

Final Report
Contract No. csd-2510
July 24, 1970

PROJECT EVALUATION AND THE PROJECT APPRAISAL REPORTING SYSTEM

VOLUME THREE
THE IMPLEMENTATION PACKAGE

Submitted to the

AGENCY FOR INTERNATIONAL DEVELOPMENT

By

FRY CONSULTANTS INCORPORATED

"IF YOU DON'T KNOW WHERE YOU'RE GOING,
ANY ROAD WILL GET YOU THERE."

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PREFACE

This final report is submitted to the Agency for International Development by Fry Consultants Incorporated, in accordance with the requirements of Contract No. A.I.D./csd-2510. This report describes the study methodology, findings, and recommendations resulting from a year-long study of the evaluation of non-capital projects.

The first volume of the report summarizes both the study and the recommendations. The second volume of the report presents the detailed findings and recommendations. These volumes are separately submitted.

This, the third and final volume of this report, contains an "implementation package" intended to assist the USAID Missions in implementing a Mission-useful evaluation process.

The Implementation Package is incomplete in three respects.

1. Only Worksheets 2 and 4 are in final form; AID will want the other forms refined to meet its internal norms.
2. Examples of completed worksheets are required in the Advisories. These examples should come from real projects, probably selected and developed as part of the training of the Regional Evaluation Officers.
3. Advisory material for Sections 3 and 4 are not included.

All materials are bound together in this report. For actual use in the Missions it is recommended they be separated as follows:

- Guidance to the Mission Evaluation Officer -- separately bound
- The Project Evaluation Workbook should be in a looseleaf binder with tabbed dividers between sections. The Workbook will be a convenient location for organizing material for the next evaluation. Each year a new set of worksheets will be ordered for each project together with the PAR form.
- Project Evaluation Advisory Material, and the Revised PAR Manual Order should be available individually on punched paper so they can be readily stored with the Workbook.

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THE REVISED PAR

VOLUME III

THE IMPLEMENTATION PACKAGE

consisting of

- GUIDANCE TO THE MISSION EVALUATION OFFICER
- THE PROJECT EVALUATION WORKBOOK
- PROJECT EVALUATION ADVISORY MATERIAL
- THE REVISED PAR MANUAL ORDER
- THE REVISED PAR

GUIDANCE FOR THE MISSION EVALUATION OFFICER

Preface

This guide is to help the Mission Evaluation Officer plan and manage a Mission-useful Project Evaluation program. There are four sections in this guide:

- I. Introduction and Overview
- II. Planning the Mission Evaluation Program
- III. Managing Evaluation of a Technical Assistance Project
- IV. The Outputs from Evaluation

I. Introduction and Overview

Evaluation is systematic examination of past experience in order to plan more effectively for the future. The role of the Mission Evaluation Officer is to orient and manage evaluation to make it "Mission-useful."

- An "output orientation" must be adopted by all participants in the evaluation -- that is, the process directed toward important results including changing the project when appropriate, improving implementation by clarifying what is expected of the project, and improving coordination. Do not let evaluation become mere "paper-shuffling."
- Managing evaluation is distinctly different from evaluating the projects yourself. Your role in the regular annual project evaluation is to help the Mission form a collective judgment about the project based on evidence, not to judge the merits of the project yourself. You assign responsibilities within the Mission, coordinate the necessary work, and arrange for help to the Project Manager (and others) who need it. Sometimes you help personally but remember that you are assisting in the collection of evidence rather than acting as judge.

The evaluation process is designed to facilitate candid discussion based on evidence about how the project is progressing compared to prior expectations and how to improve the project. Reporting is deliberately deferred to the end of the process to minimize the tendency to justify rather than analyze.

You must continually emphasize the importance of surfacing the important issues within sheltered forum that you provide (the evaluation reviews).

The project evaluation process in USAID Missions has been deficient in two important areas: evidence and alternatives.

- The Evidence available to USAID Missions has been inadequate to decide when the current plan should be changed. Inadequate planning has been the most common problem. It is impossible to compare actual results to expectations that were never made explicit.
- Alternatives to the current plan have not been given adequate attention after the project has been started. Higher goals have not been explicit enough to suggest changes that would increase project impact. Lack of explicitness about project purpose similarly hampers consideration of alternative project designs.

The recommended project evaluation process is designed to remedy these deficiencies.

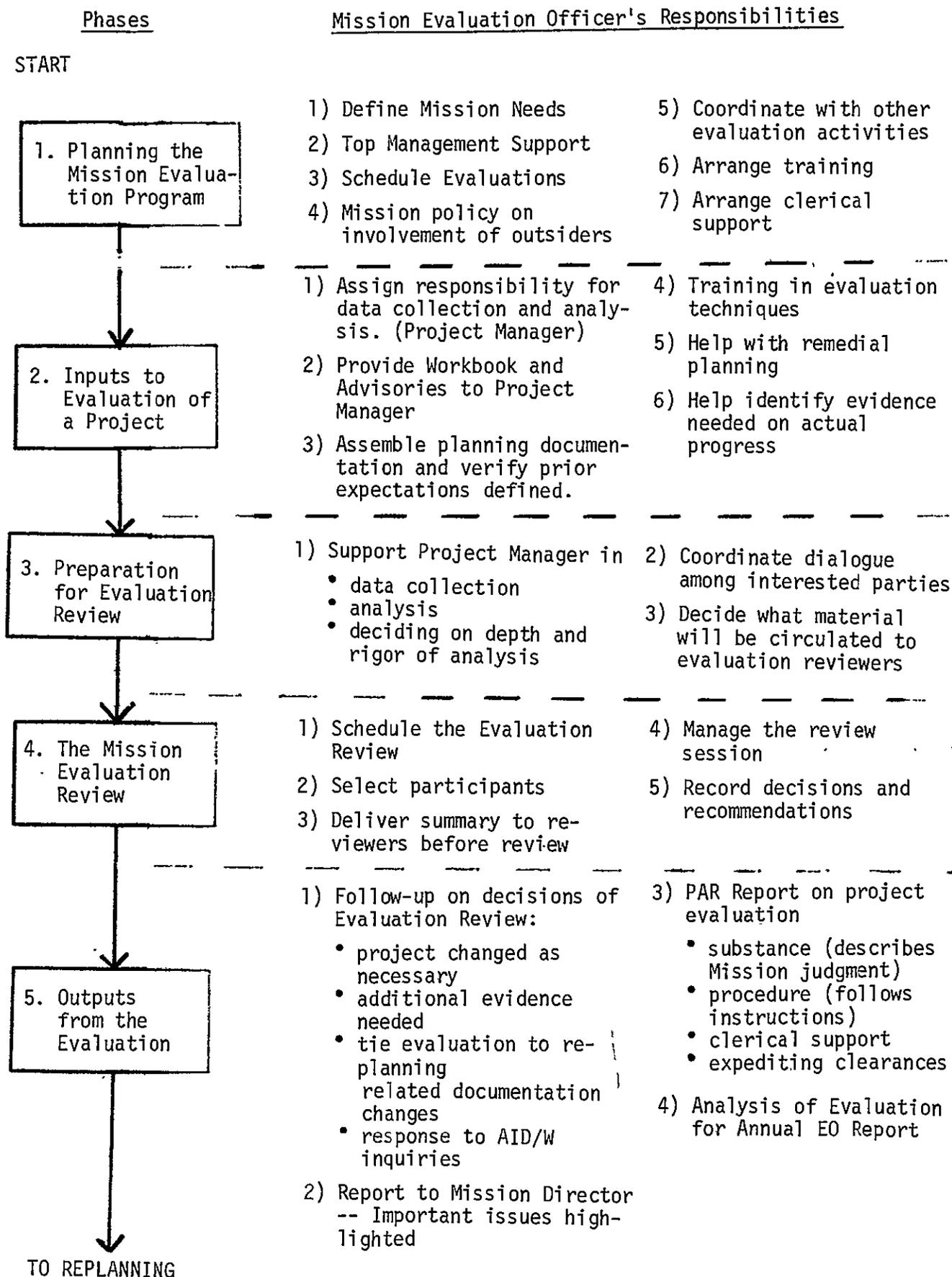
There are five distinct phases in the Mission Evaluation; the Mission Evaluation Officer's responsibilities in each phase are described in Figure 1.

Phase 1: Planning the Mission Evaluation Program

A Mission-useful role for evaluation must be defined and a coordinated program prepared to evaluate all projects. Arrange for training as necessary and set Mission policy on involvement of outsiders in evaluation.

FIGURE 1:

THE MISSION EVALUATION OFFICER'S RESPONSIBILITIES
AT EACH PHASE OF PROJECT EVALUATION



Phase 2: Inputs to Evaluation of a Project

Focusing on a specific project, prior expectations must be established. The Project Manager will normally be responsible for data collection and preparation for the Evaluation Review. The Evaluation Officer provides materials, training and other assistance as needed to help the Project Manager.

Phase 3: Preparation for the Evaluation Review

The Project Manager has the main role in this phase -- collecting evidence about actual progress of the project and implications for the future. The Evaluation Officer must support him in these tasks, coordinate the dialogue with other interested parties, and decide what material should go to the Evaluation Review.

Phase 4: The Mission Evaluation Review

After scheduling the Review, selecting participants, and circulating appropriate preparatory information, the Evaluation Officer manages the Evaluation Review session and records the results of it.

Phase 5: Outputs from the Evaluation

The decisions and recommendations of the Evaluation Review must be followed up -- the project changed (if appropriate), additional evidence collected, related documentation up-dated, AID/W inquiries responded to, and an appropriate report on the results of the evaluation prepared for the Mission Director and AID/W. The Evaluation Officer is responsible for the quality

and timeliness of these reports. He should also analyze the process for his own annual report on the Mission evaluation program.

To help the Mission Evaluation Officer create a useful evaluation process, there are three primary sources of guidance.

- Guidance for the Mission Evaluation Officer
- The Project Evaluation Workbook for the Project Manager, and
- Project Evaluation Advisory Materials.

Figure 2 shows what sections of these sources will be helpful at each step of the evaluation.

FIGURE 2:

Source of Guidance for Each Step in the Evaluation Process

Steps of Evaluation Process	Source of Guidance		
	Guidance to the Mission Eval. Officer (with Section #s.)	Project Evaluation Workbook (with Section #s.)	Project Evaluation Advisory Material (with Advisory #s.)
Planning the Mission Evaluation Program	II. Planning the Mission Evaluation Process		
Inputs to Evaluation	III. Managing the Evaluation of a Technical Assistance Project	1. Results expected of the Project	1. Clarifying the Logical Framework of your Technical Assistance Project
Preparing for the Evaluation Review		2. The Project Purpose and End-of-Project Status	2. Clarifying Project Purpose and End-of-Project Status
		3. Inputs to Outputs	3. Managing Inputs to Produce Outputs (not yet available)
		4. Outputs to Project Purpose to Goal: The Developmental Hypotheses	4. A Scientific Approach to Technical Assistance Project (not yet available)
The Evaluation Review		5. Alternatives for Replanning	5. Guidelines for the Evaluation Review Process
Outputs from Evaluation	IV. The outputs from Evaluation	6. Reporting on Evaluation	6. Reporting on Evaluation and Instruction for the PAR
Uses of Outputs from Evaluation			

II. PLANNING THE MISSION EVALUATION PROGRAM

Defining a Useful Role

Your first task is to define a useful role in your Mission for evaluation. If you can provide evidence that is helpful for important decisions; you immediately establish the relevance of evaluation to the Mission. You will also preclude falling in the pitfall of making evaluation a verbal exercise for Washington; the most important potential payoff is in better project performance, so keep everyone's attention focused there. Think about the important problems in your Mission and the relevance of evaluation data to them:

- What are the "hot" country-level strategy issues?
- What are the important programming alternatives?
- What possible changes in the country situation are anticipated with what implications?
- Where is coordination needed within the USAID program?
- Who needs help most?
- Where is the Mission program most vulnerable to criticism (and how can you help)?
- How do all the above relate to issues faced by Project Managers?

Top management support for evaluation is important. Talk to the Mission Director about what he would like to get from the evaluation process.

What kind of evidence would be useful to him? Don't oversell. Be realistic about what you can do in the first year. A lot of training may be necessary to help people use the revised system and to compensate for inadequate planning. These start-up costs will diminish after the first year so you can take on more special projects then--either personally or with outside assistance.

Scheduling Evaluations

Schedule evaluations to fit the natural cycle of a project if possible--the right time in the academic year or the crop year or the government's fiscal year. Project managers will cooperate more during a natural lull in their yearly cycle than in their peak period. Consider the AID programming cycle in scheduling evaluations; the output from evaluation is an input to the normal programming process. If important changes from the current plan are anticipated, schedule evaluation early enough to follow up with replanning work and meet the appropriate deadlines. Don't ignore schedules for project manager vacations and departures for new posts.

Optimal scheduling for an evaluation takes advantage of the presence of experienced project personnel and precedes an important decision point. Evaluation is also a good way for a departing project manager to phase in his replacement.

New and Terminating Projects

The evaluation process for a new or terminating project differs only in emphasis from the normal process.

For new projects emphasis should be on the plan:

- What is expected to result from the project?
- How it will be objectively verified?

Particular attention should go to baseline data, documenting the situation before the project has an effect. Data should be collected about a representative sample of those expected to benefit from the project and also about a directly comparable group who will not be affected by the project. This procedure facilitates two kinds of comparisons:

- "Before and after" for those affected.
- Affected versus not affected.

The evidence available in later evaluations can be much more rigorous and revealing with appropriate baseline data.

For Terminating Projects, only the alternatives to consider are different:

- Alternative "closing out" plans.
- Alternative new projects for related purposes.

Review prior expectations and evidence about actual performance. There usually are alternative plans for closing out the project, whether it has been successful or unsuccessful. One alternative may leave a legacy of ill-will unnecessarily when another alternative, with little or no extra funding, preserves what is crucial for the beneficiaries. For example, funds may be reallocated between participant training and advisers. Sometimes vestigial assistance can yield benefits much higher than cost.

Alternative new projects for related purposes should be considered before experienced personnel from a terminating project leave the Mission. The evidence developed in the evaluation plus the insight of the people involved are valuable inputs into Mission programming. The Mission frequently has a continuing interest in the same sector even though one project is terminating.

The Mission may wish to plan some follow-up evaluation of enduring effects after the project terminated.. If so, before termination, decide what to monitor.

Redundant documentation should be avoided whenever possible. Substitute the PAR for other reports if the same information is involved; alternatively, submit the PAR supplemented by a separate short report with additional information that merits reporting but is absent from the PAR.

Title II Food Projects

Title II Food Projects should be evaluated. It may be appropriate to evaluate groups of Food Projects of a Voluntary Agency together when a single Voluntary Agency operates many small projects that serve varied purposes. The evaluation should force consideration of whether a diffuse operation makes good sense.

- What results are expected of the projects: How will you know when its over?
- What objectively verifiable indicators are used to measure success?

- If the outputs of the projects are children fed, what is the project purpose?
- What evidence is there that a feeding program is affecting child mortality? or receptiveness to family planning?
- What alternative plans could be used for the same purpose?

The Voluntary Agencies need help in planning and management as much as other Implementing Agents. It will be helpful for them to think through their projects in terms of the same logical framework that is used for technical assistance projects. Take advantage of other documentation (e.g., the AER) that is unavoidable and minimize redundancy.

Title IX

Project evaluation should be influenced by Title IX in two situations:

- The purpose of the project is to increase social development in the spirit of Title IX.
- A project designed for another purpose can be modified in a way that increases its impact on "grassroots participation."

The evaluation framework is entirely appropriate for projects with non-economic purposes, but they must meet the same standards of planning and management. The expected results must be explicit and objectively verifiable. In projects focused on a non-Title IX purpose, the program office must ensure that Title IX and other broad policy directives are considered in choosing among alternative project designs.

Host Country and other Non-AID Representation in USAID Evaluation

Consult with Mission top management for guidance before involving host personnel and other outsiders in evaluation. The ideal would be for the host and other outsiders to evaluate the project independently using the same procedure USAID uses, to compare results, and arrive at agreed upon improvements in the project. There are at least four other strategies regarding host involvement: (1) no involvement; (2) host spokesmen provide inputs to USAID's evaluation; (3) host spokesmen share results of USAID's evaluation; and, (4) host spokesmen are integrated into the USAID evaluation process. The advantages of including the host are increased insight for USAID and perhaps for the host. The risks are possible loss of candor within USAID and the possibility of hurting host relationships. As a minimum, there should be feedback from host country spokesmen for every project evaluation; it is not essential to have formal participation by the host spokesman in the Mission's evaluation review.

The same issues apply to other outsiders. Normally contractors and PASAs are so integrally tied into the USAID program that they should be consulted throughout the process and if they dissent from in the final judgments, the dissent should be noted. Other donors may be included or excluded as fits the situation. Outside consultants with knowledge to contribute to the evaluation should be used when the Mission needs independent counsel or expertise not available on its own staff. Mission personnel in related projects may be useful too.

Constructive criticism and other feedback from host country spokesmen and other outsiders should be solicited for every evaluation. The summary of project purpose, end-of-project status, and actual progress toward EOPS form a convenient minimum for discussion; (of course it is not necessary to use these terms). Specific problems of implementation, when the solution depends on outsiders, should be discussed with those whose action is required. A post-evaluation meeting with outsiders is often useful to apprise them of the important alternatives being considered and the reasoning behind them.

Coordination with Other Evaluation Activities

The annual project evaluation preceding the PAR need not be the only evaluation activity in a Mission. One useful function for the annual evaluation is to identify issues that merit more intensive attention. The evaluation plan for the Mission should include special evaluations focused on specific issues of high importance to the Mission. The annual project evaluations by the regular Mission personnel should define precisely what evidence is missing and what kind of effort is needed to provide it and what decision will be influenced by the evidence; then, depending on the qualifications required, Mission personnel or outside personnel may develop the required evidence.

There are typical times in a project's life cycle when special assistance is appropriate: (1) at the beginning to set up baseline data appropriate to the evaluation questions to be asked of the project; (2) at replanning points when USAID has an important decision that depends on evidence requiring special research; and (3) at the end of a project when the results

suggest future commitments by this Mission (or others) may be influenced by a careful analysis of the experience in this project. Try to time a final evaluation so the key people are still in the field at the time of the evaluation.

Training

Be realistic in appraising the training required to get good evaluations that will be helpful to the Mission. If you need help, arrange for it ahead of time rather than waiting: the Regional Program Evaluation Officer and the Mission Director probably can help if you alert them ahead of time.

