of the week. Resource people will be available to provide guidance if necessary.
3:30 – 3:45 PM	**BREAK**
3:45 – 5:00 PM	**WRAP UP OF DAY ONE** The main learning points in the day will be reviewed and summarized. In addition, participants will develop a work plan covering the specific aspects of their own PMPs that they intend to work on during the rest of the workshop.

DAY 2: INDICATORS AND DATA COLLECTION

8:00 – 8:30 AM **HOUSEKEEPING**

8:30 – 10:15 AM **DEVELOPING PERFORMANCE INDICATORS & COLLECTING DATA**
By the conclusion of this session participants will (a) understand and be able to apply USAID standards for "good" indicators; (b) be aware of different ways to develop indicators for qualitative results; (c) recognize the trade-offs involved in selecting a data collection approach.

10:15 – 10:30 AM **BREAK**

10:30 – 12:30 PM **CASE EXERCISE #2: PERFORMANCE INDICATORS**
In this session participants will practice the skills they learned in the previous session and develop the performance indicators portion of a PMP using the workshop case study.

12:30 – 1:30 PM **LUNCH**

1:30 – 2:30 PM **REPORT OUT ON CASE EXERCISE #2 (PERFORMANCE INDICATORS)**

2:30 – 4:30 PM **WORK ON PARTICIPANTS' PMPs.**
Participants will begin working on their own PMPs using the workplan they developed on Day 1 as a guide. Resource people will be available to provide assistance.

COFFEE AVAILABLE AT 3:30

DAY 3: DATA QUALITY ASSESSMENT

8:00 – 8:30 AM	**HOUSEKEEPING**
8:30 – 10:45 AM	**ASSESSING DATA QUALITY** By the conclusion of this session participants will (a) understand USAID standards for data quality; (b) be familiar with techniques to assess data quality.
10:45 – 11:00 AM	**BREAK**
11:00 – 12:30 PM	**CASE EXERCISE #3: DATA QUALITY** In this session participants will practice the skills they learned in the previous session and develop strategies to avoid data quality problems using the case study.
12:30 – 1:30 PM	**LUNCH**
1:30 – 2:30 PM	**REPORT OUT ON CASE EXERCISE #3 (DATA QUALITY)**
2:30 – 4:30 PM	**WORK ON PARTICIPANT'S PMPs** Participants will continue working on their own PMPs. Resource people will be available to provide guidance. **COFFEE WILL BE PROVIDED AT 3:30**

DAY 4: THE PMP AS A MANAGEMENT TOOL

8:00 – 8:30 AM	**HOUSEKEEPING**
8:30 – 10:30 AM	**THE PMP AS A MANAGEMENT TOOL** By the conclusion of this session participants will (a) recognize common pitfalls in setting baselines and targets and ways to avoid them; (b) understand ways to plan for and improve other aspects of assessing and learning such as data analysis, reporting and portfolio reviews, (c) be aware of the strengths and weaknesses of technology as an enabler in performance management.
10:30 – 10:45 AM	**BREAK**
10:45 – 12:00 PM	**CASE EXERCISE #4 (FINALIZE PMP)** In this session participants will practice the skills learned in the previous session to finalize the case PMP including identifying and scheduling assessing and learning activities that could be carried out for the case scenario.
12:00 – 1:00 PM	**LUNCH**
1:00 – 2:00 PM	**REPORT OUT ON CASE EXERCISE #4 (FINALIZING THE PMP)**
2:00 – 4:30 PM	**WORK ON PARTICIPANT'S PMPs** During this session participants will complete the work they started on their own PMPs. Again, resource people will be available to provide assistance. **COFFEE WILL BE PROVIDED AT 3:30**

DAY 5: PROGRAM EVALUATION

8:00 – 8:30 AM **HOUSEKEEPING**

8:30 – 10:30 AM **AN EVALUATION FRAMEWORK FOR PROGRAM MANAGEMENT**
By the conclusion of this session participants will (a) understand key concepts in program evaluation; (b) recognize when and why evaluations should be conducted; (c) know what steps are involved in planning for and managing an evaluation.

10:30 – 10:45 AM **BREAK**

10:45 – 12:00 AM **CASE EXERCISE #5 (PROGRAM EVALUATION)**
During this session participants will have the opportunity to practice the skills learned in the previous session including identifying key questions to be answered in a proposed evaluation based on the case study.

12:00 – 1:00 PM **WORKSHOP WRAP UP**

Logistics

DAY 1 : INTRODUCTION & ROLE OF PMP

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The Role and Usefulness of a PMP

Performance Management Workshop

USAID

PriceWaterhouseCoopers

1616 North Fort Myer Drive
Arlington, VA 22209-3195
(703) 741-1000

Contract #: AEP-C-00-99-00034-00

Learning Objectives

By the conclusion of this session participants will:

- Understand the context in which PMPs should be developed and used (i.e., the ADS 200 series "Managing for Results Programming System");
- Understand USAID standards and guidelines for PMPs;
- Be aware of the importance of a PMP and its uses in managing for results.

The Performance Monitoring Plan 3

- What's in it for me?
- What's in it for the mission?

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What is a Performance Monitoring Plan? 4

A PMP is:

- Tool for management
- Living document
- Constant desk reference
- Tool for organizational learning
- Tool to tell your story better

A PMP should not be:

- Something done solely to satisfy USAID/Washington
- Something to satisfy congress
- Done just to "be a team player"
- Filed away to gather dust

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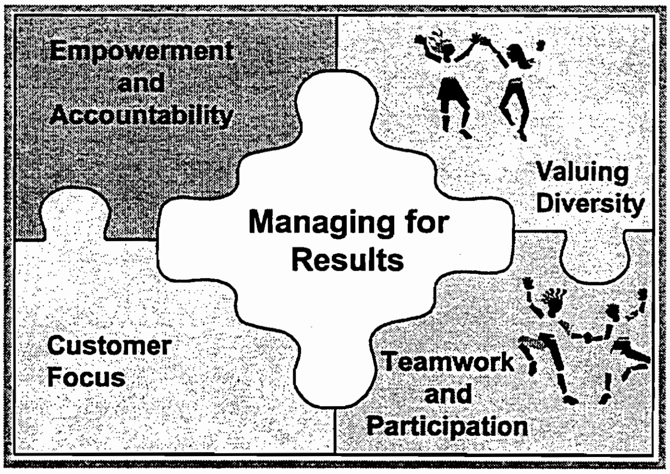
USAID Core Values (ADS 200) 5



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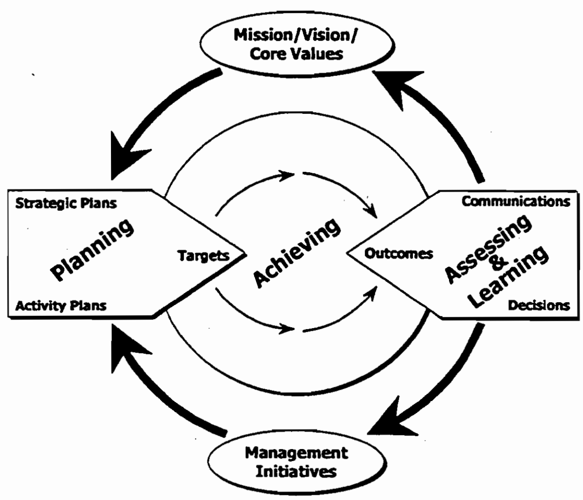
The Managing for Results System (ADS 200) 6



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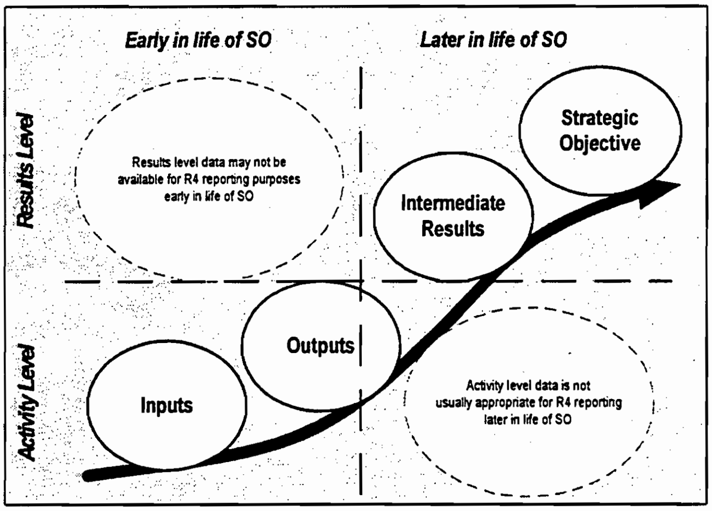
Managing for Results Achievement

7



Related Guidance in the Revised ADS

8

ADS 201

- Encompasses all aspects of "planning" (strategic and activity levels)
- New emphasis on "performance management", beyond basic performance monitoring
- Encouragement of preliminary PMPs and milestones
- More guidance on number of indicators, qualitative indicators and changing indicators
- Guidance on reflecting gender considerations

Related Guidance in the Revised ADS 9

ADS 203

- Emphasis on role of evaluation in managing for results
- New discussion on special studies
- Greatly increased guidance on R4 report
- More emphasis on data quality
- Specific guidance on how to conduct data quality assessments
- Guidance on involving partners and other stakeholders
- New mandatory requirements for annual portfolio review

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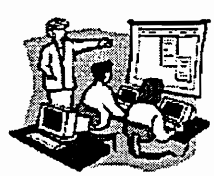
Where Can I Find Additional Help? 10

- PMP Toolkit
- TIPS series
- Training programs
- On-line sources
  - www.USAIDResults.org
  - www.afr-sd.org
- Other sources



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3 Stages of PMP Development

STAGE 1: During strategy development

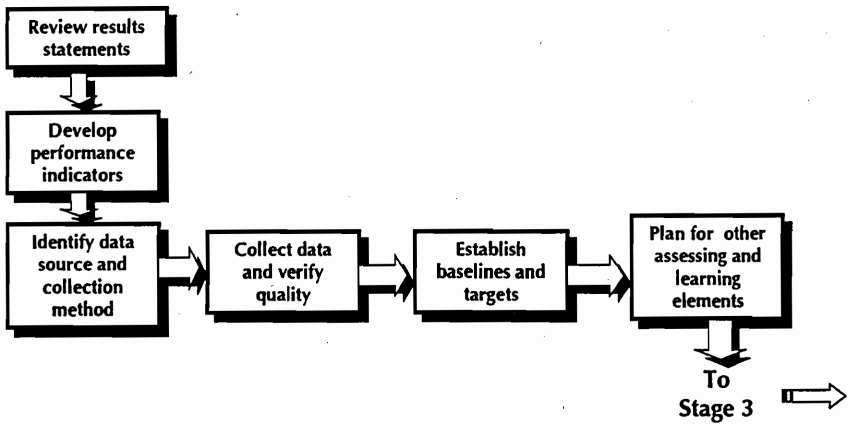
STAGE 2: Following strategic plan approval

STAGE 3: During strategy implementation

Stage 1: During Strategy Development

- The SO team should consider the following questions:
  - How will we know if we've achieved our results?
  - Will what we're planning to do actually lead to these results?
  - How will we know if there are problems?
- Consider preparing a "preliminary" PMP

Stage 2: After approval - Assemble the PMP 13



A complete PMP must be developed by submission of first R4
(Some bureaus require submission with Strategic Plan)

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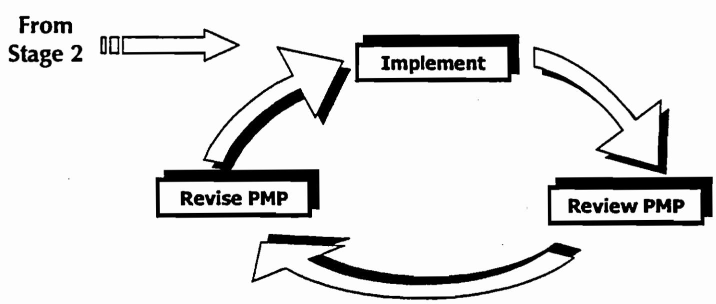
Stage 3: During Strategy Implementation 14



Review and update PMP annually. Consider asking:

- Are we getting the information that we need?
- Are our indicators working?
- How can we improve the PMP?

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Elements of a PMP

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REQUIRED:

- Detailed description of indicators
- Source, method, schedule, and responsibility for data collection
- Known data limitations, significance, and actions to address
- Data quality assessment procedures

RECOMMENDED:

- Justification for selecting indicators
- Plans for data analysis, reporting, review and use
- Evaluations and special studies
- Costs of collecting, analyzing and reporting data
- Activity level indicators
- Plans for monitoring development hypothesis, critical assumptions and context

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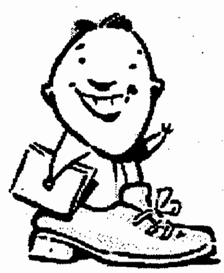
REMEMBER.....

One size does NOT fit all!



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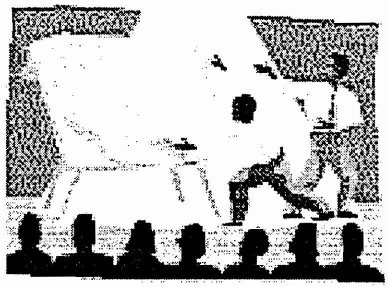
Preliminary Audit Findings



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The Audit Question

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Did the USAID operating unit monitor performance in accordance with ADS E203.5.5 and other relevant guidance as demonstrated by indicators appearing in its Results Review and Resource Request report for Fiscal Year 2001?

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Audit Approach

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OPUs Selected

- Ghana
- Malawi
- Brazil
- G/EGAD
- Egypt
- Romania
- Nepal

Audit Methodology

- Performance Monitoring Plan
- Establishment of Baselines
- Data Quality Assessments
- R4 Reporting Process

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PMPs and R4 Reporting

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PMPs

- Some not done or updated
- Often not being used for management or reporting
- Often have inadequate indicator definitions
- Often have inadequate data collection methodologies
- Often have no documentation or reporting changes in indicator definitions or collection methodologies

R4 Reporting

- Data limitations not being reported
- Some inaccurate results - not supported, or based on incomplete data
- Often no data trails from which data could be reconstructed at a later date
- Data often inconsistent and inaccurate because of poor definitions

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Baselines and Data Quality Assessments

Baselines

- Often not established in a timely fashion
- Often evolve as activity progresses, but definition changes not documented

Data Quality Assessments

- Under-appreciation of need for quality data
- Often found not being done, documented, and/or used

Conclusion

- In general, Operating Units were doing what they needed to do
- Operating Units can do better in terms of preparing, using and documenting plans and reports
- The results help the Agency focus on where improvements can be made

Keys to Performance Management

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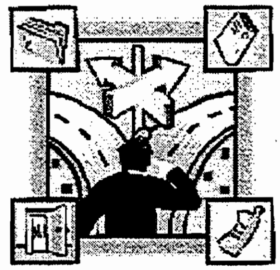
- ***Recognize the value*** of performance information
- ***Plan ahead*** - what kind of information is needed, and when?
- ***Set expectations*** - staff and partners should know what they're accountable for
- ***Organize the process*** - know how, when, where data will be collected, documented and stored
- ***Be disciplined*** - make it part of the culture and get it done!



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Improve performance management with the use of a performance monitoring plan

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Reviewing Results Frameworks

Performance Management Workshop

USAID

Contract #: AEP-C-00-99-00034-00

PriceWaterhouseCoopers
1616 North Fort Myer Drive
Arlington, VA 22209-3195
(703) 741-1000

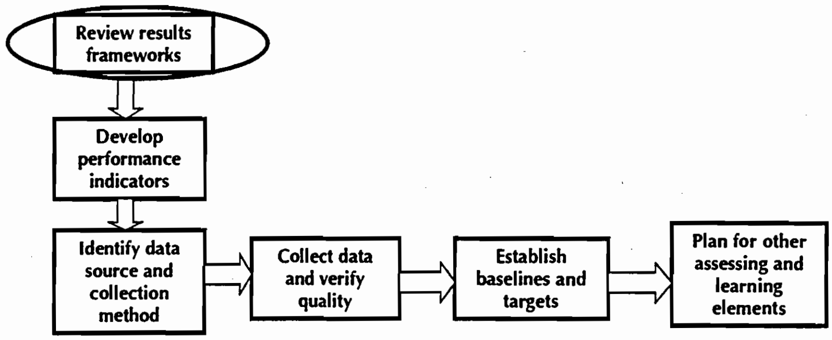
Learning Objectives

By the end of this session, you will:

- Understand how strategic planning and planning for performance management are linked
- Be aware of USAID standards and guidelines for results statements and results frameworks
- Be able to critique results statements and frameworks.