The factors to consider are: the number of project managers who have not used this evaluation procedure before, the adequacy of planning documentation, and your own command of the evaluation process.

Response to Inquiries from Washington

It has been recommended to AID/W that the Mission respond to all project-specific AID/W inquiries either in the PAR or at replanning time. Inquiries requiring more urgent replies should say so with a reason. Grouping responses should save time for the Mission and permit the Mission to give thoughtful replies to serious questions. If your Mission can negotiate this norm for its project-specific communications, be sure the important inquiries are answered when the PAR is submitted. Issues you consider important will fit into the normal PAR format; other issues can be dealt with in a separate airgram to accompany the PAR. It is permissible to

raise issues in the PAR that are not resolved immediately--but be sure they are resolved at the normal time for replanning.

Clerical Support

Typing and other clerical services are hard to get in most Missions. Get a good typist who can cope with the format of the PAR and who can get along with Mission staff. Offer her help for typing PARs and other documents needed for or resulting from evaluation. Don't let evaluation become a problem in clerical support for the Mission staff. Being extravagant rather than stingy with clerical support can save a lot of professional time.

III. MANAGING THE EVALUATION OF A TECHNICAL ASSISTANCE PROJECT

There are four critical ingredients for evaluating a project:

- A. Assigning responsibility for (1) collecting evidence and (2) judging replanning implications (comparison to alternatives)
- B. Prior expectations--from planning documents
- C. Evidence of actual progress
- D. Process management--by the Mission Evaluation Officer--to assure the quality of the evaluation process

A. Assigning Responsibility

Give the Project Manager responsibility for collecting evidence if possible. Make data collection an integral part of the project rather than an ad hoc

effort. The project manager should have access to everyone with relevant data and insight into the project. If he accepts responsibility for the project achieving its purpose, he should think about what evidence he needs to make decisions, how to get the evidence, what cost is acceptable.

Evaluation is too valuable to omit in the absence of a Project Manager. It is recommended and is an administrative requirement that there be a Project Manager who has responsibility for managing every non-capital project. However, in smaller Missions particularly, there may be no project manager so the preparation for evaluation must be undertaken by someone else. The criterion for selection is ability to collect data, analyze it, and present the Mission sound evidence for decision-making. Take into account both knowledge of the project and analytical skills. When there is a Project Manager but he is not available as scheduled, the evaluation should be rescheduled. It is shortsighted to meet a PAR submission schedule by assigning the job to an inappropriate person. The evaluation will be more expensive and less likely to lead to fruitful replanning.

The entire Mission must share responsibility for replanning of the project. The evidence of actual progress is only part of the input to replanning. Top management of the Mission should have the benefit of the insights and judgment of all interested parties in Mission in making important decisions about the project. AID/W comments should be considered at this stage, including evidence from similar projects elsewhere. The Mission participates

- before the review through dialogues with the Project Manager,
- at the Evaluation Review assessing the evidence and its implications, and

- after the review in the replanning activities decided upon in the Evaluation Review.

You should impress on everyone involved that their judgment and insights are welcome even if their views do not prevail. The advisory material #5 includes recommended roles for the participants in the review process.

B. Prior Expectations

What was expected compared to what actually happened? This key question depends heavily on an explicit plan or other indication of prior expectations. A good PROP and PIP together define clearly and crisply what was expected from the project. In actual PROPs two important elements are often missing:

1. A clear and crisp statement (perhaps 25 words) of the project purpose; and
2. Objectively verifiable targets to measure of the success of the project (end-of-project status).

Review the project documentation with the project manager to assure there is an adequate record of prior expectations from the PROP. If the PROP lacks an adequate statement of purpose and EOPS, you must help the Project Manager and Sector Management and Program Office establish expectations now. Defining what results are really expected of a project with an inadequate plan will probably be the most useful part of the evaluation. Don't underestimate the work required.

It takes time and work to shape up a plan, and get agreement about what is important even if the project has been going on for a long time. You will find that the rest of the evaluation will be relatively easier afterwards because planning will surface most of the important issues. Use Advisories #1 and #2 plus the first two sections of the "Project Evaluation Workbook."

The PIP indicates expected "output targets" and a "work schedule" with major actions to be taken. This data must be available before the evaluation, or at least completed during the evaluation. If the PIP is inadequate, you may find both kinds of information in the ProAg or perhaps even in a contractor workplan.

C. Evidence of Actual Progress

One of the many virtues of a well planned project is that the plan makes clear what evidence is needed for evaluation. The necessary evidence is objectively verifiable data appropriate to the progress anticipated in the plan.

1. Were the inputs provided as expected?
2. Were the outputs produced as expected?
3. Is actual progress toward the purpose as expected?
4. Is the progress toward the goal as expected?

Project managers want guidance on the "depth" and "rigor" expected in their collection of evidence. The guiding criterion should be sufficient depth and rigor for management to decide the important issues.

When an important issue requires more technical skill than the project manager can provide, consider what kind of help he needs and how to provide it to him through personal assistance or help from others within the Mission, or by requesting an outside consultant with appropriate expertise. A second criterion on depth is to start out collecting only appropriate baseline data. Defer sophisticated analysis of why the project worked until later in the project when it is clear that it has been successful. Baseline data cannot be generated later in most cases; clear thinking about the questions to be asked will guide you about what data to collect. Outside technical assistance often can be deferred to appropriate milestones in the project that are option points for replanning.

D. Process Management by the Mission Evaluation Officer

You have great flexibility to customize the evaluation process to fit the needs of specific projects in your Mission. Note the elements for flexibility:

1. Scheduling the evaluation
2. format for reporting within the Mission
3. structure for the review process in the Mission
4. degree of involvement by the host and other outsiders
5. roles of Mission personnel in the evaluation
6. depth of analysis of alternatives to the current plan
7. special assistance to the project manager--training, collecting evidence, analysis.

The most important tools at your disposal are the following:

1. The evaluation plan for the Mission that ties your evaluations to important problems faced by the Mission.
2. The Project Evaluation Workbook.
3. Advisory Material to guide collection of evidence and to help generate alternatives to the current plan for the project.
4. The Evaluation Review to bring the collective experience of the entire Mission to bear on the project.
5. The reports on evaluation to the Mission and to Washington providing an opportunity for project level management to create a "credible record" of good management--clear planning, insightful analysis, and resourceful responses to difficult problems.
6. Special assistance from you or from outside experts.

The extent of your personal involvement in any given project evaluation should be carefully considered. Ideally you would be a trainer and coordinator exclusively; planning and refining the evaluation process for your Mission would take most of your time. In practice, there will be project managers who need extensive help to prepare for a Mission useful Evaluation Review. To ensure that the outputs of the evaluation are worthwhile to the Mission, you must ensure the prior expectations are in place, appropriate evidence is collected, and everything is organized for review by the Mission. Sometimes you will have to help personally to get the job done. The better you train project managers, the less you will have to help later.

The Mission Evaluation Review is discussed extensively in Project Evaluation Advisory #5.

Advisory material is intended to supplement the instructions in the Project Evaluation Workbook. Each advisory corresponds to a section in the Workbook. Most project managers will need the advisory material the first time they use the Workbook; subsequently, they will only refer to the advisories for examples or to resolve specific questions. You should have a stock of advisories to give to project managers who need help. Order one set of advisories for every person charged with collecting evidence on a project plus extra sets for yourself and Mission top management people who attend review sessions. The appropriate pages from Advisory 5 should be provided to every participant in an evaluation review.

Advisory materials and the Project Evaluation Workbook are deliberately flexible and advisory so they can be changed based on experience. As you discover ways to improve the material, supplement it with your own materials; send copies of your improved materials and exemplary project evaluations from your Mission to the Regional Evaluation Officer so that he can distribute copies to other Missions.

Stay in touch with the AID/W Regional Evaluation Officer on an informal basis. You are partners in improving AID evaluation and should be able to help each other.

IV. THE OUTPUTS FROM EVALUATION

There are six major outputs from evaluation:

- A. Recognizing the need for changing the current plan
- B. Explicit guidance to management about what is expected of the project
- C. Coordinating the key parties in the project
- D. Reporting to the Mission Director and to AID/W on the evaluation - a credible record of good management
- E. Data for comparisons among TA projects - the AID/W memory
- F. The EO's report - evaluating the Mission evaluation program

A. Recognizing the Need for Changing the Current Plan

Evaluation must call management attention to situations when the current plan should be changed. Evaluation should produce (1) evidence of important differences between actual progress and prior plans, (2) genuine alternatives to the current plan, and (3) the judgment and insight of the entire Mission about both evidence and alternatives. Replanning may be immediately or may be deferred to the normal time in the programming cycle; the timing depends on the urgency of the situation, the need for more analysis of promising alternatives, the importance of the proposed change, and the flexibility available to the Mission taking into account contractual agreements, etc. Note that evaluation is basically an analytical process that provides inputs to a separate replanning process.

Identify the decision-makers for replanning and get them into the evaluation too, so they hear all the evidence.

B. Explicit Guidance to Management

Evaluation must provide project level management explicit guidance about what is expected from the project. The expectations will be based on up-to-date evidence and judgments about what is needed, what is reasonable, and the alternatives to the current plan. The resources for project level management are also made explicit. The project manager could negotiate a contract with the Mission that given these resources, he would take personal responsibility for fulfilling the Mission's expectations about the project. Even when the manager does not accept personal responsibility for results, the manager has "clear marching orders" about what the Mission considers important.

C. Coordinating of Key Parties in the Project

Evaluation improves communication about what the project is expected to do and how. This is an important output even when the current plan is reconfirmed with little or no change. Distinctly different perceptions of the same project often coexist within the Mission. The communications gap is even wider between Mission personnel and outsiders such as contractors, PASA personnel, host country personnel, other donors, and AID/W. Evaluation provides an annual opportunity to clarify what is expected of the project and how it will be done. This is particularly important in situations where project performance is significantly different from prior expectations and alternatives to the current plan involve important changes.

D. Reporting to the Mission Director and Washington - "the Credible Record" of Good Management

Reporting on evaluation to the Mission Director and to Washington provides an opportunity to display a "credible record" of good management of the project. Specifically, the report provides internal evidence that:

1. The project is properly planned: expectations are explicitly understood and performance will be objectively verifiable.
2. Evidence about actual progress is satisfactory for decision-making.
3. The evidence has been reviewed with insight and candor; the collective judgment of the Mission is indicated by the implications for replanning; and
4. Alternatives to the current plan have been considered and appropriate replanning action initiated.

The report to the Mission Director should emphasize the issues of concern to him and the actions that he must take based on the evaluation review. The PAR is also the place for the Mission to respond to any accumulated inquiries from AID/W that have not been answered at the time of the evaluation.

The PAR takes advantage of the evidence collected for Mission use to inform Washington about the information Washington needs. The PAR gives AID/W a basis for responsible delegation of project decisions to Mission management. The Mission Director will look for evidence of the high quality of project level management.

You must assure the report on evaluation captures the hard-hitting, insightful analysis that takes place. Postponing the report to the end of the process will facilitate candid discussion of important issues within the Mission -- particularly if you preempt discussion of what should be reported to preserve time for discussion of the important issues. After the Evaluation Review is completed, there is no reason for the original analysis to be regarded as sacrosanct; reports should take into consideration the results of the Evaluation Review. Once sensitive issues are openly confronted, and the alternatives considered, it usually is possible to describe the issues and the alternatives in the report too; the phantoms of untouchable subjects fade in most cases. It is permissible for the evaluation to raise more issues than it resolves; of course, the unresolved issues should be resolved by the time of replanning and reported upon at that time. When there is an issue that is so "hot" that there is reluctance to report on it fully and candidly, you should satisfy yourself that (1) there are good substantial reasons for any departures from complete candor, and (2) Mission top management understands the situation and agrees with the actual report.

E. Data for Comparisons Among Technical Assistance Projects

There is some evidence to support the hypothesis that AID/W can use data from Mission evaluations to make useful comparisons with other TA projects. Consequently, data from PARs and other documents are being stored in a "data base" for analysis of the nature of technical assistance. This is an important effort by the Agency to "learn from its experience" over time. The data base may be useful to the Mission later. For example,

when you have difficulty planning a project, you will be able to learn what other projects have been undertaken in the area, their project purposes, measures of end-of-project status, and perhaps the kinds of problems encountered by these projects at each stage of development. Of course, the usefulness of the data base is still hypothetical until appropriate evidence is submitted from the Missions about actual experience with TA. Note that the data base is a byproduct of the evaluation and the main fruits come directly to the Mission.

F. The Evaluation Officer's Report - Evaluating the Mission Evaluation Program

Your annual evaluation plan should make explicit the Mission's expectations about your evaluation program as well as how you plan to go about it. At the end of the evaluation cycle, you should report to the Mission Director and to the Regional Program Evaluation Officer about the actual results. Plan your evaluation program as if it were a technical assistance project and then evaluate it at the appropriate time. What evidence will you have about the value of evaluation to the Mission? What is the expected end-of-project status? Discuss your analysis with Mission top management and other key actors in the process. Consider alternatives to the current program to improve effectiveness and efficiency next year. Your replanning should be incorporated into your evaluation plan for the coming year.

THE PROJECT EVALUATION WORKBOOK

PREFACE

This Project Evaluation Workbook is for use by managers of technical projects. If used conscientiously, it can help improve projects by improving project planning and design. The Workbook contains seven sections. Each section contains both explanatory narrative and worksheets. The worksheets are aids to the Project Manager, providing space for making notes and summarizing data to simplify his analysis.

The first section of this workbook is of key importance, and should help you analyze the logical structure of the project. Sections Two through Five will help assess progress to date and sort out implications for future performance. Section Six simplifies the job of reporting on your evaluation to the Mission and filling out the Project Appraisal Report (PAR). (Postpone thinking about reporting until you have completed your analysis of the important issues in the project.) Section Seven provides a convenient file location for documentation, advisory material, and extra worksheets - anything you do not need immediately at hand but may want to refer to.

An important part of evaluation is dialogue with others involved in the project. Such dialogues can serve a wide variety of functions: (1) bringing the evidence and insight available in the Mission to bear on replanning, (2) surfacing important issues in a forum that encourages constructive discussion, and (3) developing a "Mission position" on relative priorities within the project.

The pages of the Workbook are "color coded." Yellow pages are instructions that you will probably want to keep in the Workbook. White pages are worksheets that will be consumed and replaced as needed.

Advisory material is available from the Evaluation Officer to help you evaluate your project. Advisories contain explanatory information, advice on common evaluation problems, and examples of the evaluation process. You will probably want to store the more useful advisory material in this Workbook.

NOTE: The worksheets contained in this handbook are for your use only and not intended as reports. However, the Mission's evaluation review can (and generally should) address most if not all of the questions raised by these worksheets. Thus, at least be prepared to respond, in a meeting attended by the Mission Director, to any and all of the questions (both explicit and implied) contained in the following.

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1.0 RESULTS EXPECTED OF THE PROJECT

1.1 Objective of Section 1:

Your objective in this section is to clarify and assess the practicality of the results expected of your project.

1.2. Objectively Verifiable Results at the End of the Project

The first step in evaluating your project is to identify exactly what was expected to result from that project. Review the project documentation (the PROP and PIP) looking for clear statements of the results expected of your project at four levels:

1. the relationship of this project to the rest of the Mission program (the programming goal) and objectively verifiable measures of progress expected toward that goal (goal targets);
2. the hoped for result that motivated AID support for this particular project (the project purpose) and objectively verifiable measures that would indicate the successful completion of the project (end-of-project status);
3. the outputs that result from AID support for the project and objectively verifiable measures of how much of each output is expected by the end of the project (output targets);
4. a detailed course of action including the estimated cumulative cost to AID for the project and an implementation schedule.

Worksheet 1 provides a convenient way of summarizing what is expected of your project at each of the four levels in prose and with objectively verifiable indicators. Remember, however, that the objective of this exercise is to define what was expected of your project when the PROP and PIP were prepared. The first few times you use this worksheet, you will find it useful to read the advisory material entitled "Logical Framework of a Technical Assistance Project". It provides useful examples and explanatory material.

If your project documentation does not clearly define the results expected of the project, take the opportunity to remedy the deficiencies now -- this is probably the most important single part of the evaluation -- you cannot evaluate if you do not know what you were supposed to accomplish. Consult with the Evaluation Officer, Sector Management, and the Program Office to confirm that they concur in your statements of the Mission's expectations from the project.

The links between the four levels of expectations will be explored in subsequent sections. It is a hypothesis that achieving the results expected at each level will lead to achieving the results expected at the next higher level. Usually there are important assumptions about factors outside of USAID control that also influence successful completion of the results at the higher level; note the most important of these assumptions in the right column opposite the higher level.

Some projects in the Agency are clearly related to an explicit programming strategy; some are not. If your project was not developed in

response to a higher goal for which you can define objectively verifiable indicators of success, say so explicitly. Not later than the normal programming period, the potential impact of the project on the host country should be examined and a worthwhile programming goal for the project specified; otherwise, plans should be made for a well considered phase-out. Avoid fabricating a goal that has no influence on project planning -- don't waste your time.

1.3 Interim Targets

A good plan includes the target that signals project completion and also interim targets that can be monitored during project implementations. Review the documentation again, looking for the interim targets at all four levels. Interim targets may be found in the following places:

<u>Level of Interim Targets</u>	<u>Documentation</u>
goal:	PROP
end-of-project status:	PROP; ProAg; previous PAR (Worksheet 2)
outputs:	PIP part 2; ProAg; workplans PAR Worksheet 3
schedule of implementation:	PIP, parts 1, 3, 4, 5; ProAg; workplans.

As you review the interim targets for your project, focus first on the kind of result being measured and second on how it is being measured. Later you will review the reasonableness of the expectations.

1. Are all the critical aspects of the project included?
2. Are there objectively verifiable indicators when it is possible to have them?
3. Is it clear what was expected of the project this year?
4. Are expectations about the future progress indicated?
5. Have we actually collected the data to assess progress compared to these expectations? If not, can we get it now?

If the expected progress is not clearly indicated, take this opportunity to set up interim targets for the future. The PIP is the appropriate document for interim targets at the input and output levels; PIP forms are available in every Mission and an 8 1/2" x 11" PIP form is included in the workbook. Interim targets for end-of-project status and for the goal can be summarized on Worksheets 2 and 11. If your interim targets are being set now rather than merely being reviewed, use the following for setting them:

- (1) Will the end-of-project targets be achieved on time and within budget if the interim targets are met?
- (2) Are the targets realistic expectations given the time and resources available?
- (3) If the target for one level are met, then it is our hypothesis that the targets at the next higher level should also be met. Include among your indicators a full enough description of interim status to make it clear to management when an important element is falling behind. Important assumptions about factors outside your control should be noted on Worksheet 1.