The PMP Development Process

3



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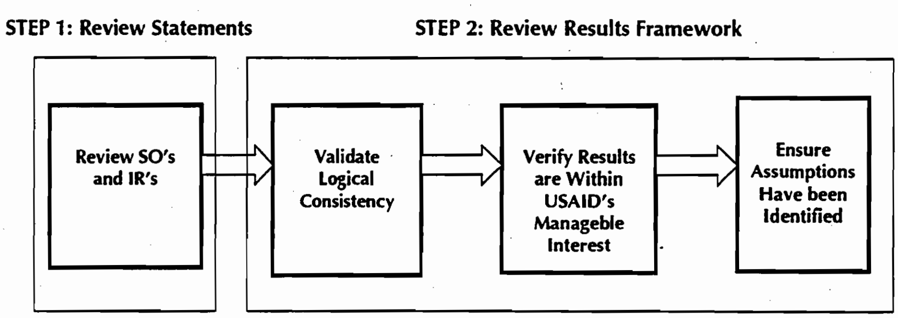
Review Results Frameworks

4



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STEP 1: Review SOs and IRs

5

Characteristics of Good Results Statements

- **Statement of results - not an activity or process**
  - **Create institutional capacity to deliver services** NO
  - **Institutional capacity for service delivery created** YES
- **Measurable and objectively verifiable**
  - **Liberalized markets** NO
  - **Reduced legal and policy constraints to marketing selected agricultural products** YES
- **Meaningful and realistic**

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6

- **Unidimensional - not a combination of results**
  - **Healthy, better educated families** NO
  - **Better educated families** YES
- **Focused on strategic commitments**
- **Customer or stakeholder driven**
- **Can be materially affected by missions and partners**

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Results Statement Exercise

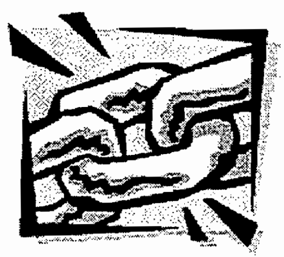
7

Step 2: Review Results Framework

8

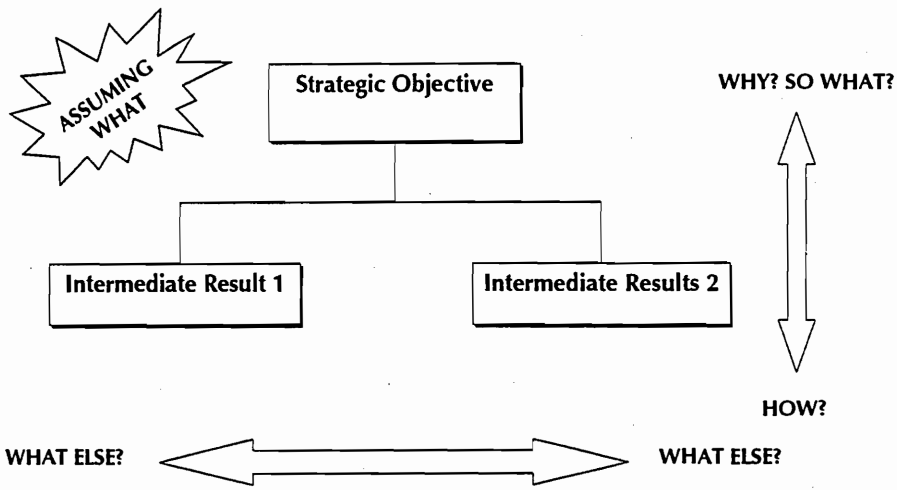
Ensure logical consistency

- Lower level results should **cause** higher level results
- Lower level results should be the critical set **necessary** to cause higher level result



Characteristics of a results framework

9



Common pitfalls

10

- Definitional linkages
- Categorical linkages
- Chronological linkages

Consider this relationship....

SO: Strengthened institution

IR: Improved institutional capacity for delivering goods and services

What do you think?

Consider this relationship....

SO: Civil society groups increase participation in government decision processes

IR 1: AIDS NGOs increase their role in relevant health policies

IR 2: CBNRM communities increase their role in setting conservation land policies

IR 3: NGO and women's group networks increase their role in NGO regulation setting

What do you think?

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Consider this relationship.....

IR 1

Sustainable NRM methodologies implemented in pilot areas

↑

IR 1.1
Improved NRM technologies identified and tested in pilot areas

↑

IR 1.1.1
Current practices (Sustainable and non-sustainable) identified and analyzed

What do you think?

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STEP 2: Review Results Framework (contd)

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Ensure results are within Mission's manageable interest

- Is the SO team and its partners willing to be held accountable for all results within the results framework, including the highest level result?
- Do USAID activities significantly affect the result?

  Would the result be different *WITHOUT* USAID involvement?

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STEP 2: Review Results Framework (cont) 15

Ensure all assumptions have been identified

- ◆Include assumptions at each level
- ◆Don't confuse assumptions with partner-funded/jointly-funded results
- ◆Think about how to monitor assumptions

Results Framework Exercise 16

Summary

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Results Statements Exercise

Using Worksheet 3: Results Statement Assessment Tool

You will be assigned one or more of the following results statements as an exercise in the use of Worksheet 3 of the Performance Management Toolkit.

Using the reality of your own mission as the context within which the result statement must serve its function, evaluate the results statement(s) assigned. Make a recommendation at the bottom of the Worksheet.

1.0 Broad based sustainable economic growth

2.0 Reduced legal and policy constraints to marketing selected agricultural products

3.0 Improved quality of health care and education services

4.0 Public-private sector (Environment and Natural Resources) partnerships fostered

5.0 Sustainability of basic health services promoted

WORKSHEET 3: RESULTS STATEMENT ASSESSMENT

Sector: ______________________________

Strategic Objective: ______________________________

Results Statement (Name/Number): ______________________________

CRITERIA FOR ASSESSING THE RESULTS STATEMENT	Yes	No	Unsure	COMMENTS
Is the results statement **MEASURABLE?**	❑	❑	❑	
Is the results statement **MEANINGFUL?**	❑	❑	❑	
Is the results statement **REALISTIC?**	❑	❑	❑	
Is the results statement focused on **USAID's STRATEGIC COMMITMENTS?**	❑	❑	❑	
Is the results statement **CUSTOMER or STAKEHOLDER DRIVEN?**	❑	❑	❑	
Is the results statement within the **MANAGEABLE INTEREST** of the Operating Unit and its development partners?	❑	❑	❑	
Is the results statement focused on **RESULTS,** e.g., impact, quality, cost/efficiency, or timeliness - (focused on the RESULTS or outcomes of activities rather than a description of activities themselves)?	❑	❑	❑	
Is the statement **UNI-DIMENSIONAL** (focused on one result rather than a combination of results)?	❑	❑	❑	

OTHER COMMENTS:

RECOMMENDATION:

___ **Accept results statement**
___ **Revise results statement and then accept**
___ **Reject results statement**

Characteristics of Good Results Statements

Examples

CHARACTERISTIC 1: THE RESULT STATEMENT SHOULD BE A STATEMENT OF A RESULT – NOT AN ACTIVITY OR PROCESS.

Poor Example	Good Example
Increase access to financial services	Access to financial services increased
Create institutional capacity to deliver services	Institutional capacity for service delivery created

CHARACTERISTIC 2: THE RESULT STATEMENT SHOULD BE MEASURABLE AND OBJECTIVELY VERIFIABLE

Poor Example	Good Example
Markets liberalized	Reduced legal and policy constraints to marketing selected agricultural products.
Improved ability of entrepreneurs to respond to improved policy, legal and regulatory environment.	Increased revenues of formal sector small and medium-sized enterprises.

CHARACTERISTIC 3: THE RESULT STATEMENT SHOULD BE MEANINGFUL AND REALISTIC

Poor Example	Good Example
Broad based sustainable economic growth	Increased employment in the formal, off-farm private sector

CHARACTERISTIC 4: THE RESULT STATEMENT SHOULD BE UNI-DIMENSIONAL

Poor Example	Good Example
Increased agricultural productivity and farm incomes	Result 1: Increased agricultural productivity Result 2: Increased farm incomes
Improved quality of health care and education services	Result 1: Improved quality of health care Result 2: Improved education services

CHARACTERISTIC 5: RESULTS STATEMENTS SHOULD BE FOCUSED ON STRATEGIC COMMITMENTS

" Increased opportunities for trade and investment" – a poor example if improving opportunities for trade is not a strategic commitment of the mission/SO team.

This could be made more focused by changing the results statement to "increased opportunities for investment".

CHARACTERISTIC 6: RESULTS STATEMENTS SHOULD BE STRUCTURED SUCH THAT THEY CAN BE MATERIALLY AFFECTED BY THE MISSION AND ITS PARTNERS.

Poor Example	Good Example
Broad based sustainable economic growth	Increased incomes in targeted rural areas.
Reduced population growth	Reduced fertility

Results Framework Exercise

Using Worksheet 4: Results Framework Assessment Tool

You will be assigned one of the following results frameworks as an exercise in the use of Worksheet 4 of the Performance Management Toolkit.

Using the reality of your own mission as the context within which the results framework must serve its functions, evaluate the framework assigned. Make a recommendation at the bottom of the Worksheet.

Example 1:

SO 1: Environment for trade & investment strengthened

- IR 1.1: Policies for trade & investment framework improved
- IR 1.2: Private sector competitiveness increased
- IR 1.3: Opportunities for business growth enhanced

Example 2:

SO 2: Management of the environment and natural resources (ENR) in targeted sectors improved

- IR 2.1: Public-private partnerships fostered
- IR 2.2: Investments in ENR best practices & technology increase

Example 3:

SO 3: Healthier, planned families

- IR 3.1: Increased use of family planning and reproductive health services by targeted
- IR 3.2: Increased use of maternal and child health services by targeted populations
- IR 3.3: Sustainability of basic health services promoted

Example 4:

SO 4: Basic education to meet market demand improved

- IR 4.1: Models for quality primary education demonstrated
- IR 4.2: Self-sustaining system to provide quality english language training developed
- IR 4.3: Increased capacity of secondary education to meet market demand.

BEST AVAILABLE

WORKSHEET 4: RESULTS FRAMEWORK ASSESSMENT

Sector: ______________________________

Strategic Objective: ______________________________

CRITERIA FOR ASSESSING THE RESULTS FRAMEWORK	Yes	No	Unsure	COMMENTS
CAUSAL LINKAGE: At each level of the results framework, does achievement of one result cause the achievement of the other? Is the linkage direct?	❑	❑	❑	
CONTRIBUTIONS OF USAID PARTNERS: At each level of the results framework, have activities been identified (regardless of whether they will be conducted by USAID or its partners) to cause the result at the next level? [Note: not all results from USAID partners need to be identified in the framework but there may at least be mention of them in the narrative that accompanies the framework.]	❑	❑	❑	
MANAGEABLE INTEREST (A): Is the SO level result one that the team, working with its partners, can materially affect?	❑	❑	❑	
MANAGEABLE INTEREST (B): Is the team willing to be held accountable for all results within the results framework, including the SO level result?	❑	❑	❑	
CRITICAL ASSUMPTIONS: Have all the critical assumptions been identified at each level of the results framework?	❑	❑	❑	

OTHER COMMENTS:

RECOMMENDATION:

___ **Accept results framework**
___ **Revise results framework and then accept**
___ **Reject results framework**

*NOTE: Refer to **TIPS 13: Building a Results Framework** for additional information and examples of quality results frameworks.*

Examples of Correct and Incorrect Logic in Results Frameworks

TAUTOLOGICAL/DEFINITIONAL LINKAGES		
	INCORRECT LOGIC	**CORRECT LOGIC (CAUSAL)**
EXAMPLE 1	SO: STRENGTHENED INSTITUTIONAL CAPACITY IR: Improved institutional capacity for delivering goods and services	SO: *INSTITUTIONAL PERFORMANCE* IMPROVED IR: Improved *institutional capacity* for delivering goods and services
CATEGORICAL LINKAGES		
	INCORRECT LOGIC	**CORRECT LOGIC (CAUSAL**
EXAMPLE 1	SO: INCREASED TRANSFER OF STATE-OWNED ASSETS TO THE PRIVATE SECTOR IR 1: Increased transfer of state-owned land to the private sector. IR 2: Increased transfer of state owned housing to the private sector IR 3: Increased transfer of state-owned enterprises to the private sector	SO: INCREASED TRANSFER OF STATE-OWNED ASSETS TO THE PRIVATE SECTOR IR 1: Legal authorities and regulations established. IR 2: Increased capacity of public and private institutions involved in the privatization process IR 3: Increased citizen and business community participation in privatization programs
EXAMPLE 2	SO: MORE EFFECTIVE MANAGEMENT OF THE NATURAL RESOURCE BASE IR 1: More effective management of forest resources IR 2: More effective management of coastal resources IR 3: More effective management of agricultural resources	SO: IMPROVED MANAGEMENT OF THE NATURAL RESOURCE BASE. IR 1: Increased institutional capacity of the ministry of environment IR 2: National environmental action plan implemented IR 3: Selected laws governing private sector practices with respect to natural resources adopted and enforced

CATEGORICAL LINKAGES (CONT.)		
	INCORRECT LOGIC	**CORRECT LOGIC (CAUSAL)**
EXAMPLE 3	SO: CIVIL SOCIETY GROUPS PARTICIPATION IN GOVERNMENT DECISION PROCESSES INCREASED IR 1: AIDS NGO's increase their role in relevant health policies IR 2: CBNRM communities increase their role in setting conservation land policies IR 3: NGO and women's group networks increase their role in NGO regulation setting.	SO: CIVIL SOCIETY GROUPS PARTICIPATION IN GOVERNMENT DECISION PROCESSES INCREASED IR 1: Capacity of targeted civil society groups increased. IR 2: Enabling environment for citizen participation in targeted sectors improved.
CHRONOLOGICAL LINKAGES		
	INCORRECT LOGIC	**CORRECT LOGIC (CAUSAL)**
EXAMPLE 1	IR 1: Sustainable NRM methodologies implemented in pilot areas. IR 1.1: Improved NRM methodologies identified and tested in pilot areas. IR 1.1.1: Current practices (sustainable and non-sustainable) identified and analyzed.	IR 1: Sustainable NRM methodologies implemented in pilot areas. IR 1.1: AGA* and community environment groups develop NRM plans in pilot areas. IR 1.1.1 AGA's* NRM analysis and testing units functioning in pilot areas. * AGA = Agricultural and Game Authority.

DAY 2: INDICATORS AND DATA COLLECTION

8:00 – 8:30 AM **HOUSEKEEPING**

8:30 – 10:15 AM **DEVELOPING PERFORMANCE INDICATORS & COLLECTING DATA**
By the conclusion of this session participants will (a) understand and be able to apply USAID standards for "good" indicators; (b) be aware of different ways to develop indicators for qualitative results; (c) recognize the trade-offs involved in selecting a data collection approach.

10:15 – 10:30 AM **BREAK**

10:30 – 12:30 PM **CASE EXERCISE #2: PERFORMANCE INDICATORS**
In this session participants will practice the skills they learned in the previous session and develop the performance indicators portion of a PMP using the workshop case study.

12:30 – 1:30 PM **LUNCH**

1:30 – 2:30 PM **REPORT OUT ON CASE EXERCISE #2 (PERFORMANCE INDICATORS)**

2:30 – 4:30 PM **WORK ON PARTICIPANTS' PMPs.**
Participants will begin working on their own PMPs using the workplan they developed on Day 1 as a guide. Resource people will be available to provide assistance.

COFFEE AVAILABLE AT 3:30

Developing Indicators and Collecting Data

Performance Management Workshop

USAID
US Agency for International Development
Bureau for Policy and Program Policy Coordination
Integrated Managing for Results
Contract #: AEP-C-00-99-00034-00

PriceWaterhouseCoopers
1616 North Fort Myer Drive
Arlington, VA 22209-3195
(703) 741-1000

Learning Objectives for This Session

By the end of this session, you will:

- Understand and be able to apply USAID standards for "good" indicators;
- Be aware of different ways to develop indicators for qualitative results
- Recognize the trade-offs involved in selecting a data collection approach

How Can Indicators Help with Management? 3

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Performance Indicators Can't Tell You... 4

- What is causing a certain result
  - Poor results do not necessarily mean poor execution
  - Good results don't guarantee that everything is going well

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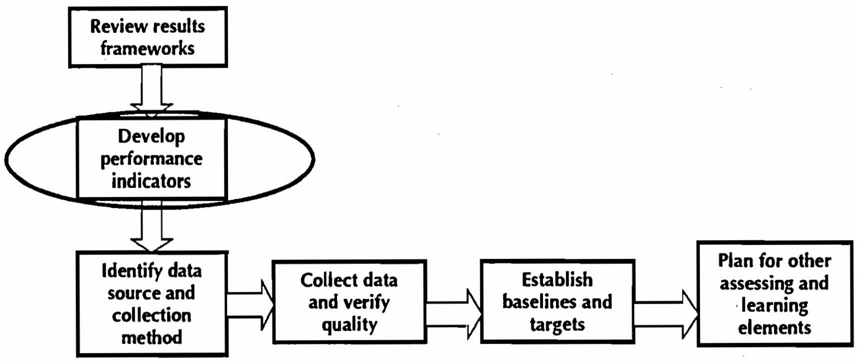
The PMP Development Process

5



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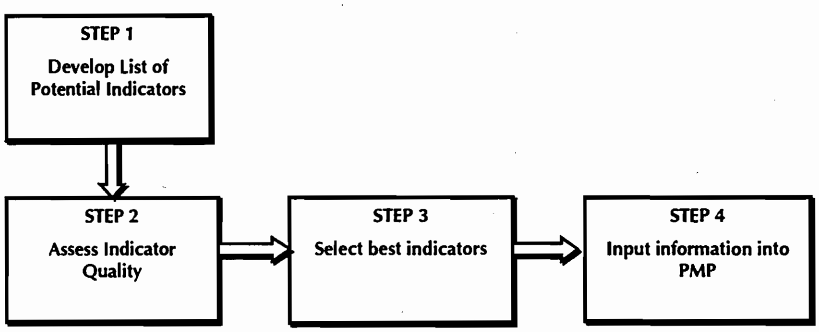
The Indicator Development Process

6



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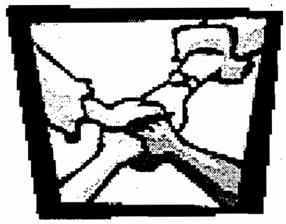
Developing Indicators - Who Can be Involved? 7

- SO team
- Sector experts
- Data collection experts



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Developing Indicators - Sources to Consult 8

The most important source of indicators.......

Your portfolio of activities

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Selecting Indicators - Other Sources to Consult 9

USAID Sources

- R4 Database
- Agency Sector Expertise (Central & Regional Bureaus; Other Missions)

External Sources

- Sector/regional experts
- The internet (for indicators used by other organizations)

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STEP 2: Assess Indicator Quality 10

Four Quality Standards

Direct	**Objective**	**Practical**	**Adequate**

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Direct

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- The indicator should closely track the result it is intended to measure.

EXAMPLE

Result: Expanded citizens knowledge of their rights

Direct Indicator: % of target population who are able to identify 3 or more key civil rights in a survey

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Proxy Indicators

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- Proxy indicators are ***indirect measures*** of the intended result.
- Use if data for direct indicator is ***unavailable*** or ***not feasible to collect.***

EXAMPLE

Result: Expanded citizens knowledge of their rights

Direct Indicator: % of target population who are able to identify 3 or more key civil rights in a survey

Proxy Indicator: Number of civil rights cases brought to court by targeted community organizations

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Objective

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Objective indicators are

- UNAMBIGUOUS about
  - What is being measured
  - What data are being collected
- UNI-DIMENSIONAL
- OPERATIONALLY PRECISE
- CONSISTENT OVER TIME

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Adequate

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- Taken as a group, the indicator and its companion indicators should be the minimum necessary to capture progress towards the desired result.
- How many indicators?
  - As many as are ***necessary*** and ***cost effective*** for management purposes
    - Too many indicators results in information overload
    - Too few indicators could be misleading

RULE OF THUMB
2-3 PER RESULT

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Practical

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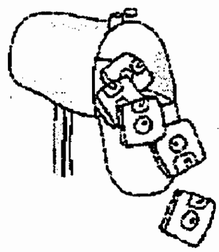
- An indicator is practical if
  - data are available when required for decision making
  - data can be obtained at reasonable cost



STEP 3: Select Best Indicators

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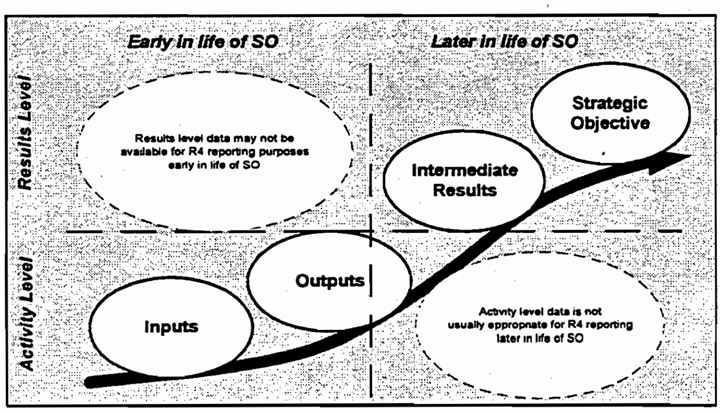
- Is the indicator useful for management?
- Which indicators are most meaningful at a given point in time?



STEP 3: Select Best Indicators

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- Is the measure attributable to USAID and partner efforts?
- Will dissagregation provide meaningful information?
- Is the indicator credible?
- Does the indicator meet the necessary quality standards?
  - Direct
  - Objective
  - Practical
  - Adequate

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STEP 4: Document Indicators in PMP

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- Indicators and their precise definition
- Assessment of indicators against quality standards
- Basis on which indicators were selected
- Any known weaknesses in selected indicators and steps taken/planned to address them

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Update PMP During Life of SO

19

- Reassessment of indicators against quality standards
- Any changes to indicators and the rationale for the change
- Any continuing weaknesses and steps taken/planned to address them

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Special Considerations

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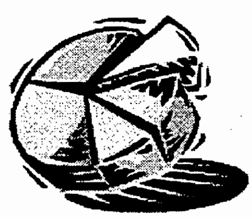
- Changing indicators
- Quantitative or qualitative?
- Indicators for hard-to-measure results



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Quantitative or Qualitative Indicators? 21

Some Issues to Consider.........

- Can we get meaningful information by using quantitative indicators?
- Can we get objective, convincing information by using qualitative indicators?
- Can we quantify our qualitative indictors without losing important information?
- Do we need a mix of the two?

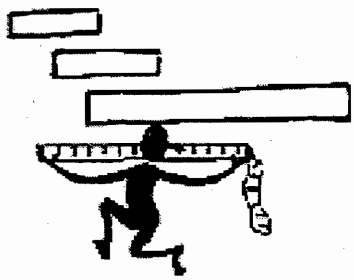
Quantitative or Qualitative Indicators? 22

USAID Guidance

- Use the most appropriate type for the result being measured
- If a qualitative measure is the most appropriate,
  - Clearly define each term used in the measure
  - Make sure to document all definitions

Indicators for Hard-to-Measure Results

- Some ways to measure complex results
  - Rating Scales
  - Milestone Scales
  - Indexes
  - Scorecards



Rating Scales

Definition: *A rating device that presents a range of responses on a* ***single issue*** *or a* ***single dimension of an issue.***

- Three major types of rating systems
  - Written descriptions
  - Photographs
  - Other visual scales
- Rating is done by trained observers or by experts

Examples

25

- Rating *completion* of steps in a process - USAID/Morocco

- Rating *movement* in the policy reform process - USAID/Egypt

Strengths and Weaknesses of Rating Scales

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STRENGHTHS	WEAKNESSES
Facilitates data collection on "soft" dimensions of development	Derived numbers can be misleading if underlying data are invalid or unreliable
Enables transformation of "subjective" information into numbers	

Milestone Scale

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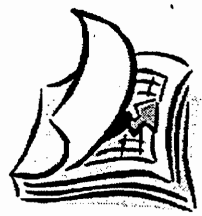
- Tracks progress
- Clearly defines each critical phase
- Helps to quantify qualitative assessments



Example:

Measuring stages of the legal reform process

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Indexes

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DEFINITION: *Combination of multiple ratings to assess an overall concept or issue*

Examples:

- Complex Policy Index - USAID/Morocco;
- Simple Policy Index - USAID/Indonesia

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Strengths and Weakness of Indexes

STRENGHTHS	WEAKNESSES
A weighting system can be applied to assign greater or lesser value to each item in the index.	Incorrect weighting can lead to erroneous conclusions
Useful for measuring progress in areas where complex, qualitative judgements are required.	Combining too many elements into a single number has limited management utility

Scorecards

- A simple index
- Based on yes/no responses
- Useful in determining whether certain characteristics are present
- Most useful for straightforward judgements

Example - Scorecard Format

	Score		Weight	Weighted Score
Budget code revised	_____	X	2	_________
New procedures issued	_____	X	2	_________
FMIS installed & operating	_____	X	1	_________
	TOTAL			_________

Rating: Yes = 1; No = 0

Maximum possible score = 5; Minimum = 0

Scales, Indexes and Scorecards

Some things to keep in mind.....

- Different people use scales differently
- How many values should the scale have?
- Raters should be trained
- Consistency of ratings is key
- Using the same team of raters helps
- Weights should be assigned with care

The PMP Development Process

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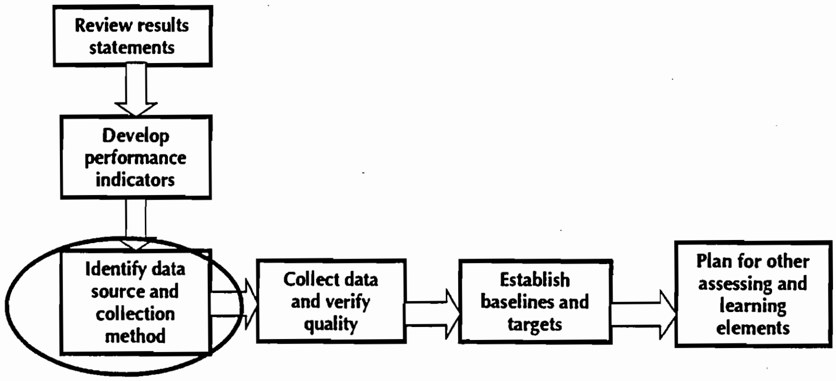

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Three sources of performance information

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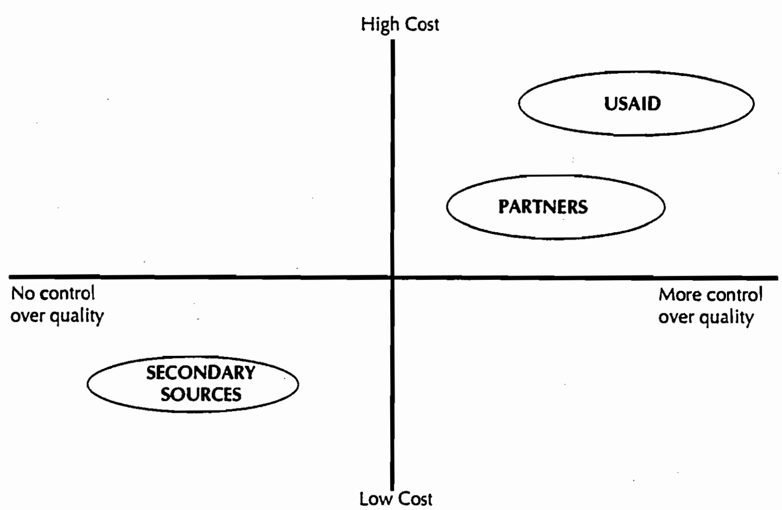

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Data Collection Techniques

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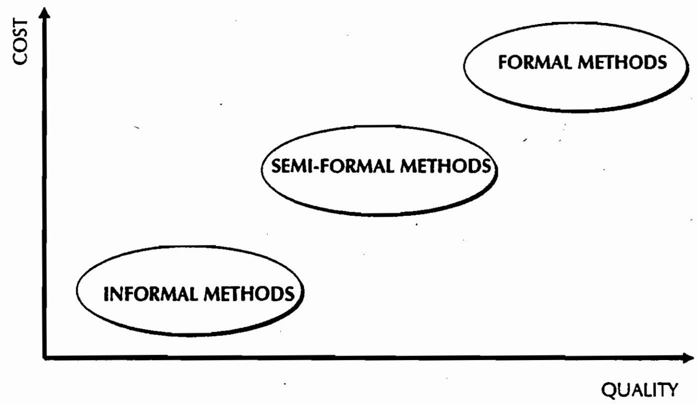
- A spectrum of techniques



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Factors that affect choice of data collection method

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- Data quality (validity, reliability, timeliness, precision, integrity)
- Cost
- Feasibility
- Management usefulness (level of detail and accuracy)
- Accommodation of demographic and/or geographic diversity
- Response rate

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A final thought.......

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Not everything that can be measured matters and not everything that matters can be measured

Indicator Exercise

Using Worksheet 5: Indicator Quality Assessment Tool

You will be assigned one or more of the following indicators as an exercise in the use of Worksheet 5, of The Performance Management Toolkit.

Using the reality of your own mission as the context within which the indicator must serve its function, evaluate the indicator(s) assigned. For each question **in bold** on the worksheet assign a value from 0 (not at all) to 4 (definitely yes). Make a recommendation at the bottom of the Worksheet.

1.Result: Expanded citizens' knowledge of their rights

Indicator: % of target population who are able to identify 3 or more key civil rights

2. Result: Increased household income

Indicator: Number of households with radios

3. Result: Increased agricultural productivity

Indicator: Monthly expenditure on transport

4. Result: Primary school services in target area improved

Indicator: Literacy and primary school enrollment rates

5. Result: Medium-sized firms strengthened

Indicator: # of successful export firms

6. Result: Increased use of child survival services

Indicators:
- **Vaccination rate**
- **ORT use rate**
- **Acute respiratory cases**

WORKSHEET 5: PERFORMANCE INDICATOR QUALITY ASSESSMENT

Indicator: ______________________________

Relevant Result: ______________________________

CRITERIA	COMMENTS
Is the indicator DIRECT? ▪ Does it closely measure the result it is intended to measure? ▪ Is it grounded in theory and practice? ▪ Does it represent an acceptable measure to both proponents and skeptics? ▪ If it is a proxy, is it as directly related to the relevant result as possible?	
Is the indicator OBJECTIVE? ▪ Is it unambiguous about what is being measured? ▪ Is there general agreement over the interpretation of the results? ▪ Is it unidimensional (i.e., does it measure only one phenomenon at a time)? ▪ Is it operationally precise (i.e., is there no ambiguity over what kind of data should be collected)?	
Is the indicator PRACTICAL? ▪ Are timely data available (i.e., is data current and available on regular basis)? ▪ Can the data be collected frequently enough to inform management decisions? ▪ Are data valid and reliable? ▪ Are the costs of data collection reasonable?	