AID-

TECHNICAL ASSISTANCE LOGICAL FRAMEWORK: definitions and instructions are in Project Evaluation Advisory 1

PROJECT EVALUATION WORKSHEET NO. 1

I. PROJECT TITLE

2. FOR PERIOD ENDING

3. DATE PREPARED

I. NARRATIVE SUMMARY

II. OBJECTIVELY VERIFIABLE TARGETS

III. IMPORTANT ASSUMPTIONS

A.1 PROGRAMMINE GOAL

A.2 GOAL TARGET

A.3

B.1 PROJECT PURPOSE

B.2 END OF PROJECT STATUS

B.3

C.1 OUTPUTS

C.2 OUTPUT TARGETS

C.3

D.1 INPUTS

D.2 IMPLEMENTATION SCHEDULE

D.3

LIFE OF PROJECT BUDGET

AID

END-OF-PROJECT STATUS INDICATORS: INTERIM TARGETS AND ACTUAL PROGRESS

1. PROJECT TITLE		2. FOR PERIOD ENDING	3. DATE PREPARED
A. EOPS INDICATORS: WHAT KIND OF RESULTS?	B. INTERIM TARGETS: OBJECTIVELY VERIFIABLE MEASURES OF PROGRESS EXPECTED BY NOW AND AT KEY POINTS BEFORE PROJECT COMPLETION.	C. ACTUAL PROGRESS DURING PERIOD OF ANALYSIS: NUMBERS AND/OR NARRATIVE.	

--	--	--	--	--	--	--	--	--

PROJECT EVALUATION WORKSHEET NO. 2

D. RATING OF ACTUAL COMPARED TO EXPECTED PROGRESS TOWARD PROJECT PURPOSE (✓)	Unsatisfactory		Satisfactory			Outstanding	
	1	2	3	4	5	6	7

2.0 THE PROJECT PURPOSE AND END-OF-PROJECT STATUS

2.1 Objective of Section 2:

Your objective in this section is to review this year's progress toward the project purpose and compare that progress to prior expectations. If the project purpose in your project documentation and in Worksheet 1 appears to be out of date, you will prepare an up-to-date statement of project purpose and end-of-project status. Then you will compare actual progress since the last PAR with the planned progress.

2.2 Updating the Project Purpose and End-of-Project Status Indicators

If your project purpose and end-of-project status are up-to-date, you can proceed to Section 2.3. Otherwise, reflect a bit about the appropriateness of the purpose in the project documentation.

Discuss the purpose with others to verify that they share your sense of priorities. Consider making appropriate changes and think through the implications of any change.

1. Does the purpose in Worksheet 1 express what is important now?
2. Do all key personnel understand and agree with this project purpose? (Mission Director's office, program office, sector management, implementing agents, etc.)
3. Do the host government, other donors, and counterparts understand and agree with the stated purpose? Does a difference in priorities affect progress toward the purpose you consider

appropriate? What disagreements could be resolved by gathering evidence and which are due to a difference in values?

4. Examine each phrase in your project purpose, eliminating everything except the bare essentials -- the basic motive that prompted our support. Does this suggest new alternatives for replanning?
5. What important factors beyond your control affect ability to achieve the project purpose? How confident are you that your assumptions about these factors will hold true (e.g., will other inputs be provided as scheduled, will political issues modify host interest, etc.)?

2.3 Progress toward End-of-Project Status (EOPS)

Collect evidence about actual progress towards EOPS since the last Project Appraisal Report (PAR). Compare actual progress with prior expectations to assess past performance. Worksheet 2 will be helpful.

1. What evidence is there that the project is progressing toward end-of-project status?
2. If actual progress is slower than expected, do you expect the project to catch up or fall farther behind?
3. Were the USAID expectations for actual progress realistic so far? Are expectations for the future realistic?
4. Do USAID plans and contracts make explicit what USAID expects? What can be done to make sure the responsible parties are aware of what is expected of them?
5. Comment briefly on Worksheet 2 about the progress measured

by each EOPS indicator. Note alternative actions for AID to improve future performance. (Alternatives will be recapitulated in Section 5 but you should note them as they come to mind throughout the evaluation.)

2.4 Rate Actual Progress toward Project Purpose

Rate the actual progress toward project purpose compared to the progress expected by USAID in its plans and contracts. Focus on the period since the last PAR. Review the EOPS indicators as one kind of evidence in making your judgment. Use the scale at the bottom of worksheet 2. Interpret the ratings as follows:

How would the decision to fund the project for this period have been influenced by foreknowledge of the actual results?

- | | |
|----------------|--|
| outstanding | -actual performance exceeds our reasonable expectations. |
| satisfactory | -actual progress meets USAID expectations and fully justifies support. |
| unsatisfactory | -actual performance is sufficiently disappointing that alternative use of resources would have been preferred. |

3.0 INPUTS TO OUTPUTS

3.1 Objective for Section 3:

Your objective in this section is to analyze the transformation of inputs into outputs and look for ways to do it better. First you will compare actual outputs and actual inputs to previous plans; then you will update your expectations for the future. Finally, you will assess the components of the project.

3.2 . Compare Actual Outputs with Plans

Outputs are the specific results the project will produce. USAID's "managable interest" in the project includes those results a competent manager could be expected to produce with the available resources. Producing these outputs as planned should make it highly probable the project purpose will be achieved. Collect evidence about actual progress toward the interim output targets in PIP, part 2. Compare the actual outputs to the targets. You might mark actual progress directly on the PIP below the targets.

Each output indicator describes the kind of result the project will produce. An output target describes the magnitude of the result expected at a specific time. Output targets should be objectively verifiable and when possible they should be quantified -- for example, cumulative total teachers trained = 124; 40% of the staff are host nationals; 73 students graduate

this year; 9,400 children fed lunches daily; 1,400 loops inserted; and seed sales were \$70,000. Advisory 1 provides some guidance on measuring outputs.

Now reflect a bit about outputs and do not limit yourself to the items on the PIP.

1. Are the most important kinds of outputs included? If not, add new output indicators.
2. Are appropriate measures being used as "output indicators"? If not, how can you measure the outputs better?
3. Are there important attitudinal or organizational changes required to achieve the project purpose? Can you influence them? If so, identify them explicitly as outputs and consider how the project can assure they will be produced.
4. Are the output targets being met so far?

3.3 Compare Actual Implementation with Plans

Collect evidence about actual progress in implementation of the project work plan. Compare the actual dates for each important action with the "target dates" in the PIP "Work Schedule". Now reflect about the implementation so far, not limiting yourself to the PIP.

1. Are all the important actions for the immediate future included in the work schedule? If not, put them in.
2. Is your project on schedule with respect to inputs?
3. If the original schedule was wrong, why?

If your project documentation includes a projection of "personnel requirements", "participants requirement", or "commodities", do the same kind of analysis on those inputs; e.g. PIP, part 3, 4 and 5.

3.4 Updating Expectations about Future Outputs and Inputs

Update your estimates of future outputs and the future implementation schedule. Consider the evidence about actual performance compared to the prior plan and either mark up the old PIP (parts 1 and 2 or use new PIP forms for a clean start. Then, use Worksheet 3 to summarize the most important outputs.

1. Are the estimates of future outputs realistic. If actual outputs are below target now, will the project catch up or fall farther behind? Why?
2. Is the Implementation Schedule realistic? If actual implementation is behind schedule, will the project catch up or fall further behind? Why?
3. Is the up-to-date output forecast consistent with the up-to-date implementation schedule?
4. What could be done to compensate for areas of poor performance?

5. Are the new estimates more reliable than the old ones?
What additional information could you get to improve the quality of your forecasts? e.g., consultation with host, contractors, and other donors rather than making assumptions.
6. Which outputs are most critical to the project purpose?
List these indicators on Worksheet 3 with realistic forecasts for the future.

For Worksheet 3, if three or four output indicators adequately describe progress of the project at this level, it is not necessary to report more. Prior target normally describes the expectations in the PIP, part 2, when funds were approved for the period since the last PAR: If there is a more recent PROP with revised targets, use the output targets of the current PROP. Normally the same indicator should be monitored from year to year. Add other indicators as necessary; when an important indicator is replaced or omitted be prepared to explain why. If there is no prior target for output to date, either interpolate or leave the box blank. Current estimates of outputs are understood to be tentative and approximate. They are not changes in the formal output targets; important changes in output targets belong in a PROP or PIP to document changes in the project plans. In Worksheet 3 important deviations between prior targets and current estimates alert management that the current plan is not realistic -- and replanning is appropriate.

If actual performance is disappointing, what genuine alternatives exist for USAID to help improve performance? e.g. reallocating funds within the project, renewed efforts to change a policy, filling a slot, change of emphasis, closer supervision. Note briefly on Worksheet 3 some plausible alternatives for improving performance. Postpone detailed analysis of the alternatives until Section Five.

Now step back for perspective. Does the schedule of inputs reflect your best judgment about what is necessary to produce the desired outputs? Is it realistic to meet this schedule? Would you be willing to accept personal responsibility for meeting the interim and final output targets with these inputs? Are the key people in the project committed to produce the necessary outputs? Are they going to meet the schedule?

AID OUTPUTS - PRIOR TARGETS AND CURRENT ESTIMATES

PROJECT EVALUATION
WORKSHEET No. 3

1. PROJECT TITLE _____ 2. FOR PERIOD ENDING DATE PREPARED _____

A. MOST IMPORTANT OUTPUT INDICATORS		B. OUTPUT TARGETS				
		TO DATE	END OF CURRENT FY: _____	FY: _____	FY: _____	AT COMPLETION FY: _____
1.	PRIOR TARGET					
	CURRENT ESTIMATE					
2.	PRIOR TARGET					
	CURRENT ESTIMATE					
3.	PRIOR TARGET					
	CURRENT ESTIMATE					
4.	PRIOR TARGET					
	CURRENT ESTIMATE					
5.	PRIOR TARGET					
	CURRENT ESTIMATE					
6.	PRIOR TARGET					
	CURRENT ESTIMATE					
7.	PRIOR TARGET					
	CURRENT ESTIMATE					
8.	PRIOR TARGET					
	CURRENT ESTIMATE					

C. ALTERNATIVES TO CURRENT PLAN

3.5 Analysis of Major Components of the Project

Having considered the project as a whole, now dig deeper into the important components of the project and their efficiency. Six worksheets are provided to help you analyze the six categories of inputs that are most common in TA projects: implementing agents (Worksheet 4); participant training (Worksheet 5); commodities (Worksheet 6); host country (Worksheet 7); other donors (Worksheet 8); and USAID as a component of the project (Worksheet 9).

Skip categories that do not apply to your project. However, consider the possibility of using inputs that are not in your current project design; e.g., even if you started without commodities, it might be wise to add some now.

Use several copies of the same worksheet if you have several implementing agents, several important donors, or several important host organizations, or several distinctly different commodity elements. Your analysis will be sharpened. Remember, these worksheets are for your use, they are not reports to others.

The basic elements of the analysis are the same for all kinds of inputs to the project. Answers should be focused on the period of analysis since the last PAR. Worksheets are intended primarily to trigger your thinking by looking at the project from a perspective that may look unfamiliar to you. When a question does

not fit your project exactly, look for the issue involved to see if it can provide insight into your project despite any ambiguities.

Comments follow on each section of the worksheets.

1. Cost

The approximate magnitude, not the precise amount of the cost, provides perspective about what performance to expect from the component. In the Worksheets for Host Organizations, Other Donors, and USAID, do not try to allocate all costs. Just estimate the high-cost items to gain perspective into project costs. The costs borne by the host country or other donors are relevant to USAID planning because the cost could be used for other development projects.

2. Outputs

What important outputs depend substantially on this component of the project? Just note the outputs critical for the project purpose. Are the funds for this component focused on the critical outputs? How about management time?

3. Rating of Actual Performance

Use your notes on outputs and the costs for this component as evidence for rating actual performance. What was expected

in prior plans? Is the current cost reasonable for what has been accomplished in this period? Are the expected future outputs worth the planned cost?

Interpret the ratings as follows:

How would the decision to fund this component for the period of analysis have been influenced by foreknowledge of the actual performance?

outstanding	-actual performance exceeds our reasonable expectations
satisfactory	-actual performance meets USAID expectations and fully justifies support
unsatisfactory	-actual performance is sufficiently disappointing that alternative use of resources would have been preferred

The relevant "expectations" are those of the time the decision was made to fund (or continue to fund) the component. More recent changes in expectations are germane to replanning, but must be separated from comparisons with previous plan.

4. Importance for the Project Purpose

Are the outputs from this component crucial to achieving the project purpose -- "high" importance? Desirable but less than crucial -- "medium"? Or, related to the project but not contributing directly to the stated purpose -- "low"?

Is this component of the project really necessary for achieving the project purpose?

5. Performance Factors

Technical assistance projects are sufficiently similar in structure that USAID experience can be used to identify some performance factors that often influence the success of a project.

Each worksheet in this section has a list of appropriate "performance factors" to help you analyze the elements of your project and decide what you can and should be focusing on. First, rate the factor's actual impact on outputs compared to USAID expectations. Focus on the period since the last PAR. Then after the impacts of all factors have been rated ("negative", "as expected", or "positive") check those factors that were most important for the project purpose. Use these questions to trigger your own thinking about the project. If a factor appears ambiguous with respect to your project, consider it important, if it suggests issues worthy of management attention. Note explicitly what you mean for your discussions later with others.

Interpret the ratings of actual impact as follows:

N.A.	-not applicable during the period of analysis
positive	-a source of strength to the project during the period of analysis
as expected	-not significantly different from plan for this period

- | | |
|-----------------|--|
| negative | - progress was adversely affected by this factor |
| high importance | - the factor had important impact on the project. Corrective action was required (negative impact - high importance) or actual progress was dependent upon this factor (positive or satisfactory - high importance). |

You may wish to discuss the "high importance" factors with other interested parties such as the chief of party or a host country spokesman; your objective is to improve project success by focusing attention on the important elements of the project. It is not important to discuss the USAID evaluation process and do not waste a lot of time discussing why a factor is rated "negative" impact. Keep your dialogues focused on improving the project.

6. Alternatives for Replanning

After analyzing a component of the project, look for key factors that USAID can influence to increase efficiency and effectiveness. Review the list of performance factors that are "important," looking for one or more issues that could have an important effect on the success of the project as a whole. Then identify the genuine alternatives to the current approach. Do not work out the alternatives in detail at this stage; prepare a "menu" of issues with alternatives for consideration in Section 5. Only the most promising alternatives will be thoroughly explored.

Supplementary Comments on USAID as a Component of the Project

The hardest and most important part of an evaluation is to gain insight into our own role in a project. The ideal approach would be to obtain a candid and insightful critique of USAID from responsible host-country spokesmen. Our efforts are not always clearly understood, and we may become insensitive to what the host country thinks is in its own best interest. Make an effort at the time of the evaluation to get candid host feedback about how we are doing. The worksheet for USAID (Worksheet 9) should be filled out based on feedback from the host or even completed by a host representative.

The objective for analyzing the USAID role in the project is to find ways to improve the project rather than to confess every embarrassing issue. Focus on issues rather than personalities. Be bold in your thinking, rather than overly timid; if the common sense solution to a problem requires changing a policy of the Mission or even of the Agency, do not dismiss that solution silently. Policymakers need feedback about the cost their policies inflict on projects like yours. Of course, you should also present alternatives that do not contravene existing policies, thereby clarifying the genuine alternatives available.

There is no built-in report to AID/W about USAID.

AID
IMPLEMENTING AGENT

**PROJECT EVALUATION
 WORKSHEET NO. 4**

1. ORGANIZATION	2. FOR PERIOD ENDING	3. DATE PREPARED
-----------------	----------------------	------------------

A. COST (APPROXIMATE)

1. CUMULATIVE THROUGH CURRENT FISCAL YEAR.	\$ _____
2. ESTIMATED EXPENDITURE, CURRENT FISCAL YEAR.	\$ _____
3. ESTIMATED ADDITIONAL COST TO COMPLETION.	\$ _____

B. IMPORTANT OUTPUTS DEPENDENT SUBSTANTIALLY ON THIS IMPLEMENTING AGENT

C. ACTUAL PERFORMANCE DURING THE PERIOD COMPARED TO EXPECTATIONS: (✓)	Unsatisfactory		Satisfactory			Outstanding	
	1	2	3	4	5	6	7
D. IMPORTANCE FOR ACHIEVING PROJECT PURPOSE: (✓) (Is this agent really necessary?)	Low		Medium			High	
	1	2	3	4	5		

E. PERFORMANCE FACTOR RATING(✓)

FACTORS	ACTUAL IMPACT			WAS IT IMPORTANT (✓) YES
	Negative	As Expected	Positive	
4.1 PLANNING AND MANAGEMENT				
4.2 UNDERSTANDING OF PROJECT PURPOSE				
4.3 RELATIONS WITH HOST NATIONALS				
4.4 EFFECTIVE USE OF PARTICIPANT TRAINING				
4.5 LOCAL STAFF TRAINING AND UTILIZATION				
4.6 ADHERENCE TO WORK SCHEDULE				
4.7 CANDOR AND UTILITY OF REPORTS TO USAID				
4.8 TIMELY RECRUITING				
4.9 TECHNICAL QUALIFICATIONS				
4.10 RESPONSIVENESS TO USAID DIRECTION				

F. *Alternatives for Replanning:* Use the back of the page to note (1) *key factors influencing efficiency and effectiveness of this implementing agent;* (2) *the genuine alternatives to use of this agent or to his current approach to the project.* The most promising alternatives will be reviewed in Section 5.