CRITERIA	COMMENTS
Is the indicator ADEQUATE? ▪ Does it merely indicate progress rather than attempt to fully describe everything an activity accomplishes? ▪ Taken as a group, are the indicator and its companion indicators the minimum necessary to ensure that progress toward the given result is sufficiently captured?	
Is the indicator DISAGGREGATED, if appropriate?	
Is the indicator a RESULTS measure? ▪ Does it reflect an outcome of the program, not completion of an activity or process? Outcomes can include: - Impact of services - Quality of services - Customer satisfaction - Timeliness - Costs/Efficiency	
Is the indicator within USAID's MANAGEABLE INTEREST? ▪ Can changes in the value of the indicator be reasonably attributed to the efforts of USAID and its partners?	
Is the indicator USEFUL for management?	
Is the indicator EASY to understand, communicate, and use?	
Is the indicator CREDIBLE?	

OTHER COMMENTS:

RECOMMENDATION:

Indicator Quality Standards - Examples

INDICATOR QUALITY STANDARD 1: INDICATORS SHOULD BE DIRECT

EXAMPLES OF DIRECT INDICATORS	
EXAMPLE 1	Result: Expanded citizens knowledge of their rights Direct Indicator: % of target population who are able to identify 3 or more key civil rights
Example 2	Result: Increased use of family planning methods Direct Indicator: Contraceptive prevelance rate
Example 3	Result: Improved child health Direct Indicator: Child mortality rate

If direct indicators are not available or feasible, PROXY indicators can be used.

EXAMPLES OF PROXY INDICATORS	
EXAMPLE 1	Result: Expanded citizens knowledge of their rights Proxy Indicator: Number of civil rights cases brought to court by targeted community organizations.
Example 2	Result: Increased transfer of environmentally sustainable farming practices Indicator: Percent of farmers trained to use X number of specific environmentally sustainable practices
EXAMPLE 3	Result: Increased household income Proxy Indicator: Number of households with radios

INDICATOR QUALITY STANDARD 2: INDICATORS SHOULD BE OBJECTIVE

(a) The indicator should be UNAMBIGUOUS about what is being measured and what data are being collected.

Example 1	Poor Example: Monthly expenditure on transport (This is a poor example because the unit of measure is not specified) Good Example: Monthly expenditure on transport per individual, or Monthly expenditure on tranport per household.
Example 2	Poor Example: Caloric intake (This is a poor example because the specific target group (displaced persons residing in targeted geographical regions) is not specified. Good Example: Caloric intake of displaced persons residing in targeted geographical regions

(b) The indicator should be uni-dimensional

Example 1	Poor Example: Number of policies adopted and implemented Good Example: Number of policies adopted Number of policies implemented (OR develop a milestone indicator)
Example 2	Poor Example: Literacy and primary school enrollment rates Good Example: Literacy rate Primary school enrollment rate
Example 3	Poor Example: Resource use efficiency and equity of resource distribution Good Example: Efficiency of resource use Equity of resource distribution

(c) The indicator should be OPERATIONALLY PRECISE

Example 1	Poor Example: Non-traditional exports Good Example: Constant US$ value of non-traditional exports. (Non-traditional exports are all exports except coffee and cocoa)
Example 2	Poor Example: # of successful export firms Good Example: # of export firms experiencing an annual increase in pre-tax earnings of at least 5%

Indicator Quality Standard 3: The indicator and its companion indicators should be ADEQUATE to capture progress towards the result

Example 1	Poor Example: Result: Resource use policies and regulations passed and implemented Indicator: Forestry laws passed and iplemented Good Example: Result: Resource use policies and regulations passed and implemented. Indicators: - forestry laws passed and implemented - Legislation to increase number and size of protected areas passed and implemented - Coastal management regulations implemented
Example 2	Poor Example: Result: Increased use of child survival services Indicator: Vaccination rate Good Example: Result: Increased use of child survival services Indicators: - Vaccination rate - ORT use rate - Acute respiratory infection cases

Indicator Quality Standard 4: The indicator should be PRACTICAL

(a) Data should be available FREQUENTLY enough for decision making

Example: DHS data available every five years. If this is only data source for a result, this is not frequent enough for decision making.

(b) Data should be CURRENT enough for decision making

Example: GDP data. This is available every year but the figures are two years old by the time they are available. This would not be current enough for decision making purposes.

(c) Data should be available at REASONABLE COST

Examples of Qualitative Indicators

Example 1: Rating Completion of Steps in a Process (USAID/Morocco)

Index of improved institutions and policies for water resources management in the Souss-Massa River Basin

This matrix is a tool for tracking progress in individual institutional and policy reform efforts and for compiling those results. Improvements will require that the representative issues listed in column one be addressed. Development, adoption and implementation of capacity-building or policy reforms (action) will require the four ordered steps of the policy process (listed in columns 2-5). Total progress toward implementing a sustainable program to address a specific issues is represented (in the last column) as the percentage of major steps of the policy process that have been achieved. Each of the four steps is equally weighted (25%). Progress toward implementing the total integrated program is represented by the average score in all issues.

Partial completion of steps in the policy process will be scored according to progress through steps detailed in annual work plans. Note that theses actions apply to the entire basin, rather than to individual sites.

	State of and pressures on system analyzed (of 25%)	Proposal for response drafted and submitted (of 25%)	Response measures reviewed and adopted (of 25%)	Response measures implemented (of 25%)	TOTAL PROGRESS BY ISSUE (of 100%)
Creation of RBA					
Technical capacity to allocate and monitor water quantity and quality					
Institutions, procedures, and standards necessary to enforce water quality established and applied					
Procedures for reducing and/or reallocating water established					
Mechanisms for communication between sectors and agencies established and utilized					
Mechanisms for public participation and communication established and utilized					
Sustainable source of revenue to RBA established					

Example 2: Rating Movement in the policy reform Process (USAID/Egypt)

USAID/Egypt has devised a method for measuring the rate of progress in policy reforms by assigning points to steps made forward or backward in a process.

Rating Movement in Policy Reform

Policies	**January Results 7/1/94-12/31/94**	**July Results 1/1/95 – 6/30/95**	**January Results 7/1/95 – 12/31/95**	**Status**
A. Foreign exchange market rate system	2.00	1.40	1.72	Forward at a slow pace
B. Interest rate and monitory policies	2.33	3.00	3.72	Some movement forward at a quicker rate
C. Fiscal Reform ▪ Overall ▪ Fiscal deficit ▪ Taxes ▪ Expenditures	 ▪ 0.36 ▪ 2.33 ▪ 0.50 ▪ 0.50	 ▪ 1.32 ▪ 2.80 ▪ 0.60 ▪ 0.60	 ▪ 3.72 ▪ 3.22 ▪ 0.29 ▪ 0.38	Quicker, especially deficit, movement forward. Slower, minor forward movement

Scoring scale: 10 represents at least one major or significant step forward; 9 to 7, important movement forward; 6-4, some movement forward; 3 – 1 a little movement forward; 0 no movement or no progress; -1 to –3 a little backward movement; -4 to –6 some backward movement; -7 to –9 serious backward movement; and –10 at least one major or significant backward step. For each reform, the scoring is accompanied by narrative text that provides details on the nature of the forward or backward movement.

Scoring method: Every six months USAID/Egypt invites the "distinguished members of the Amun Oracle Panel" to core and comment on the Egyptian government's progress in achieving major policy reforms and to project key economic variables. The mission notes that the reader should be aware that these scores of progress and projections are subjective and that there are no "correct" estimates as such.

NOTE: The scoring is unique, in that it does not presume that movement in the policy reform process will only be forward. However, no score denotes full implementation of a given policy. This means that it is difficult or impossible to determine where the reform process is on a continuum. Examples of this kind of continuum include identification to implementation of a reform or movement from a poor policy framework to a supportive one.

Source: TIPS #14 *Monitoring the Policy Reform Process.*

Example 3: Measuring Stages in the Legal Reform Process

This example presents a milestone scale for measuring legal reform. Legal reform can take a long time to achieve, so breaking down the process into milestone events or stages is helpful for showing progress. The methodology can be used in any sector for any type of reform, but the description of the stages will probably differ.

Stage 1: Interested groups propose that legislation is needed on a particular issue
Stakeholders, public-interest groups, think tanks, key donors and others press for new legislation, such as by sharing relevant legislation and models from other countries, soliciting press coverage, sponsoring public forums or hearings, scheduling meetings with government officials and elected officials and publishing papers. Stakeholders may form networks an coalitions to advocate.

Stage 2: Issue is introduced in the relevant legislative committee or ministry.
The issue is raised, discussions are held, studies/research are conducted and hearing conducted by committee.

Stage 3: Legislation is drafted by relevant committee or ministry
If drafted by the ministry, it is submitted to the legislature.

Stage 4: The legislature debates the legislation
Might include additional committee hearing, or consideration of alternative model laws, projecting likely impact of various provision and broad participation from delegates and stakeholders representing different factions and parties. This stage might take some time, if revised versions are needed before passage.

Stage 5: Legislation is passed by full approval process needed in legislature

Stage 6: The executive branch approves the legislation (where necessary)

Stage 7: Implementing actions are taken
These could include executive agencies passing operating regulations, information being disseminated to citizens about the new law, and administering agencies being informed and provided with technical assistance to fill any new role required by the law.

Stage 8: No immediate need identified for amendments to the law
This shows that the law was well crafted and lawmakers believe that, given time, it will have its intended effect

Scoring method: Performance is reported by presenting the highest stage (milestone) passed during that year. If processes are not sequential, the score could be the number of stages completed during that year. In that case, information on which stages have been completed should be presented in addition to the number of stages. Missions set performance targets by proposing what stage will be achieved in the coming years for each reform being promoted.

Source: *Handbook of Democracy and Governance Program Indicators*, (1988)

Example 4: A Simple Policy Index (USAID/Indonesia)

USAID/Indonesia uses a 100 point index to measure government and industry progress in adopting policies and procedures that reduce environmental damage and promote environmentally sound energy supply and use.

Indicator Description:

This indicator uses a 100 point index to provide a qualitative measure of overall progress in establishing a regulatory environment that includes compatibility with renewable energy and energy efficiency. The index will track the achievement of milestones in regulatory policy development and implementation. Each individual policy will be rated in terms of potential and realized impact in the Indonesian energy sector. The points given reflect the significance of the activity in achieving the needed regulatory environment. Partial credit or partial points will be granted also. For example, 10 of the total 15 points will be considered "achieved" if the transmission/transfer pricing framework is under review in the ministry of mines and energy by the end of the Indonesian fiscal year. Full credit of 15 points will be granted once the framework is implemented. Points awarded for each activity, if fully implemented by the ministry, are identified below.

- Technical assistance in drafting the transmission/transfer pricing framework – 15 points
- Technical assistance in drafting the Grid Access Code – 15 points
- Technical assistance in drafting a regulatory framework – 50 points
- Technical and human resources development assistance that leads to the establishment of a regulatory body within MME – 10 points
- Technical assistance in developing Rules or Procedures that will assist MME in implementing the country's global climate change commitments in the energy sector – 10 points

Year	Planned	Actual
1996-97	N/A	0
1997-98	25	
1998-99	50	
1999-2000	70	
2000-01	80	
2001-02	90	
2002-03	95	
2003 (T)	100	

Source: TIPS 14 – *Monitoring the Policy Reform Process*

DAY 3: DATA QUALITY ASSESSMENT

8:00 – 8:30 AM	**HOUSEKEEPING**
8:30 – 10:45 AM	**ASSESSING DATA QUALITY** By the conclusion of this session participants will (a) understand USAID standards for data quality; (b) be familiar with techniques to assess data quality.
10:45 – 11:00 AM	**BREAK**
11:00 – 12:30 PM	**CASE EXERCISE #3: DATA QUALITY** In this session participants will practice the skills they learned in the previous session and develop strategies to avoid data quality problems using the case study.
12:30 – 1:30 PM	**LUNCH**
1:30 – 2:30 PM	**REPORT OUT ON CASE EXERCISE #3 (DATA QUALITY)**
2:30 – 4:30 PM	**WORK ON PARTICIPANT'S PMPs** Participants will continue working on their own PMPs. Resource people will be available to provide guidance. **COFFEE WILL BE PROVIDED AT 3:30**

Assessing Data Quality

Performance Management Workshop

"There are three kinds of lies:

lies, damned lies, and statistics."

--Mark Twain

USAID

US Agency for International Development
Bureau for Policy and Program Policy Coordination
Integrated Managing for Results
Contract #: AEP-C-00-99-00034-00

PriceWaterhouseCoopers

1616 North Fort Myer Drive
Arlington, VA 22209-3195
(703) 741-1000

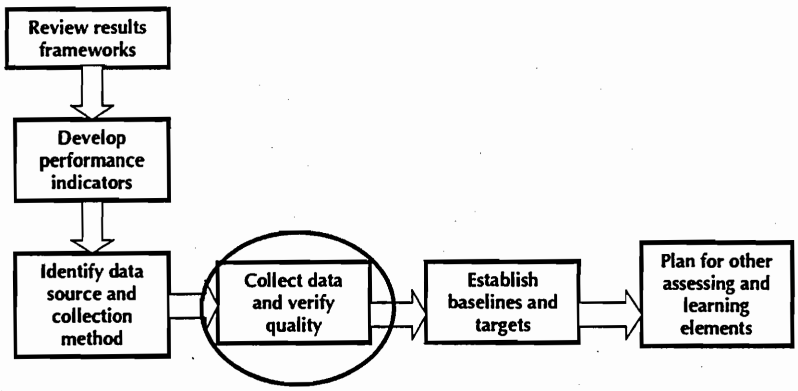
Learning Objectives

By the conclusion of this session participants will:

- Understand USAID standards for data quality;
- Be familiar with techniques to assess data quality;
- Know some practical approaches to building SO Team commitment to data quality improvement.

The PMP Development Process

3



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WIIFM: What's in it for the Mission / for Me?

Why should we care about data quality?

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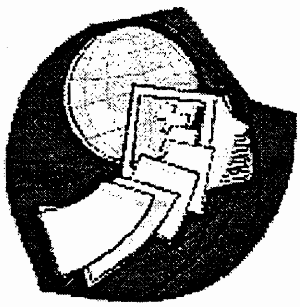
Basic Principle 5

Managers need to know if they can trust their data to be able to use it for making decisions



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Data Quality Challenges 6

How much data relevant to our programs are "out there?"

Availability depends on:

- Data collection capacity and tradition in the host country
- Access to government information
- Local government unit capacity
- Capacity of implementing partners
- Public attitudes toward social data and surveys
- Available data documentation
- Sector and sub-sector issues
- USAID resources

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Data Quality Challenges

7

How much of the available data are "good enough" to meet USAID's and partners' needs?

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Agency Guidance on Data Quality

8

Revised ADS 203 includes:

- More emphasis on data quality for R4 reporting
  - New standards of integrity and precision
  - Emphasis on quality of indicators and data reported in R4
- Specific guidance on how to conduct data quality assessments, by data source
  - Implementing partners
  - Secondary sources
  - USAID as primary source

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Agency Data Quality Standards

9

- Performance data should be as complete, accurate and consistent as management needs and resources permit.

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Data Quality Standards (cont'd)

10

- **Validity**—Do data clearly and directly measure what we intend?
- **Reliability**—Using the same measurement procedures, can the same results be obtained repeatedly?
- **Timeliness**—Are data sufficiently current and available frequently enough to inform management decision-making at the appropriate levels?
- **Precision**—What margin of error is acceptable given the likely management decisions to be affected?
- **Integrity**—Are mechanisms in place to reduce the possibility that data are manipulated for political or personal reasons?

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Watch Out for Bias! 11

Examples of bias include:

- Interviewer bias
- Instrument or measurement bias
- Response bias
- Recall bias
- Time or seasonal bias

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How Good do Data Have to be? 12

- No data are perfect!
- Data need to be good enough to document performance and support decision-making
- Different measures may require different levels of quality
- The expected change being measured should be greater than the margin of error
- Use professional judgment
- Document decisions and supporting information

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How Good Do Data Have to Be? 13

Judgments about sufficient level of quality should reflect:

- ***Uses of the Data***
- ***Management judgments*** about what level of quality is needed for confident decisions
  - Consequences of the program or policy decisions based on those data
- ***Technical assessments*** about what degree of quality is possible
  - Professional judgement about acceptable error levels
  - Implications for data collection methodology, sampling strategy

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How Good Do Data Have to Be? (cont'd) 14

Judgments about sufficient level of quality should reflect:

- ***Practical considerations***, such as cost
  - Trade-off between accuracy and cost
  - Trade-off between dimensions of quality (e.g., timeliness and completeness)

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A Practical Approach to Data Quality Assessment

15

- Develop and use a data quality assurance plan
  - Initial data quality assessment
  - Periodic data quality assessments--at least triennially
  - Partner and USAID capacity development
- Maintain written policies and procedures
- Maintain an audit trail

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Who Should be Involved?