AID PARTICIPANT TRAINING ANALYSIS

PROJECT EVALUATION WORKSHEET NO. 5

1. ORGANIZATION _____ 2. FOR PERIOD ENDING _____ 3. DATE PREPARED _____

A. COST (Magnitudes only)

1. CUMULATIVE THROUGH CURRENT FISCAL YEAR. \$ _____
2. ESTIMATED EXPENDITURE, CURRENT FISCAL YEAR. \$ _____
3. ESTIMATED ADDITIONAL COSTS TO COMPLETION. \$ _____

B. IMPORTANT OUTPUTS DEPENDENT SUBSTANTIALLY ON THIS TRAINING

C. ACTUAL PERFORMANCE DURING THE PERIOD COMPARED TO EXPECTATIONS (✓)	UNSATISFACTORY		SATISFACTORY			OUTSTANDING	
	1	2	3	4	5	6	7
D. IMPORTANCE FOR ACHIEVING PROJECT PURPOSE (✓) (Is this training really necessary?)	LOW		MEDIUM		HIGH		
	1	2	3	4	5		

E. PERFORMANCE FACTOR RATING

FACTORS	ACTUAL IMPACT (✓)			WAS IT IMPORTANT (✓) YES
	NEGATIVE	AS EXPECTED	POSITIVE	
Predeparture				
5.1 English Language Ability				
5.2 Host Country Funding				
5.3 Orientation				
5.4 Participant Availability				
5.5 Trainee Selection				
Post-Training				
5.6 Relevance of Training to Present Project Purpose				
5.7 Appropriate Facilities and Equipment for Returned Trainees				
5.8 Employment Appropriate to Project				
5.9 Supervisor Receptiveness				

F. Alternatives for Replanning: Use the back of the page to note (1) The key issues influencing efficiency and effectiveness of training; (2) genuine alternatives to use of participant training, this approach to training, and the current training agent. You will review the more promising alternatives, for the project as a whole, in Section 6.

AID COMMODITIES ANALYSIS

PROJECT EVALUATION
WORKSHEET NO. 6

1. TYPE OF COMMODITIES

FFF NON-FFF

2. FOR PERIOD ENDING

3. DATE PREPARED

A. COST (Magnitudes only)

1. CUMULATIVE THROUGH CURRENT FISCAL YEAR \$ _____
2. ESTIMATED EXPENDITURE, CURRENT FISCAL YEAR \$ _____
3. ESTIMATED ADDITIONAL COSTS TO COMPLETION \$ _____

B. IMPORTANT OUTPUTS DEPENDENT SUBSTANTIALLY ON THESE COMMODITIES

C. ACTUAL PERFORMANCE DURING THE PERIOD COMPARED TO EXPECTATIONS : (✓)	UNSATISFACTORY		SATISFACTORY			OUTSTANDING	
	1	2	3	4	5	6	7
D. IMPORTANCE FOR ACHIEVING PROJECT PURPOSE : (✓) (Are these commodities really necessary?)	LOW		MEDIUM			HIGH	
	1	2	3	4	5		

E. PERFORMANCE FACTOR RATING

FACTORS	ACTUAL IMPACT (✓)			WAS IT IMPORTANT (✓) YES
	NEGATIVE	AS EXPECTED	POSITIVE	
6.1 Commodities Appropriate to Project Needs				
6.2 Timeliness of Procurement or Reconditioning				
6.3 Timeliness of Delivery to Point of Use				
6.4 Storage Adequacy				
6.5 Appropriate Use				
6.6 Maintenance and Spares				
6.7 Records, Accounting, and Controls				

F. Alternatives for Replanning: Use the back of the page to note (1) the key issues influencing efficiency and effectiveness of the commodity components; (2) genuine alternatives to use of the current commodity mix, and to use of commodities. You will review the more promising alternatives, for the project as a whole, in Section 6.

AID HOST COUNTRY INPUTS ANALYSIS

PROJECT EVALUATION WORKSHEET No. 7

1. HOST ORGANIZATION

2. FOR PERIOD ENDING

3. DATE PREPARED

A. Current fiscal year costs (estimate magnitude) # _____

B. IMPORTANT OUTPUTS DEPENDENT SUBSTANTIALLY ON HOST ORGANIZATION

C. ACTUAL PERFORMANCE DURING THE PERIOD COMPARED TO EXPECTATIONS : (V)	UNSATISFACTORY		SATISFACTORY			OUTSTANDING	
	1	2	3	4	5	6	7
D. IMPORTANCE FOR ACHIEVING PROJECT PURPOSE : (V) (Are these inputs really necessary?)	LOW		MEDIUM			HIGH	
	1	2	3	4	5		

E. PERFORMANCE FACTOR RATING

FACTORS	ACTUAL IMPACT (V)			WAS IT IMPORTANT (V) YES	FACTORS	ACTUAL IMPACT (V)			WAS IT IMPORTANT (V) YES
	NEGATIVE	AS EXPECTED	POSITIVE			NEGATIVE	AS EXPECTED	POSITIVE	
PERSONNEL					7.12. HOST GOVERNMENT COOPERATION WITH NON-GOVERNMENT ORGANIZATIONS				
7.1 COMPETENCE/CONTINUITY OF PROJECT LEADER					7.13 AVAILABILITY OF RELIABLE DATA				
7.2 ABILITY TO IMPLEMENT PROJECT PLANS					7.14 PROJECT FUNDING				
7.3 USE OF TRAINED MANPOWER IN PROJECT OPERATIONS					7.15 LEGISLATIVE CHANGES RELEVANT TO PROJECT				
7.4 TECHNICAL SKILLS OF PROJECT PERSONNEL					7.16 ADEQUACY OF PROJECT-RELATED ORGANIZATION				
7.5 PLANNING AND MANAGEMENT SKILLS					7.17 PHYSICAL RESOURCE INPUTS				
7.6 TECHNICIAN MAN-YEARS AVAILABLE					7.18 MAINTENANCE OF FACILITIES AND EQUIPMENT				
7.7 CONTINUITY OF STAFF					7.19 POLITICAL CONDITIONS SPECIFIC TO PROJECT				
7.8 WILLINGNESS TO WORK IN RURAL AREAS					7.20 RESOLUTION OF BUREAUCRATIC PROBLEMS				
7.9 PAY AND ALLOWANCES					7.21 RECEPTIVITY TO CHANGE				
7.10 COUNTERPART ACCEPTANCE OF AND ASSOCIATION WITH THE PURPOSE OF THIS PROJECT					7.22 ACTUAL DISSEMINATION OF PROJECT BENEFITS				
OTHER FACTORS					7.23 INTENT/CAPACITY TO SUSTAIN AND EXPAND PROJECT IMPACT AFTER U.S. INPUTS ARE TERMINATED				
7.11 COOPERATION WITHIN HOST GOVERNMENT									

F. Alternatives for Replanning: Use the back of the page to note (1) key issues influencing host support for and commitment to the project; (2) alternative approaches to improving host acceptance and sponsorship. You will review the more promising alternatives, for the project as a whole, in Section 6.

**AID
OTHER DONOR INPUTS ANALYSIS**

**PROJECT EVALUATION
WORKSHEET NO. 8**

1. DONOR ORGANIZATION

2. FOR PERIOD ENDING

3. DATE PREPARED

A. Current fiscal year costs. (estimate magnitude) \$ _____

B. IMPORTANT OUTPUTS DEPENDENT SUBSTANTIALLY ON THIS DONOR

C. ACTUAL PERFORMANCE DURING THE PERIOD COMPARED TO EXPECTATIONS: (v)

UNSATISFACTORY		SATISFACTORY			OUTSTANDING'S	
1	2	3	4	5	6	7

D. IMPORTANCE FOR ACHIEVING PROJECT PURPOSE: (v)
(Are these inputs really necessary?)

LOW			MEDIUM		4/5/6/7
1	2	3	4	5	

E. PERFORMANCE FACTOR RATING

FACTORS	ACTUAL IMPACT (✓)			WAS IT IMPORTANT (2) / 3/5
	NEGATIVE	AS EXPECTED	POSITIVE	
8.1 Recognition of Objectives Shared with USAID				
8.2 Agreement on Strategy and Plans				
8.3 Coordination on Implementation				
8.4 Contribution to Project Staffing				
8.5 Contribution to Project Funding				
8.6 Adherence to Schedule				
8.7 Planning and Management				

F. Alternatives for Replanning: Use the back of the page to note: (1) ways in which other donor activities currently affect your project; (2) ways in which other donor activities could provide greater support to your project. You will review the more promising alternatives, for the project as a whole, in Section 6.

AID USAID MOBILIZATION ANALYSIS (This worksheet is for mission use only)

PROJECT EVALUATION WORKSHEET NO. 9

1. PROJECT TITLE	2. FOR PERIOD ENDING	3. DATE PREPARED
------------------	----------------------	------------------

A. MANAGEMENT TIME CLEARLY ALLOCATED TO THIS PROJECT

1. Current fiscal year:	MAN-MONTHS
2. Additional to completion:	MAN-MONTHS

B. OUTPUTS DEPENDENT SUBSTANTIALLY ON USAID SUPERVISION

C. ACTUAL PERFORMANCE OF USAID DURING THE PERIOD (Compare it to commitments made to host country in the ProAg)	UNSATISFACTORY		SATISFACTORY			OUTSTANDING	
	1	2	3	4	5	6	7
D. IMPORTANCE FOR ACHIEVING PROJECT PURPOSE	LOW		MEDIUM			HIGH	
	1	2	3	4	5		

E. PERFORMANCE FACTOR RATING

FACTORS	ACTUAL IMPACT		WAS IT IMPORTANT (✓) YES
	NEGATIVE	AS EXPECTED POSITIVE	
9.1 Responsibilities Clear and Apportioned			
9.2 Objectives and Targets Clearly Defined			
9.3 Realistic Achievable Plans			
9.4 Clarity of Directions to Staff and Implementing Agent			
9.5 Mobilization of Mission Staff as Needed			
9.6 Development of Host Support for Project			
9.7 Coordination with Related Projects			
9.8 Cooperation with A.I.D./W			
9.9 USAID Conformance to Terms of ProAg and Contracts			
9.10 Translation of Experience into Project Improvements			

F. Alternatives for Replanning:

Did USAID do what was needed to supervise the project?
What kind of help is needed?

4.0 OUTPUTS TO PROJECT PURPOSE TO GOAL: THE DEVELOPMENT HYPOTHESES

4.1 Objective of Section 4:

Your objective in this section is to analyze the links from outputs to project purpose (development hypothesis #1) and from project purpose to goal (development hypothesis #2).

4.2 The Link Between Two Levels of Results is a Hypothesis

In Worksheet 1 you specified the results expected from your project at four different levels: inputs, outputs, purpose, and goal. USAID supports and manages inputs to produce the desired outputs but the links to purpose and goal are always uncertain -- they are really a hypothesis about development. In evaluating the project, it is appropriate to collect evidence to test the development hypotheses that underlie the project.

Think about your project as an experiment in economic development. The project has been undertaken because of our conviction that the results will justify the resources provided; however, we want to be explicit about the impact expected of the project and our hypothesis that our inputs will tip the scale to cause that impact.

1. What evidence suggests that the outputs of this project will lead to the project purpose?
2. What evidence suggests that achieving the purpose will lead to the goal?

3. How confident can we be that USAID inputs will ultimately have the desired impact on development?

If we find evidence that makes us doubt that our inputs will produce the desired impact, we should promptly consider modification of the project. Advisory 4 has an example of testing a development hypothesis if you need help thinking through your project. (not yet completed). Worksheet 10 is a convenient place to summarize your thinking.

4.3 Development Hypothesis # 1: "If Outputs, then Purpose"

Step 1. Restate "Purpose" and EOPS. Get to the essentials of why we are undertaking the project -- e.g. end malaria in the lowlands.

Step 2. State your development hypothesis simply but explicitly in the form "if outputs, then purpose", e.g., if preventive spraying, etc., then malaria will end. What important assumptions are needed about factors that could result in outputs NOT leading to purpose? -- e.g. no contamination from neighboring country.

Step 3. Use the evidence available now to test the reasonableness of the hypothesis. Your evidence is objectively verifiable data relevant to the hypothesis. The hypothesis should not be contradicted in any important respect by the evidence available.

1. Is progress toward end-of-project status (Worksheet 2) as advanced as expected with the outputs produced so far? (Worksheet 3)
2. If not, why?
3. Do you have doubts about any key assumptions? (Worksheet 1)
4. If so, can the purpose still be achieved as planned? e.g., if the evidence shows that preventive spraying of mosquitoes does not end residual malaria, the main hypothesis for the project becomes doubtful.

Step 4. Consider modifying the project if the evidence suggests the main hypothesis or a key assumption is dubious. Your ultimate objective as a manager is to achieve the project purpose, so consider alternative project designs that do not depend on the dubious part of your original hypothesis. If there is no alternative project design to achieve the original purpose, should you not abandon the project? If not, why not?

Step 5. What further evidence should be collected to test the hypothesis? If there is more than one plausible explanation for the observed evidence, decide how to verify the true situation? e.g., is residual malaria due to negligence in spraying, insect resistance, or immigration of carriers from

other infected areas. Other examples: Why is the legislation stalled? Why do trained people leave the organization?

Step 6. Plan to develop better evidence to guide your management actions. Evidence helps you decide which hypothesis describes the real world so you can act appropriately. Often you can get enough evidence without fancy research. Rigorous research may be expensive and sometimes takes a long time. On the other hand, do not let USAID waste valuable resources based on an invalid hypothesis that we could test at reasonable cost. If you have doubts now about the hypothesis or key assumptions but you lack evidence, start to develop evidence so next year you (or your successor) will have a better basis for deciding what to do.

4.4 Development Hypothesis # 2: "If Purpose, then Goal"

The method for testing development hypothesis # 2 -- "if purpose, then goal" -- is identical to testing development hypothesis #1. Use Worksheet 11 to summarize what is expected of the project; use objectively verifiable indicators if possible. Interim targets compared to actual progress provides evidence for analysis. Rate the actual progress toward the higher goal at the bottom of Worksheet 11. If there is no goal, say so. Also see the comments in Section 1.2 about projects without well defined goals. Consult

with Sector Management and the Program Office if you want guidance about the goal of your project. Try to identify a main goal that would be sufficient justification for the project and state the essence of it without jargon so it makes sense to you.

Worksheet 12 is a convenient place to summarize your analysis of the link from purpose to goal. The questions from Section 4.3 are easily extendable to this Section.

AID
DEVELOPMENT HYPOTHESIS NO. 1 (If Outputs, then Purpose)

PROJECT EVALUATION
WORKSHEET NO. 10

INSTRUCTIONS: Summarize your thinking on this worksheet making enough notes to discuss these issues in front of an Evaluation Review Committee

A. PROJECT PURPOSE

B. DEVELOPMENT HYPOTHESIS NO. 1 (If Outputs, then Purpose)

C. EVIDENCE AVAILABLE

D. PLAUSIBLE MODIFICATIONS OF PROJECT

E. FURTHER EVIDENCE NEEDED

F. PLANS TO DEVELOP BETTER EVIDENCE

A10.

GOAL INDICATORS, INTERIM TARGETS AND ACTUAL PROGRESS.

1. PROJECT TITLE

2. FOR PERIOD ENDING

3. DATE PREPARED

A. GOAL INDICATORS

B. INTERIM TARGETS

C. ACTUAL PROGRESS DURING PERIOD

D. RATING OF ACTUAL PROGRESS TOWARD HIGHER GOAL COMPARED TO EXPECTED PROGRESS(✓)

UNSATISFACTORY

SATISFACTORY

OUTSTANDING

1

2

3

4

5

6

7

PROGRAM EVALUATION
WORKSHEET NO. 11

AID
DEVELOPMENT HYPOTHESIS NO. 2 (if Purpose, then Goal)

PROJECT EVALUATION
WORKSHEET NO. 12

INSTRUCTIONS: Summarize your thinking on this worksheet making enough notes to discuss these issues in front of an Evaluation Review Committee.

A. PROGRAMMING GOAL

B. DEVELOPMENT HYPOTHESIS NO. 2 (if Purpose, then Goal)

C. EVIDENCE AVAILABLE NOW

D. PLAUSIBLE MODIFICATIONS OF PROJECT

E. FURTHER EVIDENCE NEEDED

F. PLANS TO DEVELOP BETTER EVIDENCE

5.0 ALTERNATIVES FOR REPLANNING

5.1 Objective of Section 5:

Your objective in this section is to focus attention on important issues and on what can be done to improve project performance. Recapitulate cost, performance, and importance to the project for each major component. Then collect the key factors and alternative responses from earlier sections. Select the most promising alternatives for replanning, examine feasibility as appropriate, and prepare your findings for an evaluation review.

5.2 Recapitulation of Cost, Performance, and Importance of Inputs

Use the Worksheets from Section 3.5 to complete Worksheet 13. Skip any rows that do not apply to your project. Add additional rows if your project has several implementing agents, other donors, etc.

5.3 Recapitulation of Key Factors and Alternatives

Summarize key factors and alternative actions from the Worksheets.

Usually, there are only one or two underlying problems even when many symptoms are present. Look for the root causes and how AID might act to improve performance. Discuss the issues and alternatives with other interested people. Force yourself and the others

to focus attention on a few critical issues: you can go back to the minor issues later so do not let them clutter discussion of critical issues.

1. Do other people agree with you about what are the key issues?
2. Do they see additional genuine alternatives for action?
3. What problems seem more urgent to them than to you?

5.4 Feasibility of Replanning Alternatives

Your list of alternatives can be used in an Evaluation Review to stimulate a discussion of Mission policy and what the Mission is prepared to consider seriously. Replanning would be postponed until after a policy decision is made. On the other hand, some alternatives must be investigated and developed before a responsible discussion is possible. Feasibility analysis, before or after the Evaluation Review, involves identifying an objective and the relevant alternatives to achieve it, exploring the cost and effectiveness implications of the most promising alternatives, and comparing the alternatives to make a decision.

Consult with the Evaluation Officer and your own immediate supervisor before embarking on extensive feasibility analysis. Consider the importance and urgency of the problem, the adequacy of the evidence available to the Mission now, and the cost of developing better information -- including competing demands on your time.

5.5 Summary for the Evaluation Review

Your objective is to get the Mission to make actionable decisions based on the best evidence and most insightful analysis possible. Present both sides of the case for the solution that looks most promising to you -- try to avoid being cast in the role of "advocate" or "prosecutor".

Your preparation for the Evaluation Review should include anticipating issues to be decided. Avoid being dogmatic about the final conclusions even when your evidence seems conclusive. Your role should be to present a responsible analysis of the project based on evidence.

1. What is the present status of the project compared to prior plans?
2. What do you expect for the future?
3. What evidence is available to support your predictions?

A crisp narrative statement with your best thinking about the project usually will help the Evaluation Review. Consult the Evaluation Officer about the procedure for your project. Most Missions will want to circulate a narrative summary before the Evaluation Review. Do not pull your punches -- you will have a chance to revise your statement before it goes into a formal document. Worksheet 14 is an outline for a narrative summary. Supplement the narrative with such supporting data as you and the Evaluation Officer think necessary.

AID COST, PERFORMANCE AND IMPORTANCE OF PROJECT COMPONENTS

PROJECT EVALUATION WORKSHEET NO. 13

A. COMPONENTS	B. CURRENT YEAR COST (\$000)	C. PERFORMANCE AGAINST PLAN (✓)							D. IMPORTANCE FOR ACHIEVING PROJECT PURPOSE (✓)				
		UNSATISFACTORY		SATISFACTORY			OUTSTANDING		LOW	MEDIUM		HIGH	
		1	2	3	4	5	6	7	1	2	3	4	5
IMPLEMENTING AGENT													
PARTICIPANT TRAINING													
COMMODITIES													
HOST COUNTRY													
OTHER DONOR													

E. ANALYSIS USING ABOVE RATINGS (Use attached sheets as necessary)

1. Which components did you rate most important? These are worth management attention. (Important/unsatisfactory performance demands corrective action; important/outstanding suggests an opportunity to enlarge on project success.)

2. Compare the costs of the different components to each other and to the importance of the inputs.
 - Could you reallocate resources to produce better results?

3. The actual performance of these components in the past is a clue to what will happen in the future.
 - Are the components with low ratings now going to do better, the same, or worse in the coming year?
 - Can you capitalize on the successful portions of the project to compensate for the weak portions?
 - How can you help improve future performance?

6.0 REPORTING ON EVALUATION

6.1 Objective of Section 6:

Your objective in this section is to report to the Mission Director on the results of and summarize actions suggested by the evaluation. You will do this by filling out a PAR with a cover sheet for the Director. The Director subsequently will forward a PAR to AID/W.

6.2 The Report to the Mission Director

If a written report to the Director seems advisable, the best format will always highlight (1) actions requested of the Director and (2) important issues and conflicts within the Mission. Keep the report brief, candid, and oriented to actions, not words.

The format for the Mission Director's report depends on the project. For a project with no issues worth the Director's time, the report to the Director should consist of a report to AID/W ready for signature, noting that there are no problems or issues requiring the Director's attention.

When important issues are raised, the report to the Mission Director should identify them. A draft PAR may be included if desired. The Mission Director's participation in the Evaluation Review may be appropriate.

Worksheet 15 is a good cover sheet for the Report to the Mission Director. Be candid and objective; the purpose of the report is to prompt action of benefit to USAID objectives.

6.3 The Project Appraisal Report (PAR)

The Project Appraisal Report (PAR) is a report to AID/W on your project evaluation. It should capture the hard-hitting analysis and the evidence that was used in your evaluation.

The PAR has been designed to take advantage of the information that you need for a Mission-useful evaluation process with a minimum of additional work. Most of the data required for the PAR can be transcribed by a secretary from your worksheets.

Thus, the first step is to review worksheets that correspond to parts of the PAR to verify that the worksheets represent the Mission position about the project after the Evaluation Review.

The cover page of the PAR should be oriented to AID/W actions, if any. Thus, it may differ from the cover page of the report to the Mission Director. Sections IV and V of the PAR will require some modification if you have more than one worksheet for the same input category; Advisory 6 has additional instructions on use of the PAR.

6.4 Related Project Documentation

Important changes in your project may require changes in other project documentation. Consult with the Evaluation Officer about

what is required, if anything, as a result of changes in your project or your expectations of what can be accomplished.

Outline for a Narrative Summary

1. Summary of the Project Purpose
2. Progress toward "end-of-project status" -- one statement for each indicator.
3. Does the evidence support our propositions that:
 - Achieving project purpose results in expected progress toward higher goal?
 - Meeting output targets will achieve project purpose?
4. How can the project be performed more effectively or efficiently?
5. Summarize key problems and opportunities, emphasizing implications for the future.

**AID
REPORT TO MISSION DIRECTOR - COVER SHEET**

**PROJECT EVALUATION
WORKSHEET No 15**

1. PROJECT TITLE

2. PROJECT MANAGER

3. EVALUATION FOR PERIOD ENDING

4. DATE PREPARED

A. ACTION
OFFICES

B. ACTION REQUESTED AND PLANNED

C. ACTION
COMPLETION
DATES

A. ACTION OFFICES	B. ACTION REQUESTED AND PLANNED	C. ACTION COMPLETION DATES

JOINT PROJECT IMPLEMENTATION PLAN PART III - PERSONNEL REQUIREMENTS		1 COOPERATING COUNTRY	2 PROJECT TITLE			3 PROJECT NO	4 DATE (Month Day, Year)			<input type="checkbox"/> DRAFT <input type="checkbox"/> ORIGINAL <input type="checkbox"/> REVISION NO.		
5 CATEGORY OF PERSONNEL	6 TIME PHASED REQUIREMENTS										7 TOTAL REQUIREMENTS	
	FY-		FY		FY-		FY-		FY-		MY	FUNDS
	MM	FUNDS	MM	FUNDS	MM	FUNDS	MM	FUNDS	MM	FUNDS		
A UNITED STATES CONTRIBUTION (Funds shown in U.S. \$ Thousands)												
1. AID DIRECT HIRE												
a. U.S.												
b. Local												
c. Third Country												
2. PASA		a. Obligations										
		b. Expenditures										
3. AID CONTRACTOR EMPLOYEES		a. Obligations										
		b. Expenditures										
4. AID INDIVIDUALLY CONTRACTED EMPLOYEES												
5. BORROWER/GRANTEE CONTRACT EMPLOYEES												
6.												
B COOPERATING COUNTRY CONTRIBUTION (Funds shown in equivalent U.S. \$ Thousands)												
1. CENTRAL GOVERNMENT												
2. REGIONAL, STATE PROVINCIAL OR LOCAL GOVT.												
3.												
4.												
C OTHER DONORS OR COOPERATING SPONSORS CONTRIBUTION (Funds shown in equivalent U.S. \$ Thousands)												
1.												
2.												
3.												

JOINT PROJECT IMPLEMENTATION PLAN		1. COOPERATING COUNTRY	2. PROJECT TITLE			3. PROJECT NUMBER			4. DATE (Month, Day, Year)			<input type="checkbox"/> DRAFT <input type="checkbox"/> ORIGINAL <input type="checkbox"/> REVISION NO.			
PART IV - PARTICIPANT REQUIREMENTS															
5. FIELD OF SPECIALIZATION	6. NO.	7. TYPE	8. PLANNED DEPARTURE DATE	9. DURATION OF TRAINING	10. FUND REQUIREMENTS (Shown in U.S. \$ Thousands or equivalent)										
					U.S.						COOPERATING COUNTRY				
					FY-	FY-	FY	FY-	FY-	TOTAL	FY-	FY-	FY-	FY-	FY-
<input checked="" type="checkbox"/> Indicate by combination of letters if participants are 1st - A - AID Directly Financed, B - Contract Financed, or C - Cooperating Country Financed. 2nd - U - U S Training, T - Third Country Training or X - Combined U S /Third Country Training												Rate of exchange. U S \$:			

JOINT PROJECT IMPLEMENTATION PLAN PART V - COMMODITY AND OTHER REQUIREMENTS - TECHNICAL ASSISTANCE			1 COOPERATING COUNTRY		4 DATE (Month Day, Year)					
2 PROJECT TITLE			3 PROJECT NUMBER		<input type="checkbox"/> DRAFT <input type="checkbox"/> ORIGINAL <input type="checkbox"/> REVISION NO.					
5 DESCRIPTION			6 1/ TYPE	7 DATE RE- QUIRED	8 FUND REQUIREMENTS					
					FY-	FY-	FY-	FY-	FY-	TOTAL
A U.S. INPUTS (U.S. \$ Thousands or equivalent)										
B. COOPERATING COUNTRY INPUTS (Funds in equivalent U.S. \$ Thousands)										
C. OTHER DONOR INPUTS (Funds in equivalent U.S. \$ Thousands)										
1/ Indicate as appropriate by letter code whether inputs are: G - Grant Financed or L - Loan Financed For U.S. Commodities only, indicate by letter code whether they are: A - AID Procured; B - Contractor Procured; or C - Cooperating Country Procured									Rate of exchange: U.S. \$1 =	

JOINT PROJECT IMPLEMENTATION PLAN				1 COOPERATING COUNTRY		4 DATE (Month, Day, Year)		
PART Va - COMMODITY AND OTHER REQUIREMENTS - FOOD								
2 PROJECT TITLE			3 PROJECT NUMBER		5 COOPERATING SPONSOR		<input type="checkbox"/> DRAFT <input type="checkbox"/> ORIGINAL <input type="checkbox"/> REVISION NO	
6 DESCRIPTION	7 I/TYPE	8 DATE RE-REQUIRED	9 REQUIREMENTS					TOTAL
			FY-	FY-	FY-	FY-	FY-	
A. U.S. INPUTS (If Funds in U.S. \$ Thousands or equivalent)								
1 Food and Fibers (SHOWN IN METRIC TONS IF NOT OTHERWISE INDICATED)								
Total U.S. Food and Fibers Input by Weight								
Estimated Total CCC Value								
Estimated Ocean Freight								
Total Landed Cost								
2 Other U.S. Inputs								
B. COOPERATING COUNTRY INPUTS (Funds in equivalent U.S. \$ Thousands)								
C. COOPERATING SPONSOR INPUTS (Funds in equivalent U.S. \$ Thousands)								
✓ Indicate as appropriate by letter code whether inputs are: G - Grant Financed or L - Loan Financed						Rate of exchange: U.S. \$1 =		

PROJECT EVALUATION ADVISORY 1:

CLARIFYING THE LOGICAL FRAMEWORK OF YOUR TECHNICAL ASSISTANCE PROJECT

Summary: The first step in evaluation is stating expectations as explicitly as possible with objectively verifiable indicators. A logical framework tailored to the structure of AID technical assistance projects calls for explicitness at four levels: programming goal, project purpose, outputs, and inputs. These terms are defined and examples used to illustrate the logical framework. Related issues are discussed to anticipate common questions.

THE LOGICAL FRAMEWORK

An explicit statement of expectations is critical to evaluation because actual performance must be compared to a meaningful, appropriate standard. The appropriate standard of comparison for assessing past performance is the expectation that motivated the decision by AID to finance the project. For replanning and future commitments to the project the relevant standard is the expectation now. An assessment of actual performance compared to previous plans is germane because it often provides insight into the realism of current expectations and the appropriateness of the current plans.

The most common obstacle to clarity in project documentation is verbosity. It is harder to write a crisp prose description than a lengthy treatise because crisp prose requires stripping down to what is essential and of highest priority. Most worthy projects have multiple effects but can be restated

in terms of a "main thrust" that is the raison d'etre of the project. The rest are useful byproduct effects that should be sacrificed if necessary to protect the main thrust of the project.

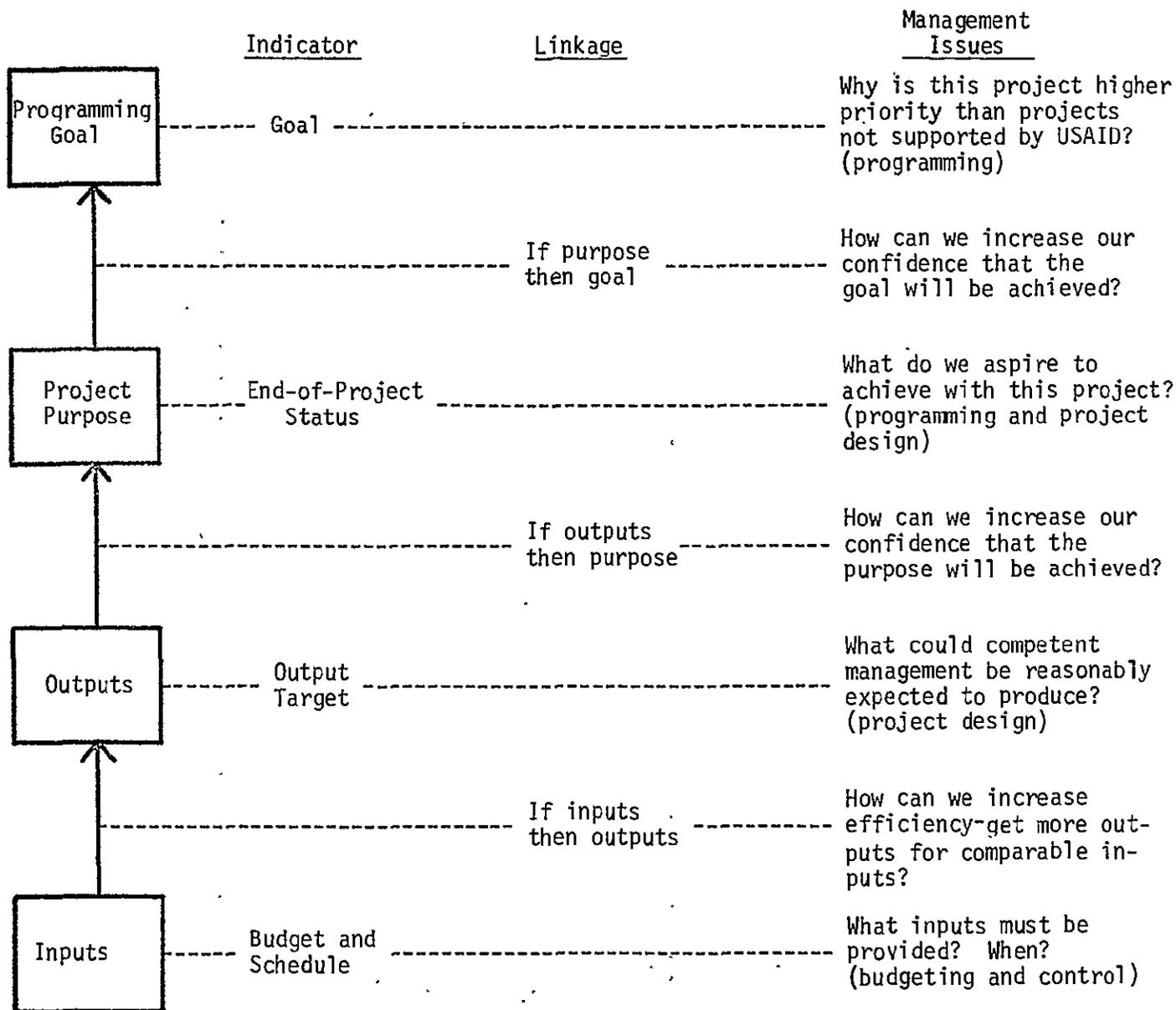
Objectively verifiable indicators of progress are necessary, particularly when evaluation depends heavily on project personnel. Anyone who has a stake in the conclusions of the evaluation is unavoidably subject to the charge of bias. The problem disappears if you show that a well-informed skeptic would come to the same conclusion -- because there is objectively verifiable evidence that the project does or does not meet the pre-established standard of achievement.

A four-tier hierarchy of issues has been developed to help USAID managers show they "know what they are doing" and that they run their projects efficiently. The logical framework for analysis of TA projects puts labels on the four levels of management issues and on the linkages between them.

Corresponding to each level of issue, there should be objectively verifiable indicators and these too have been given labels. Figure 1 indicates the place of each issue in the hierarchy and the linkages among them. The terminology is explained below with examples of how to use Worksheet 1 to analyze a technical assistance project.

Figure 1.

THE LOGICAL FRAMEWORK OF
A TECHNICAL ASSISTANCE PROJECT



THE LOGICAL FRAMEWORK OF A TECHNICAL ASSISTANCE PROJECT

Project Name: _____

NARRATIVE SUMMARYOBJECTIVELY VERIFIABLE INDICATORSIMPORTANT ASSUMPTIONS

Programming Goal:

Goal:

Project Purpose:

End of Project Status:

Outputs:

Output Targets:

Inputs:

Budget & Implementation Schedule:

PROGRAMMING GOAL

Why does USAID support this project in preference to another that is not supported? The country strategy of USAID is the product of the programming process. Sometimes there is an explicit strategy -- as in those Missions that use a macro-economic model of the host country's development as the basis for deciding the level and composition of USAID assistance. When there is an explicit strategy, the relationship of each technical assistance project to the entire program should be fairly clear. The programming process should also produce a fairly explicit description of the goal of the project -- i.e., what this project is expected to contribute to the overall program. For example, self-sufficiency in food grains by 1974 might be the program goal, and the project purpose for a seed project might be to increase the use of HYV seeds to X thousand tons per year in coordination with appropriate complementary inputs.

There is an implicit strategy for assistance in every Mission even when there is no explicitly articulated strategy. The implicit strategy can be inferred by analyzing the actual pattern of projects supported by the Mission. For example, the following criteria are used in various Missions in programming decisions: concentration on selected economic sectors, geographic regions, or a major development project; maintaining a given level of TA assistance; grants vs. loans; acceptance of the host country development strategy to gain USAID acceptance; coordination of efforts with other donors; trying to influence specific government policies rather than accepting host government policies as given.

Examples 1 and 2 of Worksheet 1 illustrate the usefulness of discussing the implicit strategy of the Mission and the role of a project in that country program.* In Example 1 a cooperative development project is supported by a Mission emphasizing faster economic development. In Example 2 the Mission emphasizes social development instead. Note how the difference in Mission strategy suggests distinctly different measures of progress for a cooperative development program. It may affect the project design profoundly and the kind of evaluation research that is built into the project. Identifying the intended "main thrust" of the cooperative project would help the manager and the Mission orient the project appropriately.

*Examples of using outputs and end of project status are to be developed by RPEO's as part of their training to replace the examples now in the Advisory.