16

- SO team members
- Partners
- Sector specialists
- Specialists in data quality

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Five Steps in Conducting an Assessment

17

- Verify and validate performance information to ensure that data are of reasonable quality
- Review data collection, maintenance, and processing procedures to ensure consistent application
- If data quality limitations are identified, take steps to address them
- Document the assessment in the "Comment" section of the appropriate R4 performance data table
- Retain supporting documentation in files

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Goal of Data Quality Assessment

18

Goal is to ensure SO team is aware of:

- Data strengths and weaknesses
- Extent to which data can be trusted when making management decisions and reporting

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Assessment Guidelines for Partner Data

19

- Meeting requirements for data quality assessments need not be excessively onerous!
  - Periodically sample and review raw data
  - Review reports from partner to verify consistency
  - Conduct spot checks
  - Conduct audits of financial information

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Assessment Guidelines for Secondary Source Data

20

- USAID usually cannot audit or investigate data quality in depth

Instead......

- Arrange for briefing on the data collection, analysis, and quality control procedures
- Review the data with other development partners to gain an appreciation of accuracy and credibility
- Triangulate

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Assessment Guidelines for Primary Source Data

21

- Data quality standards are met
- Data collection methods minimize error
- Written procedures are in place for data collection
- Data are collected by qualified personnel
- The data collection process is consistent from year to year
- Safeguards are in place to prevent unauthorized changes to the data
- Source documents are maintained and readily available
- Duplicate data are detected

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Practical Tips for Assessing Data Quality

22

- Build assessment into normal work processes
- Use software checks and edits of data on computer systems
- Get feedback from users of the data
- Compare the data with data from other sources
- Obtain verification by independent parties

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Responding to Data Limitations

23

Assessments of data quality are of little value unless SO teams respond to data limitations

- Ensure transparency—report data limitations and their implications for assessing performance
- Improve an indicator by using another source or new methods of measurement
- Adjust, supplement, or replace problematic data
- Triangulate—use multiple data sources, with offsetting strengths and limitations

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24

The best way to improve data quality is to USE the data!

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Discussion

25

How can we build a commitment to data quality in our SO teams and operating units?

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Foster Commitment to & Capacity for Quality

26

Within USAID

- Communicate support for quality data
- Review organizational capacities and procedures for data collection and use
- Assign clear responsibilities
- Adopt mechanisms that encourage objectivity and independence in collecting and managing data

With Partner Organizations

- Provide implementing partners with technical assistance
- Share Agency data quality standards with partners (including need for baselines, targets, and disaggregated data)
- Support partners in the development of written activity-level PMPs

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Tips for Building Quality into the Development of Performance Data

27

- Use prior research or analysis to identify data elements that adequately represent the performance to be measured
- Gain agreement among internal and external stakeholders about a set of measures that are valid for their intended uses
- Plan, document and implement the details of the data collection and reporting systems
- ***Other ideas?***

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Plan for Data Quality in the PMP

28

Planning for data quality in the PMP could include:

- Justification, assumptions and specifications for performance indicators
- Definitions of each indicator and unit of measurement
- Specifications for data collection (source, method, frequency, timing)

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Plan for Data Quality in the PMP (cont'd)

Planning for data quality in the PMP could also include:

- Assessments of indicator and data quality
- Agreements among USAID/W, the operating unit and implementing organizations for ensuring data availability at the operating unit

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DAY 4: THE PMP AS A MANAGEMENT TOOL

8:00 – 8:30 AM	**HOUSEKEEPING**
8:30 – 10:30 AM	**THE PMP AS A MANAGEMENT TOOL** By the conclusion of this session participants will (a) recognize common pitfalls in setting baselines and targets and ways to avoid them; (b) understand ways to plan for and improve other aspects of assessing and learning such as data analysis, reporting and portfolio reviews, (c) be aware of the strengths and weaknesses of technology as an enabler in performance management.
10:30 – 10:45 AM	**BREAK**
10:45 – 12:00 PM	**CASE EXERCISE #4 (FINALIZE PMP)** In this session participants will practice the skills learned in the previous session to finalize the case PMP including identifying and scheduling assessing and learning activities that could be carried out for the case scenario.
12:00 – 1:00 PM	**LUNCH**
1:00 – 2:00 PM	**REPORT OUT ON CASE EXERCISE #4 (FINALIZING THE PMP)**
2:00 – 4:30 PM	**WORK ON PARTICIPANT'S PMPs** During this session participants will complete the work they started on their own PMPs. Again, resource people will be available to provide assistance. **COFFEE WILL BE PROVIDED AT 3:30**

The PMP as a Management Tool

USAID Performance Management Workshop

USAID

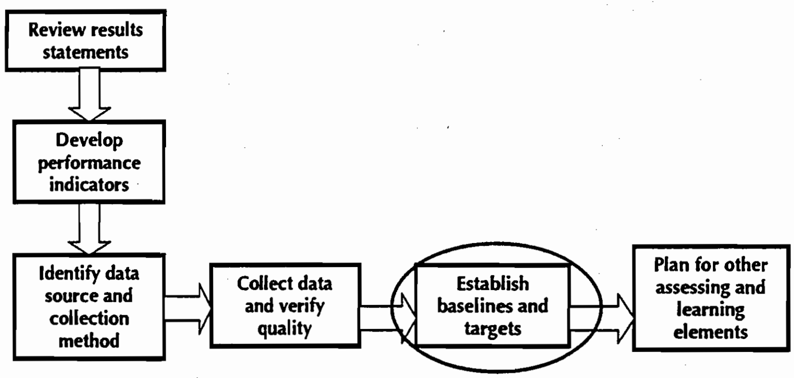
PRICEWATERHOUSECOOPERS
1616 North Fort Myer Drive
Arlington, VA 22209-3195
(703) 741-1000

Contract #: AEP-C-00-99-00034-00

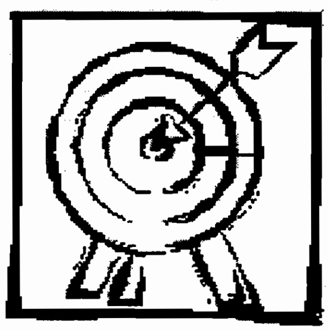
Session Learning Objectives

- Recognize common pitfalls in setting baselines and targets
- Understand ways to plan for and improve other aspects of assessing and learning
- Be aware of the strengths and weaknesses of technology as an enabler in performance management

The PMP Development Process



Performance baselines and targets



Performance Baseline 5

- Value of the performance indicator at the beginning of the planning period
- Ideally, just prior to the implementation of USAID-supported activities that contribute to the achievement of the relevant SO or IR

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Performance Target 6

- Commitments made by USAID operating units about the level and timing of results to be achieved by a program within a specified period of time.
- Can express quantity, quality or efficiency
- Final targets and interim targets
- Quantitative targets, qualitative targets

If you don't know where you're going, you'll end up somewhere else

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Best Practices in Baseline and Target Setting 7

- Look at historical trends
- Consider partner and customer expectations of performance
- Think about social norms and cultural factors
- Consult experts/research findings
- Benchmark accomplishments elsewhere
- Disaggregate where relevant and possible

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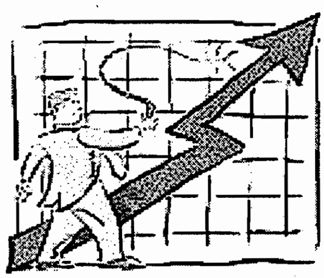
When Setting Targets.... 8

- Establish final target first, then interim targets
- May need to set targets after activities or sites are selected
- Reconsider targets during annual portfolio review
- Be realistic!



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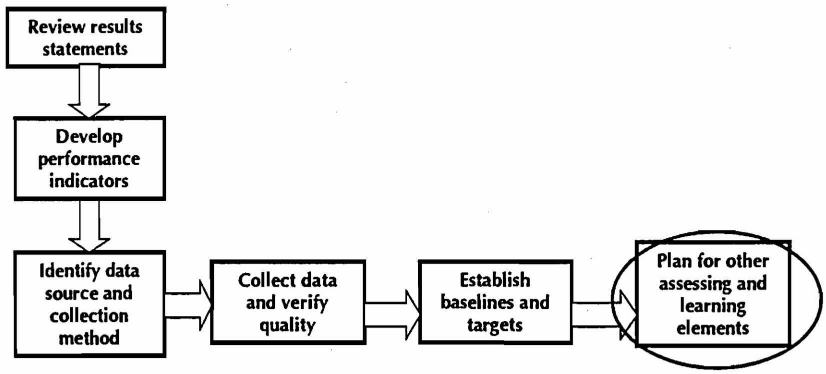
The PMP Development Process

9



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Using a PMP to Manage

10

- Plan for assessing and learning activities
- Plan for data analysis and reporting
- Involve partners
- Establish a system
- Use technology where appropriate

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Other Assessing and Learning Activities

11

Portfolio Review
- Timing
- Responsibilities
- Process

R4
- Timing
- Responsibilities

Evaluations & Special Studies
- Timing (if predictable)
- Responsibilities
- Approach
- Key Issues (if predictable)

Ongoing Data Quality Assessment
- Timing
- Approach

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Data Analysis and Reporting

12

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Effective data analysis

13

Before starting data analysis, consider:

- What is the purpose of the analysis?
  - Ongoing monitoring
  - Portfolio review
  - Strategy development
- Who is the audience for the analysis?
- How will the audience use the analysis?
- What kind of analysis will best meet the needs of the audience?
- What is the best way to present the analysis?

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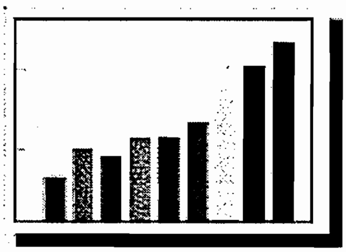
Three basic ways to analyze data

14

- Analyze data for a single result
- Analyze trends in performance
- Assess the contribution of USAID's activities to the achievement of results



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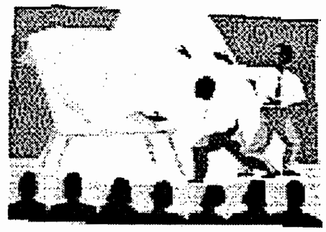
Tell a compelling story! 15



- Communicate results... it's vital for continued support
- You have many stories to tell
  - Share results that are interesting
- Be candid--build credibility through transparency
  - We all know there will be performance problems--how have you addressed them?
  - Identify data problems and limitations--what are you doing to address limitations?

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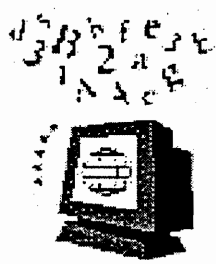
Establish a system and use technology 16



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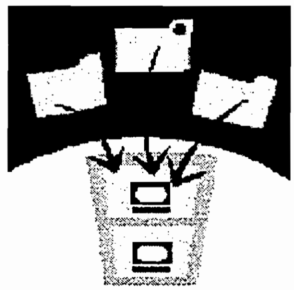
Data warehousing and analysis

17

- Paper files
- Spreadsheets (Excel)
- Simple databases (Access)
- Advanced systems (GIS)
- Mission server



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Which system is right for you?

18

- How much will data collection and processing cost?
- What is the value of the information to decision making?
- What level of data quality do decision-makers need?
- Who needs access to the data and when?
- What are the needs for security/control of data?
- What is the appropriate frequency of data collection and reporting?
- Are quality vendors/contractors available locally?

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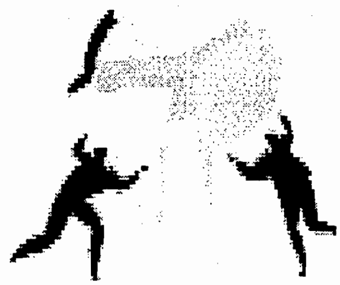
The role of partners in performance management

19



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Involving partners in performance management

20

- Involve partners in developing indicators and data collection
- Build partner's capacity for performance management
- Communicate USAID standards and policies
- Create incentives
- Share information widely
- Leverage partner knowledge of performance management methods and tools

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Use Performance Data! 21

Even the best performance information is of limited value if it is not used to identify performance gaps, set improvement targets, and improve results.

--GAO

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Create a Results-oriented Culture 22

- Use the data
- Share the results
- Hold individuals and teams accountable
- Encourage and emphasize activities that contribute to results

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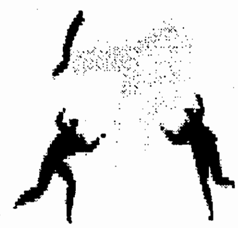
Summary

- Integrate use of performance data into management decision-making
- Be aware of the revised ADS guidance on performance management
- Plan for the effective collection, use and reporting of data - document this in the PMP
- Conduct and present data analysis for the right people at the right time
- Pick a system that's right for you
- Tell a compelling story!



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PMP as a Management Tool - Exercise

Team DG 1: Portfolio Reviews

The portfolio review is a requirement that has been introduced in the revised ADS.

Quickly skim the sections of ADS 203 that deals with Portfolio Reviews and discuss it with your group.

YOUR TASK: Based on your discussion, list:

1. Five things that you think the participants at this workshop MUST know about portfolio reviews. Record this on one sheet of flip chart paper.
2. 5 practical tips for conducting portfolio reviews. Record this on a second sheet of flip chart paper.

Nominate one person from your team to present this in plenary.

You have 30 minutes to complete the task and 5 minutes to present!!!

Team DG 2: Data analysis and reporting for performance management

Effective data analysis and compelling reporting are important aspects of managing for results. Both help to make good decisions and "tell your story" better.

In your groups discuss the role of data analysis and reporting in managing for results and some of the weaknesses you commonly encounter.

YOUR TASK:

1. Prepare a list of "TOP 10 Ways to Analyze and Report Data more Effectively". Record your "Top 10 List" on a sheet of flip chart paper.

Nominate one person from your team to present this in plenary.

You have 30 minutes to complete the task and 5 minutes to present!!!

Team EG 1: The role of technology in performance management

USAID missions are increasingly using technology in their performance management efforts. While technology can help in many ways it also has its limitations.

YOUR TASK:
Identify:

- 5 ways technology can help you with performance management. Provide examples if you can. Document this on one sheet of flip chart paper.
- 5 ways technology can not help you with performance management. Document this on a second sheet of flip chart paper.

Nominate one person from your team to present your lists in plenary.
You have 30 minutes to complete the task and 5 minutes to present!!!

Team EG 2: Involving partners in performance management

Team work/participation is one of the core values of the Agency and is a key aspect of improving performance management. Your mission director has asked you to recommend low cost ways through which your mission can increase the participation of partners in performance management.

YOUR TASK:

Develop a list of "Top 10 ways to involve partners in performance management (without spending too much money)". Document your "Top 10 list" on a sheet of flip chart paper.

Nominate one person from your team to present your lists in plenary.
You have 30 minutes to complete the task and 5 minutes to present!!!

DAY 5: PROGRAM EVALUATION

8:00 – 8:30 AM	**HOUSEKEEPING**
8:30 – 10:30 AM	**AN EVALUATION FRAMEWORK FOR PROGRAM MANAGEMENT** By the conclusion of this session participants will (a) understand key concepts in program evaluation; (b) recognize when and why evaluations should be conducted; (c) know what steps are involved in planning for and managing an evaluation.
10:30 – 10:45 AM	**BREAK**
10:45 – 12:00 AM	**CASE EXERCISE #5 (PROGRAM EVALUATION)** During this session participants will have the opportunity to practice the skills learned in the previous session including identifying key questions to be answered in a proposed evaluation based on the case study.
12:00 – 1:00 PM	**WORKSHOP WRAP UP**

An Evaluation Framework for Results Driven Management

USAID Performance Management Workshop

USAID

US Agency for International Development
Bureau for Policy and Program Policy Coordination
Integrated Managing for Results
Contract #: AEP-C-00-99-00034-00

1616 North Fort Myer Drive
Arlington, VA 22209-3195
(703) 741-1000

Learning objectives for this session

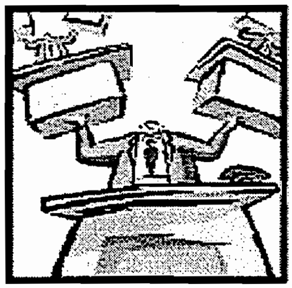
By the conclusion of this session participants will:

- Understand key concepts in program evaluation;
- Recognize when and why evaluations should be conducted;
- Know what steps are involved in planning for and managing an evaluation.