THE LOGICAL FRAMEWORK OF A TECHNICAL ASSISTANCE PROJECT
 Project Name: Cooperatives for Economic Development

Example 1

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	IMPORTANT ASSUMPTIONS
<p>Programming Goal:</p> <p>Increase agricultural income by 7% per year to meet development plan targets, especially in export crops to provide urgently needed foreign exchange.</p>	<p>Goal:</p> <p>1-Crop X and Y exports of \$___/yr. in hard currency by 1975</p> <p>2-Introduce modern agricultural techniques A,B,C for these crops to 100,000 small farmers in 4 provinces by 1975.</p>	<p>1-export markets OK</p> <p>2-foreign exchange goes to government</p>
<p>Project Purpose:</p> <p>Increase the cash income in 4 rural provinces by reducing the cost of production 25% for cooperative members and increasing their net sales price by 20% in cash crop X.</p>	<p>End of Project Status:</p> <p>1-Produce, process and export crop X successfully by 1973.</p> <p>2-coop production & export of crop Y launched by host personnel by 1975</p> <p>3-coop members have cash income of \$100/member (vs. \$35 now)</p> <p>4-total cost of crop X is \$___/ton or less by 1975.</p>	<p>1-coop production is not displacing other production</p> <p>2-export quotas for coops</p>
<p>Outputs:</p> <p>1-membership 2-volume 3-savings 4-# of coops 5-gross assets</p>	<p>Output Targets:</p> <p>Targets in PIP, Part 2</p>	<p><u>Coop Legislation</u></p> <p>Allocation of foreign exchange to buy machinery.</p> <p>credit available</p>
<p>Inputs:</p> <p>5 year contract with CLUSA</p>	<p>Budget & Implementation Schedule:</p> <p>\$_____ and workplan in PIP, Part 1</p>	<p>Competent staff, good locals</p>

THE LOGICAL FRAMEWORK OF A TECHNICAL ASSISTANCE PROJECT

Project Name: Cooperatives for Social Development

Example 2

NARRATIVE SUMMARY

OBJECTIVELY VERIFIABLE INDICATORS

IMPORTANT ASSUMPTIONS

Programming Goal:

Prose Summary

Provide successful grassroots experience with democratic institutions.

Goal:

- 1-Cooperatives represented on marketing boards for crops X, Y, Z.
- 2-Major political party includes coop legislation prominently in its political platform
- 3-Coops prevail in dispute that threatens interest of an important vested group

1-Coops favor sound projects

Project Purpose:

Create a viable critical mass of successful coops to serve as spokesmen for politically important campesinos. Social development objectives institutionalized in literacy and voting programs

End of Project Status:

- 1-50% of illiterate new members become literate within two years after joining.
- 2-Voting in local and national elections by coop members at least 50% of total membership.
- 3-Net retained earnings of coops equals at least \$___ per coop members.

1-Coops will defend poor.
2-Normal crop conditions

Outputs:

Coops formed and surviving to serve campesinos directly and indirectly.

Output Targets:

- 1-Membership of 10,000 in 2nd year and increasing 15,000 a year thereafter.
- 2-Federation of X coops in year 2; y coops in year 3; z coops in year 5; national confederation in year 5.

1-Indians responsive
2-Government permissive
3-Credit available
4-Coop legislation

Inputs:

5 year contract with CLUSA

Budget & Implementation Schedule:

\$___ and workplan in PIP, Part 1

Competent staff;
Good counterparts

PROJECT PURPOSE AND END-OF-PROJECT STATUS

What does USAID hope to accomplish with this project? The project purpose of an AID technical assistance project is typically to support an existing organization or to create a new one to serve a specific function that will be inadequately served without AID assistance. There is often ambiguity about the relative importance AID attaches to immediate accomplishments and "institution building." It is instructive to explore the relative importance of our several motives because it will shape project design and the alternatives for replanning if and when the project encounters unexpected obstacles or opportunities.

Our motive for supporting a project should be defined by the programming process (the need) and by project design (what is feasible?). Technical assistance projects in less developed countries (LDCs) are pioneering projects or "experiments" in the sense that the causal relationships between our inputs and the purpose that motivates us are uncertain or at least unproven. We undertake projects because of their high importance to the LDC and because of our conviction, based on the best evidence available, that the results will more than justify the cost. (Of course, this situation is not unique to projects in LDCs, but is equally true for any social program.)

The project purpose (what we are really trying to do) should be distinguished from the outputs that we are fairly confident a competent manager can deliver. Much of the vagueness about feasibility and accountability can be removed if we recognize the gap between what we aspire to achieve and what management

can commit to deliver. This distinction is useful even when the Mission does not hold a manager personally responsible for delivering the expected outputs.

The project purpose of most technical assistance projects can be summarized crisply in a few phrases or sentences. If it takes more than that for your project, examine each phrase to see if it is crucial to the "main thrust" of the project. Every time a phrase is added to the project purpose, it restricts the alternatives to improve the project. Discuss the main thrust of the project with others in the Mission; it should be a constructive discussion leading to a sharpened, refined, better thought-out project. Discuss it with key actors outside the Mission too -- the host government, other donors, and implementing agents.

Examples 3 and 4 of Worksheet 1 illustrate the usefulness of sharpening the project purpose. In Example 3 the "main thrust" of the project is to improve primary education; the creation of a radio/correspondence education unit is a means to that end. The relevant alternatives are other vehicles to reach the same audience. The manager should explore supplementary vehicles for material that cannot be taught by radio. In Example 4 the "main thrust" is reaching a broad range of audiences that can be reached by radio; primary school teachers are the first audience to be served but the institutional capability to serve other audiences is crucial. The key problems and relevant alternatives in Example 4 are institution-building problems: (1) alternative incentives to host country staff to stay on the job; (2) developing versatility, creativity, and initiative in the institution; (3) retaining independence from political embroglios, and (4) verifying that the training by radio

THE LOGICAL FRAMEWORK OF A TECHNICAL ASSISTANCE PROJECT

Example 3

Project Name: Improve Primary Education by Radio-Correspondence for Teachers

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	IMPORTANT ASSUMPTIONS
<p>Programming Goal:</p> <p>Improve Primary Education: Reduce dependence on expatriates without reducing quality or slowing growth of primary education.</p>	<p>Goal:</p> <p>Universal primary education in nine provinces by 1975.</p>	<p>expansion of primary education at planned rate</p>
<p>Project Purpose:</p> <p>Upgrade marginally qualified and unqualified African teachers already teaching in primary schools and recruit new teachers to the expanding school system.</p>	<p>End of Project Status:</p> <p>1-100% of schools have majority African staff by 1975. 2-unqualified teachers reduced (from 70% of 8,000 now) to 30% of 16,000 positions. 3-25% of children of age ___ graduates from primary school in 1975. 75% pass--exam at end of fourth grade. 4-evidence of improvement in teaching behavior: results of radio vs. other kinds of training for primary school teachers.</p>	<p>1-Govt. budget to support expanded primary education 2-trainees will stay in primary school teaching 3-graduates will apply skills</p>
<p>Outputs:</p> <p>1-trained advisors for key posts 2-equipment 3-trainees pass P2 exam 4-research about effect on classroom behavior of teachers: radio vs. alternate training for primary school teachers</p>	<p>Output Targets:</p> <p>1-all key positions staffed with qualified personnel by 1974 2-equipment in place and working 3-trainees enrolled, taking exam; 8,000 passing, gaining promotions 4-research design executed 5-non-radio programs to teach subjects needing practical work launched to supplement R-C training by 1974.</p>	<p>enough teacher trainees.</p>
<p>Inputs:</p> <p>1-advisors from University of X 2-commodities 3-research on alternatives to reach trainees currently teaching in primary schools.</p>	<p>Budget & Implementation Schedule:</p> <p>1-contract for \$ ___ and workplan in PIP, parts 1,3,4 and 5.</p>	

THE LOGICAL FRAMEWORK OF A TECHNICAL ASSISTANCE PROJECT
Project Name: Radio-Correspondence Education for Post-Primary

Example 4
 Education
 Opportunities

NARRATIVE SUMMARY

OBJECTIVELY VERIFIABLE INDICATORS

IMPORTANT ASSUMPTIONS

Programming Goal:

Reduce dependence on expatriates by preparing qualified Africans in jobs requiring secondary level education.

Goal:

Replace expatriates: first in education (from 75% of 8,000 posts now) to 2,000 hard-to-fill jobs out of 16,000 in 1975.

Plans for equally effective transfers in govt., agriculture, transportation and health included in 4th development plan.

Sufficient primary graduates for training.

Project Purpose:

Create a radio/correspondence education unit to provide secondary education opportunities to students throughout the country who cannot attend school full time.

End of Project Status:

- 1-100% of schools have majority African staff in 1975.
- 2-Successfully developed and administered R/C program for primary school teachers with USAID assistance by 1975;
- 3-R/C unit initiates second radio campaign without dependence on TA advisors;
- 4-trained staff with experience averaging 1 year in key posts and internal training capability;
- 5-budget of \$___/year from the government assured.

Outputs:

- 1-trained African personnel for key R/C posts
- 2-equipment for R/C unit
- 3-teachers trained by R/C pass P2 exam
- 4-research on effectiveness of R/C trained teachers vs. untrained

Output Targets:

- 1-Africans trained for 10 key posts by 1974.
- 2-studios, transmitters operational and maintained
- 3-8,000 pass P2 by 1975
- 4-research executed: sample 2,000, random sampling, 2 year longitudinal study in 10 schools.

enough teacher trainees

enough R/C trainees

Inputs:

- 1-advisors from University of X
- 2-16 trainee years in US for PT
- 3-\$___ of commodities
- 4-\$___ for research work

Budget & Implementation Schedule:

- 1-contract for \$___ and workplan in PIP, part 1.
- PIP parts 3, 4 and 5 too.

reaches a large audience and results in behavioral change. The manager should pick a second audience well suited to the radio/correspondence technique and plan ahead to serve that audience next.

End-Of-Project Status (EOPS) is a description of the situation when the project is successfully completed using objectively verifiable indicators. The indicators of EOPS should be different in kind from the outputs of the project. In projects that emphasize institution-building, EOPS will include measures of self-sufficiency, effectiveness, and perhaps initiative of the institution. The number of staff members retained, their experience, and their effectiveness is relevant rather than the number trained (an output). The reputation of the institution with those it serves and its viability (ability to respond constructively to conflicting interests) are more important than its cumulative deliveries of services. Sometimes it is useful to think of an institution as a living organism; the health of the organism is measured in terms of its response to stimuli by growth or adaption. In projects that emphasize immediate accomplishments, EOPS will often be a measure of impact rather than measures of services rendered. Did the birth rate fall? Did exports rise? Did enough private enterprises (or cooperatives) survive to form a critical mass that could survive without AID support. Do children drop-out of school less as a result of our new textbooks?

Research may be necessary to measure EOPS for some projects. It is best to identify these situations as early as possible so that baseline data can be collected. Often a control group can be set up if the need is recognized early. It is much more difficult to measure impact at the end of the project without appropriate baseline data.

OUTPUTS AND OUTPUT TARGETS

What "outputs" (kinds of results) can USAID reasonably expect a competent manager to produce with the planned support?

Output Indicators measure project performance, even when the measures are imperfect. Output indicators are sometimes measures of characteristics influenced by the project rather than caused by it; when that is the best measure of what management needs to know, use them. The challenge is to measure what is important sufficiently well to alert management to important deviations from previous expectations. Use common sense to find the best proxy or substitute measure already available or obtainable with an acceptable cost and effort. Examples of the kinds of measures commonly used as output indicators appear in Table 1 (to be supplied by RPEOs).

An output target provides a magnitude for the results of the project expected at a specific time. Output targets are important even when managers are not actually held accountable for delivering them. Therefore, output targets are the hard core of the plan for a technical assistance project that is relatively well thought through and manageable based on past experience. Usually there is little mystery attached to how to deliver appropriate commodities or trained participants or technical services. These outputs may be delivered more efficiently in a well-managed project but the capacity to deliver them is not usually in doubt.

Monitor undesirable side effects of the project if they are potentially serious even though they are not intended outputs of the project--e.g., percent of coops or businesses that fail, percent of participants who do

not return after training, estimated diversion of FFF commodities into the market, number of serious complications from oral contraceptives.

Other donors and the host country personnel often lead a project with USAID providing advice or support. Look for measures of results from USAID inputs. If there is no objectively verifiable measures of output, take tough-minded look at your project to see if the project is worth doing.

INPUTS, BUDGET, AND SCHEDULE OF IMPLEMENTATION

What inputs must be provided on what schedule to produce the expected outputs? These terms are relatively self-explanatory. Good PIPs and workplans should contain an adequate explanation of what will be done and when. Sometimes problems develop when projects begin in response to a high priority problem without a clear understanding of what accomplishments can be reasonably expected. This approach to project design may be responsive to urgency perceived in the programming process; the price paid for it is higher risk of failure and usually lower efficiency in converting inputs to outputs.

Projects can often be organized in phases. When the territory is not well understood, the first step is either a feasibility study or a first phase that delivers a well-developed plan as one of the outputs.

Often the inputs part of the logical framework can be a mere cross-referencing; it is the other parts of the framework that are typically least well defined and thought out.

PROJECT EVALUATION ADVISORY 2:

CLARIFYING PROJECT PURPOSE AND END-OF-PROJECT STATUS

A prerequisite of effective evaluation is a clear statement of what the project is supposed to achieve. However, evaluation and planning of technical assistance projects is hampered by difficulty in distinguishing between project inputs, outputs, and that which the project is ultimately expected to achieve -- its purpose.

This advisory is meant to help Project Managers clarify project purpose.

THE TECHNICAL ASSISTANCE PROJECT AS A HYPOTHESIS OF APPLIED SOCIAL SCIENCE

The logic from supplying inputs to achieving a higher goal may be viewed as a series of hypotheses:

1. If these inputs are provided, then the following outputs will be obtained (e.g., if we provide a revised curriculum, 12 professors, and an administrative assistant, then the host university will be competently staffed and will graduate 100 students per year);

An important and too often unarticulated hypothesis relates outputs to purpose:

2. If these outputs are provided, then the project purpose will be achieved (e.g., if the university is competently staffed and graduates 100 students per year then it will be a viable university);

And, finally, the project is related to its higher goal:

3. If the project purpose is achieved, then the higher goal is realized (e.g., if we provide a viable agricultural university, then we will raise agricultural productivity at the targeted rate).

There are a number of important implications.

For project-level evaluation, the most important of these is the distinction between outputs and purpose. This distinction is in large part the distinction between management and applied science. The USAID Project Manager agrees to manage the resources made available to him to achieve the outputs. It is a hypothesis, based on Mission judgment, that achieving those outputs will result in the purpose.

End-of-Project Status

If we accept that there is an if-then hypothesis relating outputs to purpose, it follows that we cannot measure outputs to find out whether or not we achieved the purpose. Measuring outputs would be simply reasserting our hypothesis -- measuring "if" to demonstrate "then". It follows, then, that the means of objectively verifying achievement of project purpose should be independent of the means of measuring outputs. If we are improving university administration, then our test of viability should test the overall response of the university -- for example, that it in fact provides graduates who are useful to and being used by the intended employer.

Which brings us to "end-of-project status". Recognizing that a project has a purpose that is distinct from the outputs, we should then decide how we will objectively verify that the purpose has been achieved -- specifying method and anticipated results.

(To say that fulfillment of the output requirements is proof that project purpose has been realized is somewhat like saying that by putting the proper chemicals in the proper proportions in a beaker, one has created life. The test of life is not the chemicals, it is the ability to respond to stimuli by adaptation and growth.)

Thus, end-of-project status is an objectively verifiable description of those conditions, indicators or proxies that will signal achievement of project purpose (the "then" of our second hypothesis). End-of-project status is normally different from outputs and may not be proven by reporting on achievement of output targets. To do so would be to attempt to prove the first developmental hypothesis by simply reasserting it: "these outputs have been produced, thus, this purpose has been achieved." (However, outputs produced are a test of the project design hypothesis: "If these inputs are provided, then these outputs will result.")

The clarification of project purpose and end-of-project status has other implications. First, it clearly specifies the boundary between project management and sector programming. The Project Manager is responsible for achieving the project outputs, and shares responsibility for the hypothesis

that those outputs will achieve the purpose. Second, it provides a natural division of responsibilities in the project evaluation. That is, the Project Manager provides the critical information to test the hypothesis that "if the outputs are provided, the purpose will be achieved." Others must become involved, most probably sector management and the program office, to assess the validity of the hypothesis that "if the purpose is achieved, then a significant development goal will be realized."

ADVISORIES 3 and 4 NOT SUBMITTED WITH THIS REPORT

PROJECT EVALUATION ADVISORY 5:

GUIDELINES FOR THE EVALUATION REVIEW PROCESS

The key to a successful evaluation is the Evaluation Review process at which various viewpoints, types of experience, and skills within the Mission are brought to bear on the project. The major input to the Review process is the Project Manager's report on project performance, resulting from his data-gathering and analytical efforts and his dialogues with others involved in the project.

It is recommended but not mandatory to create a formal Evaluation Committee that holds meetings and is charged with producing specific outputs as indicated in Table 1.

During the Evaluation Review, the Program Evaluation Officer should serve as moderator, reporter, and commentator, but not as evaluator. He is managing a process to bring benefit to others and will generally find that a relatively passive style of intervention will provide the best results.

A pitfall to avoid: In the Review process, particularly in formal evaluation meetings, the participants tend to shy away from truly difficult issues by turning from substance to the report. Rather than "what shall we do about this problem?" there is a tendency toward "what shall we say in the PAR?" Everyone should remember that the Review team

is charged with defining the options open for the project, not what to tell AID/W. (In an education project, when it became clear that returned participants were not working at the school as planned, the issues of remedial and alternative actions were never addressed; rather, a one-hour discussion revolved around "what to report to AID/W." No changes were made in the project, or in any documentation other than the PAR.) The Mission Evaluation Officer must preempt the tendency to confuse documentation with substance.

The following advisory notes indicate useful "viewpoints" and "roles" for key members of the Mission review team. The Evaluation Officer may well want to distribute these to individual members, together with project-specific and/or Mission-specific advice developed during the Evaluation Planning Process. In particular, it is good meeting management to give every participant a "personal agenda" for the meeting. (For example, the Project Manager has a clear agenda to clarify expectations for the project for the next year. Similarly, the manager of a related project might want to recommend relatively modest changes from the current plan that would contribute to both primary and secondary goals.)

As aids for managing the Evaluation Review, the following materials are provided:

1. Table 1: Input/Output Responsibilities for the Evaluation Review

2. Questions to be Answered by the Evaluation Review
3. Briefing Materials for use in Clarifying the Roles and Responsibilities of each Participant in the Evaluation Process.

TABLE 1: INPUT/OUTPUT RESPONSIBILITIES
FOR THE EVALUATION REVIEW

PARTICIPANT	INPUT RESPONSIBILITY	OUTPUT RESPONSIBILITY
Mission Director	<ul style="list-style-type: none"> • Demand for outputs of the project evaluation process • Involvement appropriate to the issues raised • Questions of interest to him 	<ul style="list-style-type: none"> • Explicit approval for next year <ul style="list-style-type: none"> -- project purpose and outputs -- resources -- policy implications of plan • Clarify Project Management responsibility
Evaluation Officer	<ul style="list-style-type: none"> • Clarification of <ul style="list-style-type: none"> -- evaluation process -- the relation to replanning • Definition and maintenance of an orderly, vigorous Mission-useful evaluation process • Coordination of personnel • Assistance in collection of evidence 	<ul style="list-style-type: none"> • Improved orientation to outputs and plans rather than inputs and job descriptions • All outputs of process including: <ul style="list-style-type: none"> -- the Project Manager's Report to the Evaluation Review -- the Report to the Mission Director -- the PAR report to AID/W
Project Manager	<ul style="list-style-type: none"> • Facts about project design and evidence about performance during period under review • Present status of "end-of-project" status indicators • Plausible alternatives to the current plan 	<ul style="list-style-type: none"> • Realistic expectations for next year • Agreement to specific means and level of achievement <li style="text-align: center;">or • Changes/alternatives to be considered in replanning

(continued)

(Table 1, continued)

PARTICIPANT	INPUT RESPONSIBILITY	OUTPUT RESPONSIBILITY
Program Office	<ul style="list-style-type: none"> • Clear interpretation of Mission policy and strategy as relevant to this project • The contribution the Mission currently expects the project to make to a higher goal 	<ul style="list-style-type: none"> • A clear statement of Mission expectations for project contribution to a higher goal • Agreed-on method for objectively verifying contribution • Identification of issues to be addressed in next programming cycle
Sector Management (Division Chiefs, et al.)	<ul style="list-style-type: none"> • Clear statement of sector goals • Contribution to sector goal expected of the project • Relationship to other projects in sector • Assumptions underlying sector strategy 	<ul style="list-style-type: none"> • Explicit agreement with Project Manager about <ul style="list-style-type: none"> -- the specific, verifiable contribution his project will make to sector strategy -- factors that may modify project importance and performance • Clarification of the causal link hypothesized between the project purpose and impact on Host Country development

QUESTIONS TO BE ANSWERED BY THE EVALUATION REVIEW

The Evaluation Officer must manage the Evaluation Review so that each participant comes away from the review process knowing --

- (1) What the project achieved;
- (2) How actual achievement compared to previous plans;
- (3) Whether the project has had the expected impact on a programming goal?

In addition to these basic evaluative questions, the Review must answer two forward-looking questions:

- (4) What alternatives to the current plan merit consideration?
- (5) What changes would improve the project?

The Evaluation Officer should stimulate consideration of radical changes - not merely marginal variations on the old theme. What would be the result if we terminated this project? - What if we doubled our support? Could the whole participant program be dropped? Would it assure achieving the project purpose if we provided commodities even though none are provided now?

In addition to "what if" questions, the Evaluation Officer should ensure that the Evaluation Review considers

- questions identified as important during the Evaluation Planning
- additional specific issues raised in the course of the Project

Manager's analysis

-- important issues raised by AID/W or others.

ROLES AND RESPONSIBILITIES FOR EVALUATION REVIEWS

The following pages summarize the roles and responsibilities of participants in evaluation reviews. They should be distributed to the participants before holding any evaluation meetings.

THE PROGRAM EVALUATION OFFICER IS ROLE IN AN EVALUATION REVIEW

Responsibilities

1. Create a Mission-useful evaluation process.
2. Ensure that project purpose is clearly stated and understood.
3. Ensure that objectively verifiable indicators of progress are used.
4. Ensure the process by which the project is expected to have economic development impact is clear.
5. Ensure that each participant in the Evaluation Review understands why the project is being attempted and his relationship to the project.

Viewpoint

Your viewpoint is that of orchestrator of the evaluation process. You are not an evaluator. You must ensure that all participants in the process obtain value from it, with particular value obtained by the Project Manager. Specifically, the Project Manager must come out of the

evaluation process with a better plan for next year, a clearer commitment to his responsibility for achieving the targets of that plan, and a clearer view of the impact that achieving that plan should have on development objectives.

As a reporter, you must enhance the verbal communication -- from technician through Mission Director.

An important aspect of your viewpoint is to keep the PAR as a report to AID/W separate from the evaluation process.

THE MISSION DIRECTOR'S ROLE IN AN EVALUATION REVIEW

The Mission Director, to ensure value for the Mission from the evaluation process, must insist that it come to a logical culmination. The logical culmination of project evaluation is a realistic assessment of expectations using the current plan and judgment of alternatives that might increase the impact on higher goals.

The Mission Director is ultimately responsible for making the evaluation process a questing and vigorous one. He must insist that project evaluation: (1) be a hard-hitting process that results in a better plan, a better project, and a better program; and (2) results in a report that demonstrates the quality of that process and of the management of the project.

The role of the Mission Director or his deputy in the Evaluation Review is to ask project and sector management questions that are relevant to the Director's concerns. Such questions should not be scaled to unimportant project issues; rather, the manager should be asked to broaden his perspective to the important issues that confront the Mission.

In reviewing the PAR as a report to AID/W, the Mission Director must satisfy himself of three things: (1) that the report provides evidence of the hard-hitting high-quality analytical process that he demands; (2) the important issues are dealt with satisfactorily; and (3) action will be taken to resolve issues immediately or as a part of the regular reprogramming process.

THE PROJECT MANAGER'S ROLE IN AN EVALUATION REVIEW

The Evaluation Review should be used by the Project Manager to:

(1) present evaluative findings to other interested parties, (2) obtain from those parties their judgment of the implications for the future of the project, and (3) clarify realistic expectations for the project in the next year.

The primary role of the Project Manager should be as a presenter of evidence. What evidence do we have of actual progress? How does it compare to our plan?

The second role of the Project Manager is to identify alternatives to his current plan. These alternatives are presented to the Review team so they can help the Project Manager assess the alternatives. If there were in fact no alternatives to a project approach, then he would have uncovered an aspect of the project demanding particular management attention -- the success of the project, and perhaps the goal to which it contributes, depends upon an unavoidable set of activities. Just be sure a lack of alternatives implies more than lack of imagination and resourcefulness.

A third role of the Project Manager in the Evaluation Review process is as a negotiator. He establishes a plan for the next 12 months that realistically projects that which he expects to accomplish with the resources available to him. He sets those planned accomplishments (outputs) as high as he responsibly can. If the realistic targets

are unsatisfactory to the Mission an important issue has been surfaced. Possible responses include more resources, reallocation of resources, acceptance of a more modest purpose, or terminating support altogether.

Once the general purpose of a project is established, the process of negotiation begins. This negotiation establishes exactly what the project is expected to accomplish in terms of a specific, verifiable "end-of-project" status. The Project Manager and the Mission jointly accept responsibility for a hypothesis that certain outputs will result in this "end-of-project" status.

The "Project Evaluation Workbook" provides additional guidance for the Project Manager.

PROGRAM OFFICE ROLE IN AN EVALUATION REVIEW

The Program Office should (1) raise issues of significance to Mission policy and programming and (2) establish connections between programming goals and this project purpose. The Program Officer should help ensure the following results from the Review:

1. Clear understanding about what the project is expected to contribute to the overall Mission program and how to measure that contribution (the goal).
2. Impact of the project on related projects and on broad policy requirements such as Title IX are considered.
3. Changes in major assumptions are noted in the evaluation and their implications for the project fully considered. (When conditions indicate success is assured or that success is impossible with the resources available, project modification should be considered.)

The Program Officer should both ask questions and provide suggestions to help sector and project management. It also should be part of his agenda to understand the project better as an input to programming.

ROLE OF SECTOR MANAGEMENT/DIVISION CHIEF

The Sector Manager should be a supportive and tutorial supervisor of the Project Manager. Sector management must make sure that the Project Manager understands why the project is being undertaken so that the Project Manager is capable of intelligently replanning his project (or recognizing when the project is of decreased or increased relevance to the programming goal).

The only alternative to clarifying the intended impact of the project on a higher level goal is for sector management to explicitly accept full responsibility for the significance and relevance of the project; that is, sector management could sharply delimit the results of the project to outputs that can be easily verified -- such as a bridge, a road, or a trained graduate. In this case, however, sector management limits the perspective of the Project Manager and project performance is likely to suffer.

The Sector Manager should consider himself a company commander in the field, with the projects within his sector like platoons at his disposal. If he orders one of his platoons to "take Hill 414," and provides no further information about his over-all battle plan, then he is responsible for maintaining very close communication with Platoon A: (1) to find out how well the achievement of the objective is progressing and (2) to modify that objective rapidly if the battle plan is modified. In this autocratic role, the company commander must spend a great deal of time in communication with his platoon leaders. If Platoon A takes

Hill 414 and is immediately or subsequently surrounded by enemy forces because the rest of the company has retreated, only the company commander can be held to blame.

On the other hand, if the leader of Platoon A is informed of a battle plan that involves Platoon B taking Hill 413, and Platoon C taking Hill 415, with the objective being to envelop an enemy salient, the probability of his pursuing Hill 414 after it is an irrelevant objective is much reduced. When he sees adjacent Hill 415 being taken by the enemy, he will probably wait for verification before continuing his own attack. When he finds himself flanked on the one hand and Hill 415 in enemy control on the other, he will most probably take independent action. He knows enough to form an independent judgment.

AID Project Managers are too frequently in the position of platoon leaders having limited knowledge of the battle plan, much less of the strategic implications of the battle. Their orders too often are "fight well and bravely." In this environment, it would be surprising if their resources were used to full efficiency. The company commanders -- the Sector Managers -- must bear the responsibility and, when things go wrong, the blame.

TECHNICIAN ROLE IN AN EVALUATION REVIEW

The Technician is an important source of information to be used in the evaluation process. He will also be asked to comment upon and help develop alternatives to current modes of project operations. He should strive for the viewpoint of a candid and disinterested commentator. One of the outputs of evaluation that he should insist on is a clarification of what is expected of him during the coming year. The Technician should seek objectively verifiable measures of the results of his efforts. His targets take into consideration both the difficulty of the job at hand and his capability as a Technician.

The Technician should come out of the evaluation process with a clear understanding of the overall purpose of the project. To understand what one is doing, one must understand the reason for doing it.

THE OUTSIDE CONSULTANT IN THE EVALUATION REVIEW

The outside consultant, if he is to provide real value to Mission management, must remember that his role is to provide evidence and/or expert judgment to help a specific person to make a specific decision.

That is, he must insist that the Mission Director (or whoever has called him into the evaluation) says considerably more than "Please evaluate project X." The consultant must be advised of: (1) exactly what decision needs to be made (e.g., shall we replace the university team with another contractor -- or perhaps a program loan); and (2) who is going to make the decision (e.g., the Mission Director or sector management).

The outside consultant brings to the Evaluation Review evidence and expert judgment from outside the Mission. He brings a different perspective to the analysis that is both an asset and a potential liability. The asset is the ability to see hidden assumptions and new alternatives that have escaped the Mission before; the same evidence about actual progress has a different significance perhaps. The potential liability is the outsider's superficial understanding of the local situation. An Evaluation Review is a good forum for the outsider to share his fresh viewpoint, his evidence, and any new interpretations of the alternatives available. There is a panel convened to take into account the factors the outsider is unaware of and to immediately separate what is useful from what is not.

THE HOST COUNTRY SPOKESMAN IN A USAID EVALUATION

The role of a host country spokesman in a USAID evaluation is to provide candid feedback to USAID to help USAID improve its projects. The objective of the feedback should be constructive criticism to resolve the critical problems that determine success of the project. Focus attention on key issues rather than personalities. Try to avoid adopting a role as "advocate" or as "prosecutor". It will be easier for a host spokesman and for USAID personnel if the evaluation is used to review the evidence available, and they collaborate on interpreting it.

Does the purpose of this project make sense to the host? Are USAID expectations about progress toward end-of-project status realistic? What alternatives to the current plan might improve performance? What actions are required and by whom?

What can the host spokesman say that will help USAID respond to the needs of the host country?

PROJECT EVALUATION ADVISORY 6:

REPORTING ON THE EVALUATION

AND INSTRUCTIONS FOR THE PAR

The project evaluation process should produce, as a by-product, a report to AID/W - the PAR. An important part of the Evaluation Officer's responsibility is to decouple the evaluation process from that report to AID/W, so that the results of the evaluation are better projects rather than literary adventures.

If the project evaluation gets to the real issues, much more information will be unearthed than can (or should) be reported to Washington. The reporting mechanism is to distill this abundance of information into a form suitable for the Mission Director and the AID/W.

Looking practically at the evaluation process, it can be seen that there could be as many as three evaluation reports: (1) a Project Manager's report to the Evaluation Review; (2) the Mission report to its Director; and (3) the PAR report to AID/W. An obvious option is to have all three of these reports in the PAR format, with the Project Manager preparing a draft PAR that is reviewed by the Evaluation Review team and then signed off by the Mission Director. The risk in this approach is preoccupation with the report displacing discussion of the project.

A recommended approach to evaluation reporting is to keep the Project Manager's report to the Mission relatively informal. The Evaluation Officer, the agenda, a brief narrative, and the interest of the

participants can produce the decisions required. The Evaluation Review then can provide guidance to the Project Manager so that he (perhaps helped by the Evaluation Officer) can prepare the report to the Mission Director.

Different communication mechanisms may be appropriate for different projects, ranging from copies of all the filled-out worksheets to completely oral presentations.

THE REPORT TO THE MISSION DIRECTOR

The report to the Mission Director would typically be a draft PAR with a cover page focusing on action requested of the Director. Refer to the instructions in Section 6.2 of the Project Evaluation Workbook.

The format and content of both Mission level reports are subjects of Mission discretion. It is quite possible that no written reports would be required.

INSTRUCTIONS FOR PREPARING THE PAR

Your worksheets in the Project Evaluation Workbook contain almost all of the information needed to report on the evaluation in the PAR. These instructions supplement the instructions of the Project Evaluation Workbook which explains how to use the worksheets.

Classified information that is important to your evaluation should be considered for decision-making. Nevertheless, it is desirable to have the PAR treated as an unclassified document. It is suggested that classified information be forwarded separately in a classified annex with appropriate cross-references in the PAR.

PAR Cover Page Identification Data

1. U.S. Obligations:

- a. Current FY Obligations (or Estimated): If funds have been obligated for the current fiscal year, use that amount. If not, use the estimated obligations.
- b. Cumulative Obligations through the current fiscal year include actual U.S. obligations before the current fiscal year plus the sum in 1.a above.
- c. Additional Cost to Completion is the planned (estimated) cost to the completion of the project. If the project is organized in phases, use the cost estimated to achieve the project purpose stated in Section 6 of the PAR.

2. Country: Indicate your Mission. If the project is regional indicate the region.
3. Project Number: Use the standard four-segment project identification number for this project. Consult M.O. 1095.2 if necessary. If there are several PARs describing distinct units of management (different project purposes) that are funded under a single project identification number, add .01, .02, .03, etc. after the eleven digit identification number for each subproject (e.g. xxx-xx-xxx-xxx.01); use .00 if there is only one PAR for this ID number. If other documents such as the ACS, U203 or earlier PARs have different numbers, note the other numbers on the current PAR for cross-referencing.
4. PAR for the Period Ending: Use the date of your Evaluation Review session. The PAR analysis of the project should be up-to-date although, of course, your evidence cannot be completely up-to-date.
5. Project Title: Use the official title of the project using standard abbreviations if necessary.
6. Implementing Agencies: Identify by name the most important implementing agencies in this project: the contractor, PASA, or Voluntary Agency.
7. Project Manager: Type the name of the Project Manager allowing space for him to initial the PAR. His initials certify this is a realistic appraisal of the project's present status and his

expectations for the future, assuming continued funding as planned.

8. Mission Director: Type the Mission Director's name allowing space for him to initial the PAR. The Mission Director's initialing of the PAR certifies that (1) a hard-hitting evaluation has taken place for this project with results reported in the PAR and (2) he endorses the actions requested of AID/W.
9. Project Completion Date: The date when end-of-project status will be achieved according to the current plan.

Section I - Overall Project Rating: Review Worksheets number 2 and 11. Rate the project based on the analysis in your worksheets and on the opinions expressed in the Evaluation Review.

Section II - Actions Proposed and Requested: The PAR report on evaluation should lead to actions to improve the project. Focus attention on who must take action to improve the project. Begin with important actions planned at the Mission and the highlight actions required from AID/Washington to support or authorize Mission plans.

2B, 2C and 2D are self-explanatory.

High Priority on AID/W Action: In the upper right hand corner of the cover page the Mission can indicate that special attention is requested of AID/W.

Section III - Output Targets and Current Estimates: Worksheet 3 contains all the information for this section unless the Evaluation Review led to (1) changes in expectations about future success with the current plan, (2) changes in the current plan, or (3) changes in what output indicators to monitor. Section III of the PAR is a list of the most important output indicators from the PIP, Part 2. If, for example, three output indicators adequately describe the progress of the project at this level, it is not necessary to report the others. Each output indicator describes the kind of result the project will produce. The output target describes the magnitude of the result expected at a specific time. Advisory 1 provides some guidance on measuring outputs. If the PAR table differs from Worksheet 3, consult the instructions in Section 3.4 of the workbook.

Table IV - Cost, Performance, and Importance of Input Categories: This table is derived from Worksheet 13. If a project has several worksheets for the same input category, prepare a combined rating for this table unless the components differ conspicuously from one another. If a combined rating would be misleading, include the most important component in Table 4 and separately describe important differences that merit reporting. Refer to Section 3.5 of the Project Evaluation Workbook for criteria to rate performance and importance.

Section V - Key Performance Factors: The checklists of Table 5 correspond to Worksheets 4 through 8. The instructions for rating actual impact and importance appear in Section 3.5 of the Project Evaluation Workbook. First, assess the actual impact of all the factors for a component; then review the same factors noting their actual importance

for progress toward the project purpose. Respond NA (Not Applicable) to any factor that was not relevant to project performance during the period of analysis. When an entire category is not relevant, there is a place to so indicate at the head of the list.

When a factor appears ambiguous, consider all plausible interpretations for this project and respond based on the one most important for management attention. When there are several important components in the same category (e.g. several other donors), use a combined rating unless they differ conspicuously. If a combined rating would be misleading, include the component that is most important in Table 5 and separately describe important differences that merit reporting.

Section VI - Summary of Project Purpose: Project purpose is stated in Worksheet 1. If the project purpose was changed as a result of the analysis in Section II or the Evaluation Review process, report the revised up-to-date project purpose in the PAR. Include the date of the most recent PROP. Indicate "yes" if the purpose in the PAR is the same as in the PROP, or if it differs only in crispness; mark "no" if there is a difference in emphasis important enough to possibly influence the project design. If there is an important difference, consult with the Evaluation Officer about revising the PROP.