"Evaluation" defined

"Evaluation is a relatively structured, analytical effort undertaken to answer specific program management questions"

ADS 203.3.4



Performance monitoring and evaluation

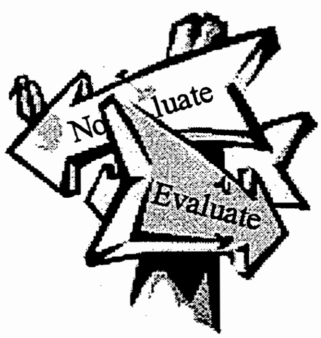
Performance Monitoring	Evaluation
◆ Focuses on <u>whether results</u> are being achieved or not	◆ Focuses on <u>why/how</u> results are achieved or not
◆ Ongoing, routine	◆ Occasional, selective
◆ Often quantitative	◆ Often qualitative
◆ A process that involves ▪ identifying indicators, baselines and targets ▪ collecting actual results data ▪ comparing performance against target	◆ A structured, analytical effort to answer managers' questions about ▪ validity of hypothesis ▪ unexpected progress ▪ customer needs ▪ sustainability ▪ unintended impacts ▪ lessons learned
◆ Contributes to management decision making	◆ Makes management recommendations

Performance monitoring and evaluation

Performance Monitoring		Program Evaluation
High	Program Range	Low
Low	Program Depth	High
Low	Analytical/ Explanatory Power	High

Why evaluate?

The decision to evaluate should mostly be driven by management need



"Triggers" for performance-based evaluation 7

- Troubling results of performance data
- Need to inform a management decision
- Questions from periodic reviews
- Troubling feedback from partners/other stakeholders
- Problems with a critical assumption or a result covered by a donor partner
- Key lessons could be learned and shared

Conducting different kinds of evaluations 8

- Formative (process or interim) evaluation
- Summative (program or impact) evaluation

What's different about participatory evaluation? 9

Participatory

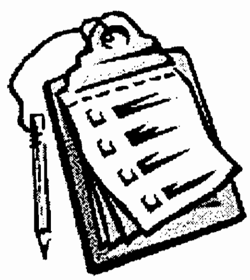
- Participant focus and ownership
- Active involvement of stakeholders
- Outsiders are facilitators
- Flexible design
- Use of rapid appraisal methods
- Focus on learning

Traditional

- Donor focus and ownership
- Limited role for stakeholders
- Outsiders are evaluators
- Predetermined design
- Formal methods
- Focus on accountability

Key questions in selecting an evaluation methodology 10

- Who needs the information?
- What decisions will be made based on the information?
- Why?
- When?
- How?
- How accurate is accurate enough?



Major evaluation methodology issues

Research objectives

Data requirements

Method of data collection

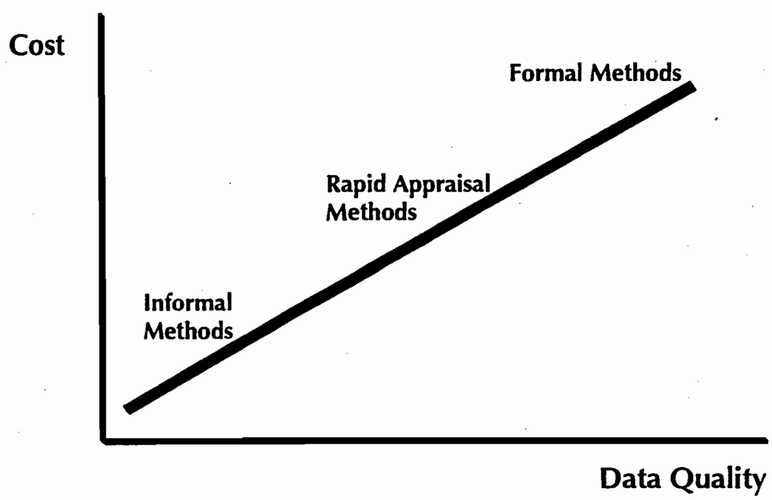
Research objectives

- To describe -- what?
- To explain -- why? how caused?
- To generalize or extrapolate across similar people or conditions

Data requirements

- What is the nature of the audience(s) and intended users?
- How focused is the issue or problem?
- Do we have existing data or do we need new data?
- Do we need quantitative or qualitative data?
- What degree of precision do we need?

Data collection methods



Choosing among methods

- Purpose of the study
- Nature of the information needed
- Level of confidence in data required
- Timeframe in which data are needed
- Resource constraints
- Cultural considerations
- Level of accuracy required

Formal methods

More structured, formal methods include:

- Cross-sectional surveys
- Longitudinal sample surveys
- Field experiments

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Informal methods

Informal methods include:

Conversations with concerned/ affected individuals	Reviews of official records	"Windshield" field visits

Common rapid appraisal methods

- Key informant interview
- Focus group discussion
- Community interview
- Direct observation
- Mini-survey

Rapid appraisal methods

STRENGTHS

- Low cost
- Quickly completed
- Flexible
- Answer "why" and "how" questions
- Provide in-depth understanding

LIMITATIONS

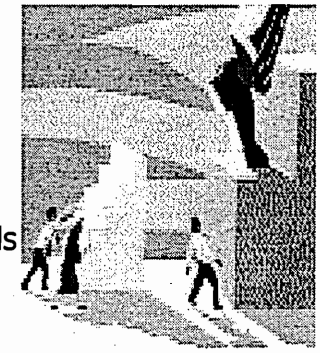
- Less reliable and valid than with scientific method
- Generally lack quantitative data
- Often have lower credibility with managers
- Not generalizable to other settings

Exercise on evaluation methods

Key steps in planning for an evaluation

21

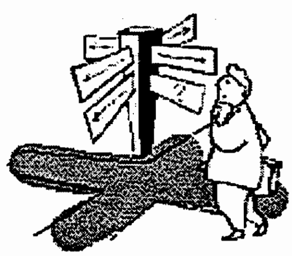
- Decide if and when to evaluate
- Clarify the evaluation purpose
- Use R&RS for research support
- Identify the research questions
- Select appropriate evaluation methods
- Plan for data collection & analysis
- Form an evaluation team
- Plan procedures (e.g., schedule, logistics, reporting needs, budget)



Key questions for evaluation planning

22

- Who is likely to need information from or about the program, and what do they need to know?
- Why do they need to know (i.e., how would they use the information if they had it)?
- When and how should the data be collected and analyzed?
- When do they need it?
- How accurate must it be?
- Who is responsible for what?

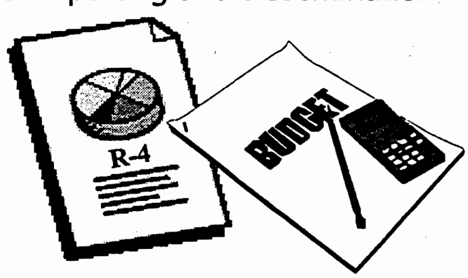


A good scope of work usually... 23

- Identifies the activity, program or strategy to be evaluated
- Provides a brief background on implementation
- Identifies existing performance information sources
- States the purpose, audience and use of the evaluation
- Clarifies the evaluation questions

And a good scope of work usually...(cont'd) 24

- Identifies the evaluation method(s) to answer the questions
- Discusses evaluation team composition and participation of customers, partners and stakeholders
- Covers procedures such as schedule and logistics
- Clarifies requirements for reporting and dissemination
- Includes a budget



USAID
Integrated Managing for Results

Documenting evaluations

At a minimum document the following:

- Scope and methodology used
- Important findings
- Conclusions
- Recommendations
- Lessons learned

What should you do with evaluation results?

The SO Team is responsible for acting on evaluation findings

- Review key findings
- Determine the teams' position on the findings
- Identify management/program actions to take
- Determine whether a strategy revision is required
- Share and openly discuss findings with
  - customers
  - partners
  - other donors

Sharing Evaluation Results Within USAID

27

- Send full evaluation report to Development Experience Clearinghouse (DEC) in PPC/CDIE
- Send evaluation to Bureau and others as appropriate
- If evaluation is not finalized, send last draft received by mission
- If appropriate and useful, also submit SO Team/OU response to evaluation

Useful Resources

28

- ADS 203.3.4
- TIPS No. 11, "The Role of Evaluation in USAID"
- TIPS No. 3, "Preparing an Evaluation Scope of Work"
- TIPS No. 1, "Conducting a Participatory Evaluation"
- TIPS No. 2, "Conducting Key Informant Interviews"
- TIPS No. 4, "Using Direct Observation Techniques"
- TIPS No. 5, "Using Rapid Appraisal Methods"
- TIPS No. 10, "Conducting Focus Group Interviews"

Case Exercise

3-Year Project Final Evaluation-TA to Exporters' Association (EA) Project

Question: **Should USAID consider continued funding?**

Recommendations:

1. **If USAID objective is to change program focus:** declare mixed success and walk away.
2. **If objective is a sustainable activity within the EA:** request EA proposal for 1 yr. capacity building TA and self-financing plan. (Let EA sub with TA contractor.)
3. **If objective is increased exports:** Request contractor proposal for export targets based on individual company projections w/ and w/o TA. Do cost/benefit analysis for possible extension

Interpretations/Conclusions:

EA is committed to activity and attributes its own membership growth to it. EA will continue activity with or without USAID and may find another donor. USAID may ensure sustainability w/ a 1-yr. capacity building investment. Major factor for impact is the TA contractor's Chief of Party (COP) and he did not clone himself. Domestic growth is based on international standards and efficiency (often reduced staff). Real export impact of USAID effort will occur within next 2 yrs. And, USAID may choose to amplify it with extension of TA contract.

Analysis and Findings:

1. 6 mo. into project, EA membership loss bottomed out and climbed 26% by EOP.
2. 56% of new members were in fresh produce and TA COP expertise is in fresh produce.
3. EA sales of service and products from activity were 10% of annual budget to run reduced activity (with no TA contractor).
4. Domestic sales growth of 15 sample companies over last 2 years of project was 20% compared to annual 4% decline of GNP. There was no domestic sales target.
5. Export sales growth of same companies over same period was 8% compared to 20% target. Employment increase reached 3% compared to target of 10%.
6. Congruence of categories of TA provided with critical factors in the external and internal environment identified by companies to explain growth rate was 85%.
7. TA contractor used international standards for TA (HACCP programs, bar codes, web sites, etc.)
8. Project generated information system (airport and port export statistics by product/exporter) has users in government/privates sector/donors.

Data:

EA membership dropped from 188 to 95 at 6 mo. into project then climbed to 120 at project end. 14 of new members were in fresh produce (expertise of Ex-Pat COP.) EA generated $10,000 in sales of service/materials and estimates $100,000 annual cost to run reduced activity after TA contractor left. 15 of 100 client companies selected by TA contractor to interview. 40 of the 100 were EA members and 5 of the 15 interviewed were EA members. 12 of the 15 matched evaluator's random selection. Field interview asked for 3 years employment and sales data for domestic and export sales and reasons for the trend. Interview asked for major factors in internal and external environment to explain the trend and which ones were the object of TA. Two of the companies stated they were on the verge of bankruptcy when the project intervened. One stated they would have grown about the same without the project. Congruence of TA match with major contributing factors to sales trend data ranged from 60 to 100 %. Employment change ranged from – 7% to
+ 9% Export growth ranged from – 13% to 20%. Domestic sales growth ranged from 10% to 35%. EA and contractor staff reported similar accounts of government/private/donor use of airport/port export information system. List of interviewees, telephone #'s and interview notes attached.

3-Year Project Final Evaluation-TA to Exporters' Association (EA) Project

Question: **Did the project achieve its targets?**

Response:

No

Interpretations/Conclusions:

Real export impact of USAID effort will occur within next 2 yrs. Target may have been too high given 4% decline in GDP and too soon on the growth curve. Companies emphasized domestic sales based on international standards to build a platform for export growth. Employment actually dropped in the early years as companies became more efficient.

Analysis and Findings:

1. Export sales growth of 15 sample companies over last 2 years of project was 8% compared to 20% target and annual 4% decline of GNP. Employment increase reached 3% compared to target of 10%.
2. TA contractor used international standards for TA (HACCP programs, bar codes, web sites, etc.)
3. There was no domestic sales target. Domestic sales growth of 15 sample companies over last 2 years of project was 20%.

Data:

EA membership dropped from 188 to 95 at 6 mo. into project then climbed to 120 at project end. 14 of new members were in fresh produce (expertise of Ex-Pat COP.) EA generated $10,000 in sales of service/materials and estimates $100,000 annual cost to run reduced activity after TA contractor left. 15 of 100 client companies selected by TA contractor to interview. 40 of the 100 were EA members and 5 of the 15 interviewed were EA members. 12 of the 15 matched evaluator's random selection. Field interview asked for 3 years employment and sales data for domestic and export sales and reasons for the trend. Interview asked for major factors in internal and external environment to explain the trend and which ones were the object of TA. Two of the companies stated they were on the verge of bankruptcy when the project intervened. One stated they would have grown about the same without the project. Congruence of TA match with major contributing factors to sales trend data ranged from 60 to 100 %. Employment change ranged from – 7% to + 9% Export growth ranged from – 13% to 20%. Domestic sales growth ranged from 10% to 35%. EA and contractor staff reported similar accounts of government/private/donor use of airport/port export information system. List of interviewees, telephone #'s and interview notes attached.

PROGRAM EVALUATION

SMALL GROUP EXERCISE—Identifying the Most Appropriate Evaluation Methods

Session Objective: Become familiar with some of the most often used evaluation methods, their strengths and weaknesses, and their application in integrated managing for results.

Pair off in twos and review the abbreviated scenarios presented in the following pages.* Using the information presented thus far and the summary matrix of Rapid Appraisal Methods (RAMs)(Pg. B-5 to B-6 of the Toolkit) determine the most appropriate mix of methods for responding to the selected scenarios. In the subsequent report-out, touch on each of the following points:

- Which scenarios did you choose?
- Why did you choose the proposed methods? Describe briefly how these methods would be used (Why? With whom? Where?)
- What are the strengths and weaknesses of the selected method(s) for answering the issues raised in the scenario?
- Is there a case in which RAMs might be inappropriate for the given scenario?
- What might be some alternative method(s) (e.g., other than RAMs) to respond to the need for management-driven information?
- How well do your proposed applications respond to management's need for actionable information?

Time: 20 minutes in the paired exercise (10 minutes per scenario);

*Ideally you would want/need to know much more about each scenario. However, for the purpose of obtaining a sense of the breadth vs. depth of rapid appraisal methods, we have opted for a variety of brief scenarios.

Scenario 1: Quality of Life Evaluation Study

The purpose of the evaluation is to inform mission management on its present and projected strategy for alleviating poverty and improving the standard of living of the "entrenched poor" in country 'x.' Mission management has stated that it does not want "original" research, since there are extensive data already available—at Ministries, consulting offices, universities, and in the mission—and that it would like to corroborate and expand on these data with experts in the country (including in the mission) in order to arrive at a set of "valid" interpretations of the poverty situation and its presumed causes.

An evaluation team will commence with a review of the poverty study already completed by the mission, in order to deepen and extend it. The evaluation will focus on comparing country 'x's' current standard of living with (a) that of the past few decades and (b) other countries. Similarly, the evaluation will compare 'x's' current gender differentials with (a) that of its recent past and (b) other countries. The evaluation will rely on an extensive review of the literature and publicly available secondary data, and, importantly, will call upon local experts' knowledge.

The analysis will consider all aspects of quality of life, including per capita income; purchasing power; access to productive assets (land and credit); access to quality education and skills training; access to quality public services, including clean water and sanitary services, health services; quality of the living environment, including crime rates, population density, etc.; economic and political freedoms; and will make rural/urban, ethnic, and gender comparisons.

Scenario 2: Evaluation of Training for Good Governance and Civil-Military Relations

The purpose of the evaluation is to review and analyze the impact of a USAID-supported transition program (from military dictatorship to democratic governance) in country 'x,' focusing on two activities. One is the nationwide training of newly elected officials at the national, state, and local levels in conflict management and constituency building, leadership, democratic governance, structural reform, and local capacity building. This activity is carried out through training of trainers, followed by nationwide training workshops for newly elected officials.

The second activity is strengthening the civil-military relationship through improvement of civilian oversight of the military. That activity includes provision of executive leader seminars (for executive, including military, and representative branches of government) and technical assistance in supporting civil-military professionalism in a democracy and strengthening elected officials' oversight of Defense and the military.

The evaluation is intended to assess the USAID and its implementing partner's capacity for rapid responsiveness, timeliness, and willingness to manage risk. It calls for lessons learned and recommendations for future programs of this rapid responsive type, as well as for continued responsiveness of USAID in a country that continues to be at risk either from a military coup or some other disruption of the democratic governance process.

Scenario 3: Private and Voluntary Development Project – End of Project Evaluation

The purpose of this evaluation is to provide mission management with information on a specific approach to development, which includes a shift from government disbursement of funds to a private sector/civil society approach to funding local organization development. This shift involves sensitive government issues of its loss of some control of donor funds, as well as issues of its "sovereignty" and the role of civil society. The evaluation also has implications (lessons learned) for USAID worldwide.

More specifically, this evaluation is intended to assess the achievements of the Project, whose purposes are to improve the quality of life for poor and disadvantaged groups in country 'x' and to support and strengthen community self-help activities. It will assess the capacity of a US PVO umbrella organization to provide activity grants to local PVOs and technical support grants to US and international PVOs.

The evaluation will also assess the overall effectiveness of the PVO umbrella mechanism as a development model aimed at reducing constraints to ready access to financial resources and technical assistance by local PVOs. These local PVOs are dispersed throughout country 'x' and carry out development activities across a wide variety of human development/social service sectors.

Scenario 4: Evaluation of Assistance in a Complex Humanitarian Emergency (part of a broader, program evaluation consisting of assessments of a series of such emergencies).

The purpose of this evaluation is to investigate the effectiveness of the Agency's emergency assistance programs (including food aid, medicines, and other assistance) in dealing with complex emergencies, and to identify best practices which will help guide future USAID efforts. This evaluation focuses on ways to improve the effectiveness (more so than efficiency) and impact of disaster assistance.

Specifically, the assessment in country 'x' aims to review the extent to which assistance provided by the U.S nationwide saved lives and alleviated suffering during the emergency. First, this includes a review of the different delivery systems for food assistance and medical/health provision, the division of labor among various organizations (including government, NGOs, other donors) and their effectiveness in delivering humanitarian assistance, and the implications of these for USAID emergency assistance policy.

A second aspect of the assessment is to review to what extent the assistance diminished (or increased) hostilities associated with the emergency. This includes review of military and political factions' (possible) misuse of emergency assistance. And, third, the evaluation includes a review of the assistance in contributing to long-term development in the assisted country.

USAID Performance Management Workshop

Facilitators Bios

Shiro Gnanaselvam

Ms. Gnanaselvam is a principal consultant with PricewaterhouseCoopers LLP and has ten years of experience in governance and public sector management issues. Her functional areas of expertise include strategic planning, performance measurement, program evaluation and organizational development. She also has experience in workshop facilitation and survey development. She has managed projects and provided technical assistance to government agencies and PVOs in Sri Lanka, Ghana, Lesotho, Ethiopia, Nigeria, Zimbabwe, Benin and Morocco. She currently manages several activities under the USAID Integrated Managing for Results Program and has assisted several USAID operating units with developing performance monitoring plans and other managing for results interventions. Prior to joining PricewaterhouseCoopers, she worked for several years with the World Bank and has also provided consulting services to U.S. government clients such as the U.S. Agency for International Development, the General Services Administration and the National Oceanic and Atmospheric Agency.

Jerry Harrison-Burns

Jerry Harrison-Burns is an experienced monitoring and evaluation specialist with over 25 years experience as a consultant and trainer in the international development arena. Since 1995 he has worked extensively with USAID operating units to incorporate the values of reengineering into project planning and management across total mission portfolios. He has assisted SO teams in Washington and in field missions in all aspects of managing for results including the development of strategies, results frameworks and performance monitoring plans. He has aslo assisted with R4 reporting as well as contributed to the Agency Performance Report for FY98. His country experience includes Ghana, Tanzania, Guinea, Sierra Leone, Egypt, Jamaica, Honduras, Azerbaijan, Albania, Croatia, Kazakhstan, Ukraine, Peru.

Matt Nash

Mr. Nash has five years of international and domestic experience as a consultant and trainer in strategic change management and organization development in the public and nonprofit sectors. He is skilled in program monitoring and evaluation, training design and delivery, group facilitation, strategic planning, organizational assessment, and management of international development projects. Mr. Nash has developed performance monitoring plans, assessed data quality, and evaluated mission monitoring systems, and designed related tools and team processes for several USAID missions. As a key player in the revision of Agency directives on performance monitoring, evaluation, and strategic planning, he co-authored ADS Chapters 201 and 203. Mr. Nash has assisted USAID to restructure its annual performance reporting and he is the managing editor of this year's Agency Performance Overview, which will combine elements of the Annual Performance Plan (APP) and Agency Performance Report (APR). Mr. Nash's previous clients include the UN High Commissioner for Refugees, UN Family Planning Agency, UNICEF, Support Centers International, Project Concern International, World Vision, and numerous USAID implementing partners.

Integrated Managing for Results (IMR) Program

PricewaterhouseCoopers LLP was awarded the Integrated Managing for Results (IMR) contract to help USAID strengthen and further institutionalize managing-for-results approaches and practices across the Agency. Its goals are to:

- Advance the science and practice of strategic planning, performance measurement, and evaluation methodology Agency-wide
- Provide Agency operating units with assistance and tools to better plan, monitor, evaluate, and assess their progress in achieving results.

The contract identifies five task areas:

- Provide **Analytic Support** to improve the Agency's ability to better Manage for Results. PwC has helped the Agency revise its Programming Policy guidance, for which the Agency received the Hammer Award. PwC is also helping the Agency prepare streamlined annual performance and planning reports.
- Provide **Technical Assistance** to the bureaus, offices, and missions in strategic planning, performance measurement, and evaluation. PwC has helped over 40 Agency missions and operating units prepare performance monitoring plans, strategic plans and evaluations.
- Administer **Training and Guidance** with a focus on TIPS, best practices, CDIE training and workshops, special forums, and issue papers. PwC has developed a 1-week course and toolkit on performance management for USAID staff worldwide. PwC is delivering this course 14 times over the course of 9 months. PwC has also developed a 2-day seminar on the current Programming Policy guidance, and is working with USAID to deliver it multiple times worldwide.
- Upgrade and maintain **Performance Measurement Databases**, which includes developing and implementing quality control plans, and conducting analyses of the data. PwC has conducted analyses of two performance databases and recommended improvements.
- Address **Emerging Performance Issues**, especially those that further the reengineering process. PwC has worked with USAID to improve communications of policy guidance, including website development and communications packages.

The contract is available for use by all bureaus and operating units through PPC, as long as the activity meets the general requirements outlined in the scope of work. The ordering procedure is uncomplicated; work can begin quickly. For more information contact:

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Introducing www.USAIDResults.org, an Internet-based Knowledge Management site that allows anyone around the world to access knowledge, experience, and discussion about USAID programming.

Download ADS Documents

- Open to anyone.
- Read and download the latest version of the ADS 200 Series.
- Read and download supporting materials that highlight recent changes in ADS.

Join the Discussion in Town Hall

- Open to anyone who registers.
- *How to register:* Go to www.USAIDResults.org and click the Register button.
- Share your experience and comments in threaded, on-line discussions organized by topics.
- Browse through topics of interest to you and see other people's comments

Ask questions of the ADS Team

- Open to anyone who registers.
- Submit questions regarding USAID Programming Policies relevant to your work.
- When the ADS Team has researched your question, an answer will be posted with examples, explanation, and references to particular text within the ADS.
- Browse through other frequently-asked questions.

Create a Group Space

- Open to anyone who registers.
- Establish a group space that allows your team to share documents, hold discussions, recommend websites, and keep track of each other's telephone numbers.
- Choose who is a member of your group space; USAID staff, partners, and other donors may all be members.
- *How to create a group:* Go to www.USAIDResults.org - Create New Group and follow the instructions provided.

For more information about ADS 200, please contact:

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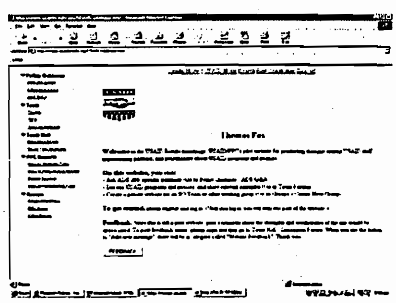

Africa Bureau Information Center (ABIC)

Research and Information Resources for Development

ABIC, part of the Research and Reference Services Project of USAID's Center for Development Information and Evaluation (CDIE), provides development information support through its research services, newsletters, specialized reference collection, and web site development activities.

ABIC can assist you by:

- Accessing and disseminating **development information and documentation** of USAID and other donors
- Analyzing **country-specific information** by summarizing data, news, and trends
- Performing **in-depth research**, such as briefing reports and desk studies, on specific topics related to African development
- Providing background information and data to assist in the **R4 process**
- Assisting in the development of results frameworks by providing **examples of indicators, IRs, and SOs**
- Handling **public queries**, including information requests from USAID partners
- Compiling **bibliographies** of resources and literature tailored to your specific needs
- Maintaining lists of **Internet resources** by country and topic
- Providing copies of ***Article Alert***, our bimonthly list of recent articles related to political and social development in Africa
- Providing our three newsletters: ***African Voices***, ***SD Developments***, and ***SD Abstracts***, published for AFR/SD

ABIC's Web Site

You can access our Internet guides, newsletters, and other USAID Africa Bureau publications at ABIC's web site on the USAID Homepage at
http://www.usaid.gov/regions/afr/abic

To submit a research or information request, or to be added to the newsletter or Article Alert distribution lists, please contact:

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R&RS Research & Reference Services Project

MEMORANDUM

To:	James Hanson, Mission Director, USAID/Nigeria
From:	Ann Schultz, Research Analyst, Africa Bureau Information Center, PPC/CDIE/DI, R&RS Project
Date:	August 29, 2000
Subject:	**HIV/AIDS & Workers' Rights**

In response to your request for information about efforts among African countries to protect the rights of workers with HIV/AIDS, I've found numerous reports, journal articles and information resources on this topic. Below is a summary of some of the key articles and information that may be useful for your mission's activities related to the rights of workers with HIV/AIDS in Nigeria.

USAID & HIV/AIDS in Africa

Until recently a lack of political commitment has existed among top African leaders in dealing with the AIDS pandemic. USAID recognizes that all leaders (political, traditional, private sector, etc.) need to be engaged in the fight against HIV/AIDS in the region. Taking advantage of key actors and linkages between labor, business, political entities, and NGOs has been a priority for the Agency.

USAID has been identified as the lead agency with responsibility to coordinate the planning and implementation of interventions. As the impact of USAID's programs is increasingly reversed by the pandemic, the Agency is focusing more on implementing HIV/AIDS activities that move beyond health to include all other sectors. USAID strives to support clear and consistent political discussions about HIV/AIDS, to empower communities to fight the epidemic, to combat stigma and discrimination, to coordinate donor activities and regional efforts, and to make resources available to manage these tasks. USAID is playing a key role in bringing together African countries, particularly in the southern Africa region, in a concerted effort to fight HIV/AIDS.

Journal Articles, Reports, & Research Papers

My ABIC colleagues and the online librarian at the USAID Library assisted with a broad literature search, resulting in a wealth of articles from periodicals and web sites related to African development and the health and democracy sectors. Enclosed is a bibliography of these results. Below are highlights of some of the most relevant items, which I've enclosed, but you may order others if you are interested.

For example, the web sites of several international development organizations, such as and the USAID-funded Consortium of African Economic Research (CAER) of the Harvard Institute of International Development (HIID) (http://www.hiid.harvard.edu/projects/caer/pubs.html), offer some key papers highlighting research findings:

"Workplace Interventions in Response to HIV/AIDS" (Deborah A. Hoover, CAER/HIID, May 2000).
"Framework for Thinking about Workplace Interventions in Response to HIV/AIDS in Southern Africa" (Donald R. Snodgrass, CAER/HIID, May 2000).

"Workplace Interventions in Response to HIV/AIDS," includes suggestions for ways that donors can get involved with progress in this issue:

Donors can encourage the formation and construction of family housing villages, which would replace the traditional all male "barracks" setting of some workplaces.
Donors can also cooperate with the private sector to provide HIV/AIDS education. This will help reduce the stigma for those infected.
The Botswana Development Corporation has adapted a plan that includes an "assistant" worker and makes the workplace cooperative, rather than competitive for HIV positive employees.

The **International Labor Organization** (ILO) offers several publications that discuss relevant issues. In particular, "HIV/AIDS: A Threat to Decent Work, Productivity and Development" (ILO, Geneva, June 2000), discusses workers' organizations and governments' approaches to addressing HIVAIDS in the workplace.

Related to crafting legislation, the **Interparliamentary Union** (IPU) recently produced a useful handbook that is likely applicable to workers' rights:

"Handbook for Legislators on HIV/AIDS, Law and Human Rights" (IPU, Geneva, 1999). The Handbook provides examples of best legislative and regulatory practices gathered from around the world. Best practices are given for each of the 12 guidelines contained in the International Guidelines on HIV/AIDS and Human Rights published in 1998 by UNAIDS. The Handbook presents concrete measures that legislators can take to protect human rights and promote public health in responding to the epidemic.

UNAIDS has produced excellent documents that should help you learn more about discrimination and rights in the workplace (http://www.unaids.org/publications/documents/human/index.html):

For example: "HIV and AIDS-related stigmatization, discrimination and denial: forms, contexts, and determinants—research studies from Uganda and India." This document is available at http://www.unaids.org/publications/documents/human/index.html#ethics. Of particular interest, is Chapter 3, which includes information about HIV/AIDS in the workplace.

Another useful document, "A Human Rights Approach to AIDS Prevention at Work: The Southern African Development Community's Code on HIV/AIDS and Employment," is available at http://www.dec.org/partners/dexs_public/display3.cfm.

This document includes some "lessons learned" for implementing workplace interventions. From Zimbabwe, for example, it includes advice about forming agreements that will best serve both employers and employees in the workplace, such as ensuring broad distribution of a draft code, enlisting broad participation of the parties concerned, and including the input of people living with HIV as well as human and patient rights bodies. This paper also includes important information about progress that African countries have made in protecting the rights of HIV positive workers.

This report also discussed that in Lesotho, the Organisation of African Trade Union Unity's Health, Safety and Environment Programme partnered with the Lesotho Trade Union Congress to recommend that trade unions review the labor code to include protection against discrimination.

A recent article from the *South African Journal on Human Rights*, "HIV in the Workplace: Protecting Equality and Privacy," by Charles Ngwena, examines the adequacy of the 1996 South African Constitution in protecting the rights of HIV-infected persons in the workplace. South Africa has by far made the most progress of all African countries in terms of laws related to protecting the rights of workers with HIV/AIDS, but putting these laws into practice is a different issue. A South African man who alleges that South African Airways refused him a cabin attendant job because of his HIV status, has brought an important case to the Constitutional Court in South Africa. Although the testing of job applicants is illegal in South Africa, discrimination continues, as it does in many other countries. Commercial sex workers in Africa have suffered loss to their livelihoods, as they did in Malawi when the President recently ordered the arrests of prostitutes. Mozambique has accused South African mining companies of terminating contracts of Mozambican miners who are HIV positive. Membathisis Mdladlana, South Africa's Labour Minister, has acknowledged that the firing workers because of their HIV status constitutes illegal practice.

HIV/AIDS & DG

USAID's **Democracy & Governance Center** compiled an inventory of global laws on HIV/AIDS on behalf of USAID/Angola to use in their work with civil society groups to raise public awareness about HIV/AIDS and build advocacy capacity. Among the sections of this inventory that may be of interest are:

In Mozambique, reforms proposed to the labor law regarding fair labor practices in relation to HIV-infected persons, and regulations about HIV/AIDS testing (reporting and confidentiality).

A movement in South Africa among trade unions to establish a common position on the rights of workers with HIV/AIDS.

The inventory also includes examples from Uganda, Senegal, Malawi, Thailand, and other countries demonstrating that high-level political commitment to dealing with the HIV/AIDS epidemic is beginning to result in new policies and laws.

USAID Missions & Lessons Learned

After searching the USAID document databases and reviewing country R4s, I was able to gather information from several countries highlighting efforts made in this area. I also contacted PHN and DG officers at several missions to solicit additional details about their activities and results in the field. Below are highlights:

Angola: USAID/Angola is in the process of planning a five-year strategy for

HIV/AIDS. The DG SO Team recently assisted the Parliamentary Commission to draft legislation on HIV/AIDS.

South Africa: USAID has worked on programs with trade unions that have resulted in the establishment of a common position among all trade unions on HIV/AIDS in the workplace, and awareness and service delivery in mining communities has led to reductions in the incidence of STDs. The recent launching by the deputy president of the partnerships against AIDS campaign has resulted in public commitments by labor, business, NGOs, religion and all public ministries to join forces to combat the disease.

Mozambique: The government has responded to the AIDS crisis by establishing a National AIDS Control Committee and continues to solicit active involvement of private sector and non-governmental sector anti-AIDS efforts. USAID has financed several studies, one of which is a legal/regulatory study to examine policies that impede or aid the development of innovative solutions to managing the epidemic.

Zimbabwe: As one of the countries hardest hit by HIV/AIDS, Zimbabwe and its government has finally called for a government response to the pandemic. In 1998, the National AIDS Coordination Program completed the AIDS Impact Model and presented a detailed analysis on the impact of HIV/AIDS on different sectors of society. The program continued to develop a national HIV/AIDS policy; there is now a final draft and approval is expected.

Namibia: The Government of Namibia recognizes the high rate at which the epidemic is growing and proposes a coordinated response by all sectors of government, business, labor and the NGO community. USAID activities have been well integrated in Namibia. USAID supports the Legal Assistance Center on Human Rights.

For additional information, USAID PHN officers from the southern Africa region met at a series of meetings during the end of 1998 to define a broader, more regional response to the pandemic that complements the country focused activities. In order to move towards enhanced regional communication among programs and individual bilateral programs, emphasis was put on sharing lessons learned across the region, and regional approaches to policy analysis and dialogue. For more details, you should contact the PHN officer from Mozambique, Susan Doe, at sdoe@usaid.gov.

NGOs, Partners, & Lessons Learned

By searching web sites and contacting USAID's implementing partners such as Family Health International, I found some activities undertaken by development organizations to promote the human rights of Africans with HIV/AIDS. A research colleague for the Global PHN Bureau assisted with his expertise and knowledge of development activities related to HIV/AIDS. A list with contact information for these organizations is enclosed.

Among the organizations most active in this area is the AIDS Control and Prevention (AIDSCAP) Project www.aidscap.com. The AIDS Control and Prevention (AIDSCAP) Project strengthens local capacity to design, implement and evaluate HIV/AIDS programs in 45 countries. The world's largest international HIV prevention effort to date, AIDSCAP is funded by USAID and implemented by Family Health International.

Other Information Resources

Attached is ABIC's "Internet Guide on Health Resources on the World Wide Web," which contains a section on HIV/AIDS web sites. In addition, there are several listserves and web discussion groups dedicated to a range of HIV/AIDS issues listed at the end of the guide. Subscription information is included if you are interested in joining discussions on this topic.

Agency Notice on ADS 200 Series Revision, with Deadlines
Reprint from RFNet posting

Here's a repeat of the recent Agency Notice announcing the arrival of the revisions to the ADS 200 Series. To access these Chapters please go to the Agency ADS website: http://www.usaid.gov/pubs/ads/200

Note that Series 200 contains several supporting and background chapters that have not been altered; the revisions to the ADS 200 Series are almost entirely confined to Chapters 200, 201, 202 and 203. These Chapters though represent the bulk of the Agency's guidance on programming policy.

There are other series which ADS 200 refers to; for more detailed information on some of the key business processes, such as procurement (Series 300), financial management (Series 600) and organizational structure (Series 100), please be sure to refer to these and other Series and Chapters.

If you haven't read this Agency Notice before, please do so! It includes several important points, not addressed elsewhere:

1) While key aspects of the Agency's programming policy have not been signifcantly altered from the 1995 version, there are a number of important additions, deletions and refinements, some of which have audit implications. For this reason, it is strongly suggested that all Staff become familiar with Chapters 200-203.

2) While a number of Operating Units have already adopted many of the procedures noted in these Chapters, for other Operating Units it may be necessary to change existing procedures and approaches. We've developed a Compliance time table, to help you in making this transition.

3) In the course of amending the Series, we have been able to resolve a series of outstanding audit findings. More important, the new guidance should significantly limit our vulnerability over the coming years in a number of key areas. One area that deserves careful review is the section in Chapter 203 on performance data quality.

USAID/General Notice
POLICY **PPC**
09/01/2000

Subject: Revised USAID Programming Policy (ADS 200-203 Release)

This notice is to advise all USAID staff that new and improved programming policy guidance has been completed and is in effect as of the date of this notice. Because this new guidance includes a significant number of required and auditable procedures for managing USAID programs, it is extremely important that all staff become familiar with the changes that have been made. The policy applies to all program funded strategies and activities managed by USAID. It is contained in four new ADS Chapters (200, 201, 202, and 203) which replace the previous chapters (201, 202, and 203) and all previously unincorporated portions of Handbooks 1a and 1b.

PPC, working in close collaboration with M/OP, M/HR, GC, and regional and central Bureaus, made a special effort during the past year to review and consolidate our collective experience in results-based program management. Based on Agency-wide feedback and requests for more complete and clearer guidance, a special ADS drafting team was formed to develop the four new ADS chapters (200-203). The new text has been the subject of extensive vetting throughout the Agency. Comments received from both the field and Washington have greatly improved the utility and quality of the final product.

The newly revised ADS 200-203 Chapters reflect the best and most current thinking on results management and reporting for development organizations such as USAID. It is the best resource available to understand how USAID operates and what is expected of its Operating Units. It should be highly useful and accessible to seasoned professionals and new hires alike, as well as our development partners.

You will find that most of the procedures described in the new chapters are similar to those established when the ADS was first issued in 1995. In many cases, clarification has been provided on how to meet this guidance. In other cases there are some new procedures that have been put in place to address management needs. PPC also added several new provisions that address recent audit findings, including:

> Improved quality of results reported by USAID operating units;
>
> Clearer guidelines on use of 632a and b;

Additional provisions related to internal controls on R-4s; and,

Clarification of procedures related to USAID-funded activities in non-presence countries not submitting R4s.

The timeframe below is designed to provide sufficient time for operating units to comply with changes in these revised ADS chapters and related audit findings.

We recognize that integrating these changes into USAID programs will take some time. For many Bureaus and operating units a number of the items noted below may already be in place, but given some of the changes in this version all operating units and Bureaus are encouraged to revalidate their compliance. To accommodate the needs of Bureaus and operating units in the field and Washington, the following timeframe detailing compliance periods for specific sections of the ADS apply:

Parameter Setting: Bureaus should begin phasing in the new parameter setting guidance contained in ADS 201 as soon as possible. Parameters messages for development of new strategic plans must be followed in all cases starting October 1, 2000.

Strategic Plans and Amendments: Strategic Plans and amendments that are submitted for Bureau-level review and approval after October 1, 2000, must comply with the new guidance in ADS 201.

Activity Approval Documentation: All new activities or amendments to existing activities, projects or results packages, developed after October 1, 2000, must comply with the revised documentation and approval procedures described in ADS 201.

Indicator Quality Standards for R4 and other external reporting: New indicator quality standards have been developed that apply to data reported in R4 reports and other external Agency reports. These standards address a significant area of vulnerability for USAID. All Operating units are expected to comply with these new standards in their next R4 report submission in the spring of 2001. Agency reports produced for submission to oversight agencies (i.e.; OMB, GAO & Congress) after March 31, 2001 will meet these standards.

Performance Monitoring Plans (PMPs): More detailed guidance has been provided on development of performance monitoring plans that support peformance management R4 reporting.

Documentation is required to meet audit requirements. All units and SO Teams must update their PMPs to meet the new guidance by June 1, 2001.

SO Teams: Significant clarification has been provided on how to establish SO Teams and how to ensure that roles of team members meet various restrictions related to inherently governmental functions and procurement integrity (ADS 201 and 202). All operating units are expected to have fully applied this guidance by March 31, 2001.

Gender Integration: Procedures to ensure appropriate attention to gender issues in USAID activities have been significantly revised (see ADS 201). Operating Units should ensure that the special pre-obligation requirement related to gender analysis in ADS 201.3.6.3 be completed for new contracts and grants solicitations beginning October 1, 2000. ADS 301 and 302 will be revised to reflect the new requirements spelled out in ADS 201.

All other requirements described in the four new ADS chapters should be phased in by October 31, 2000. Operating Units that may require variations from the compliance periods provided in this notice should raise this with their Bureau Program Office. Bureau Program Offices may provide a more detailed compliance plan for individual units or a Bureau for concurrence by PPC, M and GC between now and November 1, 2000.

To facilitate awareness and get the message out to staff and development partners, we have taken the unusual step of providing the new chapters in three ways: 1) attached to this notice is an MS Word version of all four chapters; 2) printed copies will be produced and distributed on a one-time-basis along with briefing materials to orient staff; and 3) per standard procedures, the new ADS chapters have been posted on the official USAID ADS web site (http://www.usaid.gov/pubs/ads/) and will be included in the next scheduled update of the ADS CD ROM in October.

Briefing materials for use in Missions and Washington offices, including powerpoint presentations are being posted on a special PPC web site (http://www.dec.org/partners/mfr/ads/). This web site will include answers to frequently asked questions and will be the long-term repository of examples, best practices and other case material. A special PPC team has been formed to address questions you may have about implementation of this guidance.

Point of Contact: **Any questions concerning this Notice may be directed to Tony Pryor, PPC/PC, (202) 712-4197 or topryor@usaid.gov .**

Learning Journal Day 1

1. **What are the main things I learned about the role and usefulness of a PMP?**

2. **What are the main things I learned about results frameworks and results statements?**

3. **How can I apply these in my own PMP/SO team/Mission?**

4. **I must remember to ....**

Learning Journal Day 2

1. **What are the main things I learned about developing performance indicators?**

2. **How can I apply these in my own PMP/SO team/mission?**

3. **I must remember to ....**

Learning Journal Day 3

1. **What are the main things I learned about Assessing Data Quality?**

2. **How can I apply these in my own PMP/SO team/Mission?**

3. **I must remember to ....**

Learning Journal Day 4

1. **What are the main things I learned about using the PMP as a management tool?**

2. **How can I apply these in my own PMP/SO team/Mission?**

3. **I must remember to ....**

Learning Journal Day 5

1. **What are the main things I learned about Program Evaluation?**

2. **How can I apply these in my own SO team?**

3. **I must remember to ....**

Case Exercise 1: Read and Discuss Case Study

In your case teams read the case study provided and discuss it with the members of your group. Keep in mind that starting tomorrow, your task will be to develop a PMP for the results framework provided in the case.

Case Exercise 2: Performance Indicators

- **Develop one indicator per result for two of the results in the results framework in your case.** (i.e., you should be developing at least two indicators and they should NOT both correspond to the same result).

- **Assess the quality of the two indicators you developed and make modifications if necessary.** Use the Performance Indicator Quality Assessment Tool in your Performance Management Toolkit (Worksheet 5 in the worksheets section) as a guide.

- **Fill out the first two sections (Description, Plan for Data Acquisition by USAID) of the indicator reference worksheet provided.** (You will need this when you make your presentation). The indicator reference sheet can be found in the worksheets section – Worksheet 6 – of the toolkit .

- **Summarize your main conclusions/decisions on the flip chart sheets or transparency paper provided and nominate one of your team members to present your SO team's findings in plenary. You only have 5 minutes to make your presentation so only report the main points.**

Case Exercise 3: Data Quality

For the two indicators you developed yesterday,

- **Identify potential data quality problems that could occur for each of the two indicators.** Think about the data collection method you will use to gather data for each of the indicators and the different data quality problems that could occur with each method. For help, refer to Part II of the toolkit, tasks 3.0 and 4.0.

- **Decide on steps that could be taken to minimize the occurrence of those problems.**

- **Document what you just did in the third section (Data Quality Issues) of the indicator reference worksheet provided.** (The indicator reference worksheet can be found in the worksheet section – worksheet 6 – of the toolkit).

- **Summarize your main conclusions/decisions on the overhead sheets provided and nominate one of your team members to present your SO team's findings in plenary. You only have 5 minutes to make your presentation so only report the main points.**

Case Exercise 4: Other Elements of the PMP

- **For each of the two indicators you worked with during the last two days, develop a plan for how you would analyze, report and review performance data. Fill out the fourth section (Plan for Data Analysis, Review and Reporting) of the indicator reference sheet provided to reflect your decision.** Use Task 6, Section 6.1 of the Performance Management Toolkit as a guide.

- **Develop a performance management task schedule for the life of your SO.** Schedule ***when*** your SO team will undertake performance management tasks such as portfolio reviews, R4s, evaluations, etc. Think about the "best" timing for these events. Use the Performance Management Task Schedule Worksheet (Worksheet 9 of the worksheets section of the toolkit) as a guide.

- **For ONE of the performance management tasks you identified above, think of *how* you would carry out that task. Consider**
  - **who would participate**
  - **what would be the purpose**
  - **What key questions would be answered under each task**

- **Summarize your main conclusions/decisions on the overhead sheets provided and nominate one of your team members to present your SO team's findings in plenary. You only have 5 minutes to present so only report on the main points.**

Case Exercise 5: Program Evaluation (DG Strategic Objective)

Three years into the strategy, an SO indicator on the satisfaction of targeted organizations with USAID-funded activities shows a sharp decline.

		Percent Satisfied	
Year	***# of Organizations***	***Target***	***Actual***
FY 2001	10	60%	70%
FY 2002	15	80%	66%
FY 2003	17	80%	59%
FY 2004	19	80%	

The raw data for the other SO indicator on progress towards partnership shows that two GOU units are not cooperating with their CSO partners. They are not turning up for meetings and they are not completing their part of joint tasks

Based on the material that was covered today on evaluation methodologies and developing an evaluation scope of work, answer the following questions that would be included in a scope of work for an evaluation to investigate the facts uncovered by the performance data.

1. What key questions should the evaluation seek to answer?
2. What methodology should be used?
3. What action do you expect to take with the results of the evaluation?
4. Summarize your main conclusions/decisions on the overhead sheets provided.

Case Exercise 5: Program Evaluation (EG Strategic Objective)

Three years into the strategy, the SO indicator on the number of newly established businesses/SMEs is not meeting expected targets.

	Number of Newly Established Businesses/SMEs Within a Target Area	
Year	***Target***	***Actual***
FY 2001	30	35
FY 2002	50	40
FY 2003	60	42
FY 2004	65	

The performance data for the IR 1 indicator "proportion of surveyed economic agents that report improvement in business climate" is also in decline.

Based on the material that was covered today on evaluation methodologies and developing an evaluation scope of work, answer the following questions that would be included in a scope of work for an evaluation to investigate the facts uncovered by the performance data.

1. What key questions should the evaluation seek to answer?
2. What methodology should be used?
3. What action do you expect to take with the results of the evaluation?
4. Summarize your main conclusions/decisions on the overhead sheets provided and nominate one of your team members to present your work in plenary.