Section VII - Narrative Summary: Typically, a narrative summary will require one to three pages. Worksheet 14 is a starting point; also take into account the results of the Evaluation Review in writing the report. Progress towards end-of-project status is based on the analysis in Worksheet 2, Worksheet 12 summarizes evidence about the proposition that

achieving project purpose results in expected progress toward higher goals. Worksheet 10 summarizes evidence about output targets leading to achieving project purpose. The remaining questions provide an opportunity to discuss possible changes from the current plan and how to improve the project. The reasons for the actions recommended on the cover page should be clear after reading the rest of the PAR.

THE REVISED PAR MANUAL ORDER

REVISED MANUAL ORDER ON PROJECT EVALUATION AND
THE PROJECT APPRAISAL REPORT (PAR)

What is Project Evaluation?

Project Evaluation is systematic analysis of experience to provide a foundation for informed replanning. Every non-capital project must be evaluated annually. To ensure that an evaluation takes place, a Project Appraisal Report (PAR) is required annually.

Project evaluation is an analytical process that establishes the framework and need for replanning and provides project specific inputs to programming. Project evaluation begins by comparing the actual results of a project to those that were expected. Objectively verifiable evidence is reviewed by Mission staff to form a collective judgment about the status of the project and to extrapolate realistic expectations for the future. Current plans and approaches are compared to promising alternatives and decisions made about the need to modify the current plan.

Project evaluation is a flexible tool that should be customized to fit the varied needs of USAID Missions and projects. Only the fixed format of the PAR report remains standardized.

Training materials and on-site training are available to support Mission evaluation. These materials are based on past evaluations that were valuable to the Missions. Initially, the training materials include

Guidance to the Mission Evaluation Officer, the Project Evaluation Workbook, and a series of Advisory Materials. Additional advisory material will be provided as the Agency learns more about what is helpful to the Missions. Such material will be issued by the Director of Program Evaluation and made available through the Mission Evaluation Officer.

What is the PAR?

The Project Appraisal Report (PAR) is a report summarizing the Mission's evaluation of a project. The PAR highlights progress during the past year and summarizes replanning implications for the coming year, based on project performance and changes in circumstances or U.S. strategy.

The PAR is first and foremost a report from the Mission to its Director, identifying anticipated changes in the project and actions requested of the Director.

The PAR is secondarily a report from the Mission to AID/W, summarizing the Mission's replanning activity and actions required of AID/W.

The PAR, as an evaluative document, is an input to the Mission reprogramming process and need not state solutions to all problems raised. However, the results of the Mission reprogramming should resolve substantive issues reported in the PARs.

The Project Appraisal Report (PAR) reports on the evaluation using evidence that should be developed in a Mission-useful evaluation. The PAR is a by-product of evaluation that creates a "credible record" of good management

by project and Mission management. The PAR shows:

- the project is properly planned and actual progress is objectively verifiable;
- satisfactory evidence is available for decision-making;
- the Mission's replanning actions will consider all plausible alternatives.

In short, the PAR should show that project management is realistically considering its opportunities and its problems. If it does not, then AID/W should respond to improve the quality of management, not of the project.

What Basic Concepts are Important for Project Evaluation?

The following concepts are basic to project evaluation.

a. Levels of Results Expected from the Project

A four level hierarchy of "results expected" is useful for analysis of non-capital assistance projects:

- Inputs are whatever AID provides
- Outputs are the expressly intended and objectively verifiable results expected from the project
- Purpose is what motivates AID to provide the inputs and what the outputs are expected to create, accomplish, or change

-- Goal describes the programming level above the project purpose.

These terms are defined more fully in the glossary at the end of this Manual Order.

Good plans must indicate what results are expected of the project at all four levels. Evaluation begins with data collection to document actual results at all four levels. This provides evidence for the Evaluation Review.

b. Objectively Verifiable Indicators of Progress

The results expected of the project must be stated in objectively verifiable terms. That is, there should be no question about the facts even if their significance is subject to interpretation. The key to evaluation is End-of-Project Status, the set of objectively verifiable targets that signal achievement of the project purpose.

Objectively verifiable targets should be established in the Project Paper (PROP) and reviewed during evaluation. If not in the PROP they must be reconstructed. (Refer to Manual Order 1025.1 and your Evaluation Officer.)

c. Linked Hypotheses

Project design can be viewed as propositions about the relationship between levels of the results expected:

- The USAID can manage its inputs to produce a desired set of outputs

- Producing that set of outputs is expected to result in achieving the project purpose

These statements can be viewed as linked propositions:

"if inputs, then outputs" ...

"if outputs, then purpose" ...

Programming considerations can be viewed as another link,

"if purpose, then higher goal."

The propositions that link one level of expected results to the next are probabilities, not certainties -- "developmental hypotheses."

The project is undertaken because of our confidence, based on the available evidence, that the hypotheses are valid and the project purpose will be achieved. The hypotheses can and should be tested as part of evaluation. The basic requirements are:

- the hypotheses must be made explicit and testable
- objectively verifiable evidence of progress must be collected about both "outputs" and "purpose."

When producing outputs do NOT lead to the results expected (progress toward purpose), our confidence in the project decreases. If the evidence suggests that the hypothesis was wrong, modification of the project must be considered. The PAR is the only appropriate place to report a change in our confidence that a project will achieve its purpose.

d. Mission Roles as Managers and Applied Scientists

USAID Missions must fulfill two distinct roles: managers and social scientists. The Mission manages inputs to produce outputs. There should be high confidence in the statement "if inputs, then outputs" so project personnel are managers responsible for meeting output targets.

Project personnel are also scientists, responsible for testing the developmental hypotheses "if outputs, then purpose" and "if purpose, then goal." Testing these hypotheses will either increase or decrease confidence in the project; project plans should be reconfirmed or modified accordingly.

Both roles -- manager and scientist -- are important. Exclusive attention to "managing inputs to produce outputs" risks doing things well to find that it contributes little or nothing to development. Exclusive attention to the role of scientist risks the ability to get the job done.

In project evaluation the Mission first functions in the role of social scientist -- analyzing the evidence about actual progress and the links between levels of expected results. That analysis is the basis for managerial decisions -- choosing between the current plan and promising alternatives.

Who is Responsible for Project Evaluation?

The Mission Evaluation Officer must ensure that useful evaluations take

place. His roles should be manager, educator, and recorder, not evaluator. He helps collect evidence for and manages the process through which a collective Mission judgment is formed.

The Project Manager is normally responsible for collecting evidence about progress of the project and for defining alternative project designs in advance of the Evaluation Review. He is also responsible for preparing a report on the evaluation, to be sent to the Mission Director. (The PAR is a useful format for the report to the Director.)

The Mission Evaluation Officer should involve in the Evaluation Review those members of the Mission who might have information or insight that would support the evaluation and replanning process. In addition, there are some basic responsibilities for the Evaluation Review: The Program Office must ensure that the evaluators consider such broad policy directives as Title IX. Sector management must consider related projects and how each project relates to sector goals. The Mission Director must define the issues he wants considered during the evaluation. He also is responsible for submitting to AID/W an evaluation report (the PAR).

Frequency and Coverage of Project Evaluation and the PAR

All non-capital projects should be evaluated annually. The requirement to evaluate includes all non-capital projects: terminating projects, Title II food projects, public safety projects, projects without a project manager, regional projects, non-capital projects related to capital projects, and even advisors working alone. The PAR should be submitted annually unless

prior approval is given by the Director of Program Evaluation in AID/W. The criterion for such approval is that other evidence of evaluation is available and the PAR would be inappropriate and/or redundant. A separate PAR should be completed for each separate unit of management.

The Mission has discretion about when within a fiscal year the evaluation will be scheduled. A schedule of evaluations will be submitted annually and conformed to unless specific dispensations are made by the Regional Evaluation Officer. The criterion for granting dispensation is that a Mission-useful process cannot take place when originally scheduled and that a specific date has been set when it can take place. Evaluations should normally be scheduled at times that fit the programming cycle or the natural cycle of the projects (e.g., the end of the academic year, the crop year, or the host government fiscal year). Other factors to consider are availability of key personnel and allowing time for introducing modifications.

Evaluation should consider the status of the project at the time of the evaluation. Accelerate the normal evaluation schedule if it is obvious that the current plan should be modified. Evaluation will provide useful inputs to the necessary replanning.

How Should the PAR be Prepared?

The specific instructions for completing the PAR are in documents issued by the Director of Program Evaluation: the Project Evaluation Workbook and in "Reporting on the Evaluation and Instructions for Preparing the PAR" (Advirosoy 6). The PAR form is attached to this Manual Order.

The basic structure of the PAR will not change. However, as the Agency learns what is helpful for Mission evaluations there may be changes in checklists, additional advisory material, etc. Changes in the PAR or in this Manual Order may be made by the Director of Program Evaluation. The criteria for changes are that change will: (1) enhance utility to the Missions or (2) enhance analytical capability of PAR data without compromising utility to the Missions.

GLOSSARY

Inputs are whatever the USAID provides -- typically advisors, commodities, and training.

Outputs are the expressly intended and objectively verifiable results expected from the project.

NOTE: The USAID manages inputs to produce outputs. This relationship is more important than any absolute definitions. If a project includes training to provide teachers as an output, then training is of course the input. However, if the aim is to establish a horticultural research capability, teachers may well be an input.

Purpose of a project is what we hope will result from providing the outputs -- that which we hope to create, accomplish, or change. The purpose is never the sum of our outputs, but must clarify why the outputs are provided. The project purpose should be established as part of Mission programming. (Outputs should be selected considering both project design and programming factors; inputs should be selected as part of project design.)

Goal is a general term characterizing the programming level above the project purpose. It provides the reason for the project, the purpose of which becomes the "if" for the statement "if project purpose, then higher goal."

There always is a goal superior to the project purpose. However, it is possible that a Mission may decide that a certain purpose is a valid end

in itself and thus not include an explicit goal statement.

The definitions of input, output, purpose, and goal are necessarily inter-related. Nothing in the definitions establishes a specific level in the programming hierarchy, although it is suggested that project purpose be explicitly defined as part of the programming rather than the project design process. The nature of this relationship is characterized by the requirement that there be a logical chain of if-then statements, with the "then" of a preceeding being the "if" of a subsequent statement:

If inputs, then outputs ...

If outputs, then purpose ...

If purpose, then goal.

The Mission accepts management responsibility for translating inputs into outputs. The Mission also adopts the role of applied social scientist when examining whether outputs result in purposes, and purposes in goals.

THE REVISED PAR

THE PROJECT APPRAISAL REPORT (PAR)

The essential purpose of the Project Appraisal Report (PAR) is to upgrade AID technical assistance¹ by helping Project Managers evaluate and replan technical assistance projects. Thus, while the PAR should prove valuable to AID/W in fulfilling its responsibility for reviewing the management of field programs, the primary aim of the PAR is to bring value to Mission-level Project Managers. More specifically, the PAR is intended to serve three primary functions:

- 1) Guide the Project Manager through a process of evaluating and replanning his project;
- 2) Record the project evaluation process in detail sufficient for Mission management and AID/W to judge the quality of the process;
- 3) Capture and store data for use in analyzing TA projects in the aggregate.

So that the PAR will not be redundant to project-specific reporting internal to the Mission, the PAR document has also been designed to:

- 4) Report to the appropriate level of Mission management the issues raised during the evaluation to elicit the guidance and decisions needed to replan a project;
- 5) Provide a summary input to Mission reprogramming.

However, it is not required that the PAR be used for the latter two purposes. Moreover, should the PAR prove inappropriate for or redundant to internal Mission reporting on projects, this fact should be called to the attention of the Regional Program Evaluation Officer as a potential inefficiency of the PAR system.

The process of evaluating and replanning a project can be viewed as a series of decisions about the project and the management action required by each decision. To make each of these decisions, certain questions must be answered. The PAR format that follows is an effort to organize and present these questions in a way that will assist the Project Manager to:

- focus the evaluation process on issues that are clearly relevant to project replanning;
- gather and organize the necessary information;
- bring critical issues growing out of the evaluation process before the appropriate level of Mission management;
- build on successive layers of findings and conclusions to arrive at a decision about the need for replanning the project.

The information elements of the PAR have been selected to be easily extracted from an evaluation process that answers such questions, and to be difficult to provide without benefit of a Mission-useful process.

PROJECT APPRAISAL REPORT (PAR)

1. U.S. OBLIGATIONS (\$000)	2. COUNTRY	3. PROJECT NO.	4. PAR FOR PERIOD ENDING
a. CURRENT FY OBLIGATED (or Estimated)	5. PROJECT TITLE		
b. CUMULATIVE THRU CURRENT FY			
c. ADDITIONAL COST TO COMPLETION	6. IMPLEMENTING AGENT		

	I. OVERALL PROJECT RATING							7. PROJECT MANAGER
	UNSATISFACTORY		SATISFACTORY			OUTSTANDING		
	1	2	3	4	5	6	7	
A. PROGRESS TOWARD HIGHER GOALS								8. MISSION DIRECTOR
B. PROGRESS TOWARD PROJECT PURPOSE								

II. ACTIONS PROPOSED AND REQUESTED

A. ACTION OFFICES	B. DESCRIPTION OF ACTIONS	C. ACTION COMPLETION DATES

III. OUTPUT TARGETS AND CURRENT ESTIMATES

INSTRUCTIONS:

1. List the output indicators from PIP, Part 2, that are most important for achieving project purpose. Output indicators describe the kind of results the project will produce. Output targets describe the results to be produced at a specific time.

2. Set objectively verifiable targets for completion and for each interim FY. Quantify (use numbers or percents) where practical. (See Advisory 1 for examples of setting and measuring output targets.)

A. MOST IMPORTANT OUTPUT INDICATORS		B. OUTPUT TARGETS				
		TO DATE	END OF CURRENT FY: _____	FY: _____	FY: _____	AT COM- PLETION FY: _____
1.	PRIOR TARGET					
	CURRENT ESTIMATE					
2.	PRIOR TARGET					
	CURRENT ESTIMATE					
3.	PRIOR TARGET					
	CURRENT ESTIMATE					
4.	PRIOR TARGET					
	CURRENT ESTIMATE					
5.	PRIOR TARGET					
	CURRENT ESTIMATE					
6.	PRIOR TARGET					
	CURRENT ESTIMATE					
7.	PRIOR TARGET					
	CURRENT ESTIMATE					
8.	PRIOR TARGET					
	CURRENT ESTIMATE					

IV. COST, PERFORMANCE AND IMPORTANCE OF INPUT CATEGORIES

A. INPUT CATEGORY	B. CURRENT YEAR COST (\$000)	C. PERFORMANCE AGAINST PLAN (✓)							D. IMPORTANCE FOR ACHIEVING PROJECT PURPOSE (✓)				
		Unsatisfactory		Satisfactory			Outstanding		Low	Medium		High	
		1.	2.	3.	4.	5.	6.	7.	1.	2.	3.	4.	5.
IMPLEMENTING AGENT													
PARTICIPANT TRAINING													
COMMODITIES													
HOST COUNTRY													
OTHER DONOR													

V. KEY PERFORMANCE FACTORS

FACTORS INFLUENCING PROJECT PERFORMANCE	ACTUAL IMPACT (✓)			IMPORTANT? (✓) YES	FACTORS INFLUENCING PROJECT PERFORMANCE	ACTUAL IMPACT (✓)			IMPORTANT? (✓) YES
	NEGATIVE	AS EXPECTED	POSITIVE			NEGATIVE	AS EXPECTED	POSITIVE	
A. IMPLEMENTING AGENT HOW MANY? _____					D. HOST COUNTRY				
1. Planning and management					(Personnel)				
2. Understanding of project purpose					1. Competence/continuity of project leader				
3. Relations with host nationals					2. Ability to implement project plans				
4. Effective use of participant training					3. Use of trained manpower in project operations				
5. Local staff training and utilization					4. Technical skills of project personnel				
6. Adherence to work schedule					5. Planning and management skills				
7. Candor and utility of reports to USAID					6. Technician man-years available				
8. Timely recruiting					7. Continuity of Staff				
9. Technical qualifications					8. Willingness to work in rural areas				
10. Responsiveness to USAID direction					9. Pay and allowances				
B. PARTICIPANT TRAINING <input type="checkbox"/> NONE					10. Counterpart acceptance of and association with the purpose of this project				
(Predeparture)					(Other Factors)				
1. English language ability					11. Cooperation within host government				
2. Host country funding					12. Host government cooperation with non-government organizations				
3. Orientation					13. Availability of reliable data				
4. Participant availability					14. Project funding				
5. Trainee selection					15. Legislative changes relevant to project				
(Post-Training)					16. Adequacy of project-related organization				
6. Relevance of training to present project purpose					17. Physical resource inputs				
7. Appropriate facilities and equipment for returned trainees					18. Maintenance of facilities and equipment				
8. Employment appropriate to project					19. Political conditions specific to project				
9. Supervisor receptiveness					20. Resolution of bureaucratic problems				
C. COMMODITIES <input type="checkbox"/> FFF <input type="checkbox"/> NON-FFF <input type="checkbox"/> NONE					21. Receptivity to change				
1. Commodities appropriate to project needs					22. Actual dissemination of project benefits				
2. Timeliness of procurement or reconditioning					23. Intent/capacity to sustain and expand project impact after U.S. inputs are terminated				
3. Timeliness of delivery to point of use					E. OTHER DONORS HOW MANY? _____				
4. Storage adequacy					1. Recognition of objectives shared with USAID				
5. Appropriate use					2. Agreement on strategy and plans				
6. Maintenance and spares					3. Coordination on implementation				
7. Records, accounting and controls					4. Contribution to project staffing				
					5. Contribution to project funding				
					6. Adherence to schedule				
					7. Planning and Management				

VI. SUMMARY OF PROJECT PURPOSE

DATE OF MOST RECENT PROP

IS ABOVE PURPOSE SAME AS IN PROP?

YES

NO

VII. NARRATIVE SUMMARY FOR THIS REPORT PERIOD (Use continuation sheet)

1. Progress toward end-of-project status: (one statement for each indicator)
2. Does the evidence support your propositions that:
 - a. Achieving project purpose will result in expected progress toward higher goals?
 - b. Meeting output targets will achieve project purpose?
3. How can the project be performed more efficiently or effectively?
4. Summarize key problems and opportunities, emphasizing implications for the future.

YES

NO

YES

NO

AID CONTINUATION SHEET

PROJECT NO:

PAR FOR PERIOD ENDING:
